



PROPOSAL SUMMARY AND TRANSMITTAL FORM

| Proposed School Information | | | |
|-------------------------------|--|----------------|------------------------------|
| Charter School Name: | Capital Preparatory Bronx Charter School | | |
| Education Corp. Name: | Capital Preparatory Bronx Charter School | | |
| Education Corp. Status: | New Education Corporation | Proposal Type: | Standard New School Proposal |
| School District (or NYC CSD): | CSD 12 | Opening Date: | 8/1/2019 |

| Proposed Grades and Enrollment | | |
|--------------------------------|--------|------------|
| Charter Year | Grades | Enrollment |
| Year 1 | 6-7 | 160 |
| Year 2 | 6-8 | 240 |
| Year 3 | 6-9 | 400 |
| Year 4 | 6-10 | 500 |
| Year 5 | 6-11 | 600 |

| Proposed Affiliations (if any) | |
|--|-----------------------------------|
| Charter Management Company ("CMO"): | Capital Preparatory Schools (CPS) |
| CMO Public Contact Info (Name, Phone): | Joan Massey, 917-838-3684 |
| Partner Organization: | NA |
| Partner Public Contact Info (Name, Phone): | NA |

Lead Applicant Contact Information

First Lead Applicant Name: Joan Massey

Applicant is a: Parent Teacher School Administrator District Resident Education Corp./Charter School

Organization Name: Capital Preparatory Schools

Applicant Mailing Address: 777 Main Street, Bridgeport, CT 06604

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| Primary Phone #: | 917-838-3684 | Secondary Phone #: | | Email: | joan.massey@wearecapitalprep.org |
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Second Lead Applicant Name:

Applicant is a: Parent Teacher School Administrator District Resident Education Corp./Charter School

Organization Name:

Applicant Mailing Address:

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|------------------|--|--------------------|--|--------|--|
| Primary Phone #: | | Secondary Phone #: | | Email: | |
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List additional lead applicants in the "Other" section. Not Applicable Additional Applicants Listed in "Other"

Media/Public Contact Information (required)

| | | | | | |
|-------|-------------|----------|--------------|--------|----------------------------------|
| Name: | Joan Massey | Phone #: | 917-838-3684 | Email: | joan.massey@wearecapitalprep.org |
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Lead Applicant Signature

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|------------|--|-------|-----------|
| Signature: | | Date: | 6/22/2018 |
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By signing this Proposal Transmittal Form, the Lead Applicant certifies that the information contained in this proposal to establish a charter school pursuant to the New York Charter Schools Act with the State University of New York Board of Trustees is true and accurate to the best of his or her knowledge.

Program Design**MISSION STATEMENT**

Capital Preparatory Bronx Charter School will provide historically disadvantaged students from the Bronx with the college and career readiness skills needed to become responsible and engaged citizens for social justice.

KEY DESIGN ELEMENTS

- High expectations for academic achievement and behavior are rooted in the Five Learner Expectations of the CP model: Collaborators, Problem Solvers, Researchers, Empathetic Citizens and Pillars of Knowledge in their communities. These CPREP expectations are habits of successful learners that the model seeks to actively instill in students and are integrated in the curriculum throughout the school year.
- A student-centered data-driven instructional approach is the overarching instructional modality. This teaching model shifts the cognitive load slowly and purposefully from teacher-as-model, to joint responsibility, to guided instruction, to collaborative or independent practice and application by the learner enabling students to become competent, independent learners. It is an instructional framework that is both strategic and balanced, and it supports critical attributes that are aligned with how the adolescent brain takes in information. It is also an effective instructional approach for English Language Learners (ELLs), students with disabilities (SWD) and struggling students as it supports highly differentiated instruction. It is further complemented by other student-centered strategies that engage and inspire students in their own learning that teachers may select or adapt in support of their objectives and to meet particular learning goals, e.g. the CP model provides problem-based learning opportunities and culminating projects to help students apply their skills and knowledge to real world issues and view themselves as catalysts for change.
- A longer school day and year allow for a significant amount of instructional time to be devoted to core academic subjects to ensure, first and foremost, student mastery of the NYS Learning Standards. It also provides time for meaningful study of and active engagement in social justice, world languages, the arts, physical education and further academic intervention and enrichment. The 201 day school year also mitigates the impact of summer learning loss that overwhelmingly impacts low-income minority students.
- Social Justice is the central theme of the CP model and supports students' growth as agents of change. Integrated as part of Social Studies in the middle school and taught as an explicit subject in high school, the social justice curriculum's spiraling essential questions and content themes are also reinforced throughout other content areas as they inform the curricular framework for each subject and are at times integrated within each content area in authentic ways. Students will be afforded the opportunity to apply their social justice learning in real life community service projects locally and internationally. The culminating capstone project during the senior year, the SJP, is an action-research project resulting in a lengthy research paper and oral defense. Throughout their years in the school, students are being prepared for successful completion of this dissertation-like project through the knowledge and skills they are gaining, through teaching that encourages deep thinking and questioning, and through their development as students who exemplify the Five Learner Expectations.
- The Advisory Program supports the focus on students' affective development in addition to their academic development. Among the responsibilities of the faculty advisors are to strengthen the relationship with their advisees and their learning environment; monitor the social, emotional and academic development of the advisees; and promote their executive functioning and organizational management skills, thus preparing the students for the greater personal responsibility they must take on as they progress through the school and eventually onto college and the working world.
- While parent-teacher conferences are typical of most schools, CP Bronx will implement the Student-Led Conference (SLC). Unique to the CP Model, the SLC empowers students with the metacognitive skills necessary to promote their development as independent and reflective learners. Students lead presentations on their own learning and growth in two conferences with their parents and advisors each year. During the SLC, students reflect on their learning and evaluate their progress in relation to the school's Learner Expectations, Social Justice Themes and the Essential Question for each grade. With the support of their advisors, students are expected to create of a portfolio of artifacts that demonstrate their mastery of the skills related to Learner Expectations. The collection and organization of artifacts into a portfolio provide the evidence to support their self-evaluations during their SLC.
- Partnerships with local colleges give students an opportunity to take college courses and earn college credits while still in high school. Students experience the actual rigor of college and can potentially earn an associate degree concurrently with their high school diploma. CP Bronx intends to partner with Bronx Community College

and has held preliminary conversations with and secured a letter of support from the President. We have also obtained a letter of support from Monroe College.

- The two sport requirement expects each student to participate in two school sports annually. Competitive sports align with the Learner Expectations as students learn important life lessons about teamwork, persistence, problem solving and fair play.
- Robust professional development (PD) designed to improve the key competencies of all teaching staff is critical to ensuring student mastery of NYS Learning Standards and our Five Learner Expectations. PD focuses on leadership development through regular opportunities for teachers to collaborate in grade-level and content teams and professional learning communities as well as to receive formal ongoing coaching and mentoring from school and CPS leadership informed by the teacher's Individualized Teacher Plan (ITP). Unique to the CP model is the Creativity Symposium during which faculty present an action-research project to their colleagues and the greater community based on the goals of their ITP. The focus of these projects is to improve individual and collective teaching practice and enhance the professional culture and climate.

BRIEF OVERVIEW OF ACADEMIC PROGRAM

CPS is dedicated to giving historically underserved students access to an academic program that will prepare them for success in higher education and their chosen careers. Its program combines elements of academic models successful in supporting students from historically disadvantaged populations with those of elite private schools that have traditionally sent high rates of students to four-year colleges. BP Bronx will provide a college preparatory curriculum that was designed using the Understanding by Design (UbD) framework. Throughout a 100 minute block, teachers will implement three to five separate planned "Do Now," "Activity" and "Closure" learning triads, designed and implemented to meet stated daily measurable objectives related to the class' relevant content standards. Daily instruction is adaptable and flexible, relying on the expertise of the subject-area and grade-level teams to meet the diverse learning needs, abilities, and interest of students currently in their classrooms. CPS has developed a carefully planned assessment system that includes the administration of diagnostic, formative, benchmark and summative assessments; protocols to ensure rigorous analysis of data and valid and reliable results; and procedures for using results to inform instructional planning, program evaluation and accountability. BP Bronx will use the NWEA MAP assessment as well as curriculum-based assessments to monitor student growth and achievement. CP Bronx is committed to serving all students, including SWD, ELLs, at-risk students (behavioral and academic) and accelerated students through the use of its Response to Intervention (RTI) framework academic/behavioral plans, facilitated by the Student Assistance Team (SAT). Teachers will utilize special instructional strategies often referred to as Sheltered English Techniques (SET) or Specially Designed Academic Instruction in English (SDAIE) for delivering content for ELLs in English.

School Management

MANAGEMENT STRUCTURE

CP Bronx will be led by an experienced Principal who reports to the school's Board of Trustees. The Principal will oversee a leadership team comprised of an Academic Dean, Dean of Students, and Director of Operations. CMO staff with expertise in various facets of charter schools will support their counterparts in the school.

ROLE OF CMO OR PARTNER(S)

CP Bronx is proposing to engage Capital Preparatory Schools (CPS) as its CMO to provide the school and its leadership with enhanced access to a range of educational and operational services while realizing efficiencies of operating within a charter school network. CMO support in the educational and operational realms will support the school's efforts to realize its mission and successfully implement its educational program by allowing the school to concentrate on driving student achievement and by helping the school leverage the highest quality talent and information needed to do so.

School Facility Plans

The facility plan is to secure temporary incubation space to house the school for up to two years, which will provide sufficient time for leasehold improvements required by a longer term facility. The founders of CP Bronx have been

working with real estate professionals to identify a suitable facility; once a suitable space is selected the school will negotiate a lease agreement, identify renovation requirements and oversee completion, so the school is ready for a fall 2019 opening. The school will apply for NYCDOE space; if none is offered or the offer is unsuitable to meet the school's needs, we will apply for rental assistance, which under state law is current up to 30% of per pupil funding.

Board Member Names and Biographical Summaries

- **Derek Ferguson, Chief Operating Officer, Robin Hood Foundation:** Derek Ferguson serves as the Chief Operating Officer for the Robin Hood Foundation, New York's largest poverty-fighting organization. Most recently, Mr. Ferguson was chief operating officer of Revolt Media & TV. Prior to Revolt, Mr. Ferguson was chief growth officer of Combs Enterprises. Since joining Combs Enterprises in 1998, he's had multiple responsibilities, including serving as CFO and managing all business operations for the company. Before joining Combs Enterprises, Mr. Ferguson was vice president of finance and operations for BMG Special Products, a division of BMG Entertainment. He was previously a manager at Bain and Company, where he provided strategy consulting for consumer products and retail companies. His professional career began in 1985, when he worked at Coopers and Lybrand as an auditor and mergers and acquisitions analyst. While there, he also earned his CPA. Mr. Ferguson is an active member of New York Covenant Church in New Rochelle, NY, where he led the economic justice ministry and is a board member of its development corporation. At New York Covenant, he has launched various businesses, including Cross Trainers Apparel, Covenant Building Services, and Life Music, and oversees a food and clothing initiative (Isaiah's Room) and an annual social justice conference. Mr. Ferguson is a 1990 graduate of Harvard Business School and a 1985 graduate of the Wharton School at the University of Pennsylvania. He was born and raised in the Bronx and graduated from Stuyvesant High School. Mr. Ferguson is the proposed Board chair.
- **Dr. Stephen Perry, CEO/Head of Schools, Capital Preparatory Schools:** Dr. Perry is the visionary leader of Capital Preparatory Schools, setting the direction for the organization and representing the organization to its many constituents, including parents, investors, community members, district officials, policymakers, and partners. As one of the few African-American leaders of school management organizations, Dr. Perry recognizes the importance of transforming historically disadvantaged communities. Born into his family's third generation of poverty on his mother's 16th birthday, Dr. Perry believes that the success of a life is determined by where you end, not where you start. It is this philosophy that inspired him to transform the lives of poor and minority children by providing them with access to a college education. Dr. Perry has over 20 years of experience in public education, serving as founder and principal of Capital Prep Magnet School since its inception. Under Dr. Perry's leadership, Capital Prep Magnet School has become a model of public education's potential to provide educational opportunities to historically underserved populations and has also been cited by U.S. News and World Report as one of the top schools in the country. Dr. Perry has also been featured in CNN's Black in America series, is an Education Contributor for CNN and MSNBC, an Essence Magazine columnist, best-selling author, and host of the #1 docudrama for TVONE "Save My Son." Dr. Perry earned a Doctorate of Educational Leadership from University of Hartford, a Masters of Social Work from the University of Pennsylvania School of Social Work and a Bachelors of Arts from University of Rhode Island.
- **Joan Massey, President, Capital Preparatory Schools:** Ms. Massey joined CPS in January 2017. She has 30 years of experience as a teacher, assistant principal, principal, assistant superintendent, and superintendent/chief academic officer in the public school arena, including public charter school networks in Washington, D.C. and Los Angeles. Ms. Massey has demonstrated throughout her career proven effective leadership in defining mission and vision, teacher/leader development, budgeting and strategic planning with school boards. She is a dedicated student advocate, continuously fostering, nurturing and maintaining a safe and respectful learning environment conducive to academic success and stakeholder satisfaction. Ms. Massey is skilled at steering educational improvement efforts and increasing student achievement through shared leadership, data-driven decision-making, and systems thinking. She excels at cultivating and maintaining unified relationships with all stakeholders to achieve a common goal. She spent many years in the Hartford Public Schools as a district administrator, including as Assistant Superintendent of Secondary Schools and Interim Chief Research and Assessment Officer. In her capacity with Hartford Public Schools she had firsthand experience with the successful Capital Preparatory Magnet School. Ms. Massey has served on the Title I Task Force for the Office of the State Superintendent for the District of Columbia, the Secondary School Report-Capstone Advisory Committee and the Advisory Committee for Priority Schools for the Connecticut State Department of Education. A frequent presenter on educational issues, Ms. Massey received her MA in Special Education from American International College and her BS in Education from Northeastern University. She is currently completing her dissertation for her Doctorate of Educational Policy and Leadership from the University of Massachusetts, Amherst.
- **Georgiette Morgan-Thomas:** Reverend Georgiette Morgan-Thomas is the Director of Harlem Services for Goddard Riverside Community Services, one of New York City's largest not-for-profit organizations. A tireless advocate for

the poor and the homeless, she works with young men and women, individuals, families, and senior citizens to find affordable housing and to ensure that those in need get the social services they deserve. Rev. Morgan-Thomas also serves as a board member for Capital Preparatory Harlem Charter School. An ordained minister, Rev. Morgan-Thomas has committed herself and her talents to the service of God through her ministry, her professional work, and her community activism. She is an experienced psycho-therapist and emergency psychiatric evaluator, and has directed programs in juvenile services, senior services, homeless services, domestic violence, mental health, and supported housing. She has been a member of New York City's Community Board 9 since 2002 and its Chair since 2010. Rev. Morgan-Thomas is president of a local section of the National Council of Negro Women, serves on the Board of Directors for Rebuilding Together Manhattan, serves as Vice President of United Edgecombe Block Association, and works with both the 30th and 32nd Precinct Councils of the New York City Police Department. Rev. Morgan-Thomas has received numerous awards for her work, and has been nominated by the New York Women's Chamber of Commerce for the prestigious "New York Women of Excellence" award.

- Ramik Williams, Executive Director, Directions For Our Youth: Ramik Williams brings his connections to the Bronx community where he is Executive Director of Directions For Our Youth, an organization that partners with public schools to provide out of school time programming to school age children. Prior to that he was the Program Director at the Research Foundation at the Borough of Manhattan Community College. He was also the Program Director for the Teachers as Leaders Program at City University of New York and Director of the Youth Services Department at the Union Settlement Association. He also has experience in charter school outreach and community engagement having been External Affairs and Recruitment Manager for a NYC charter school. Mr. Williams has a BA in History and a BA in Secondary Education from Fredonia College and an MPA from Metropolitan College of New York. He was also a certified middle and high school teacher.

Other

Community Need and Proposed School Impact

(a) Community Description and Need

The desire to open CP Bronx in CSD 12 reflects the commitment of both the Applicant Group and CPS to provide historically underserved students with access to a Grade 6-12 academic program that will prepare them for success in higher education and their chosen careers.

CSD 12 is located in the heart of the Bronx at the confluence of the Cross Bronx Expressway, Bruckner Expressway, Sheridan Expressway, and Bronx River Parkways. InsideSchools characterizes this area as mostly low-rise brick apartment buildings and public housing towers. CSD 12 includes the neighborhoods of West Farms, Tremont, Charlotte Gardens and Foxhurst. These communities have some of the highest percentages in the country of Dominican and Puerto Rican ancestry as well percentage of people speaking an African language at home. The median income in this area is well below the state average and large percentages of families and children live below the poverty line. In addition, a large percentage of adults do not have a high school diploma and few have a college degree.

CP Bronx expects that the populations it serves will mirror the population of Grade 6-12 students in the district, i.e., predominately low-income Black and Hispanic students. According to New York State Education Department data, the school district largely reflects the demographics and needs of the larger community. The district is predominantly Black and Hispanic. The vast majority of students are economically disadvantaged; 87% are eligible for free lunch (note not free and reduced price). One out of five students is an English Language Learner. Approximately one-quarter of students have a disability. By all measures, this is an unequivocally at-risk student population.

CSD 12 Demographics (2016-17)

| | |
|------------------------------|-----|
| Hispanic | 70% |
| Black | 25% |
| Asian | 2% |
| White | 1% |
| Native | 1% |
| Multiracial | 0% |
| English Language Learners | 21% |
| Eligible Free Lunch | 87% |
| Eligible Reduced Price Lunch | 3% |
| Students with Disabilities | 24% |

Moreover, the academic performance of students in CSD 12 is abysmal. Last year by the end of middle school less than one-third of 8th grade students were proficient in ELA and only 10% of 8th graders were proficient in Math. For students with disabilities and English language learners, no more than 7% of any middle school grade was proficient in ELA and no more than 5% was proficient in Math.

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CSD 12 Performance on 2016-17 State Tests

| | ELA | | | Math | | |
|----------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| | 6 th | 7 th | 8 th | 6 th | 7 th | 8 th |
| All Students | 14% | 20% | 29% | 12% | 11% | 10% |
| Students with Disabilities | 3% | 4% | 7% | 1% | 4% | 1% |
| English Language Learners | 0% | 1% | 4% | 2% | 2% | 5% |

At the high school level, the CSD 12 numbers are no more encouraging, particularly for students with disabilities and English language learners.

2016-17 Regents Pass Rates

| | English | Algebra | Living Environ. | U.S. History | Global History |
|----------------------------|---------|---------|-----------------|--------------|----------------|
| All Students | 59% | 51% | 41% | 56% | 34% |
| Black Students | 63% | 50% | 41% | 53% | 33% |
| Hispanic Student | 57% | 51% | 40% | 57% | 34% |
| Students with Disabilities | 37% | 25% | 20% | 33% | 18% |
| English Language Learners | 34% | 41% | 20% | 37% | 23% |

CSD 12 is not making annual yearly progress (AYP) for accountability in all groups that comprise the majority of its student population:

AYP for Accountability

| | Elementary/Middle | | Secondary | |
|----------------------------|-------------------|------|-----------|------|
| | English | Math | English | Math |
| All Students | No | No | No | No |
| Black | No | No | No | No |
| Hispanic | No | No | No | No |
| Students with Disabilities | No | No | No | No |
| Limited English Proficient | No | No | No | No |
| Economically Disadvantaged | No | No | No | No |

Clearly, students in CSD 12 do not have access to high performing district schools. The annual teacher turnover rate is 24% and even higher for teachers with less than five years of experience (31%). The district has a 56% graduation rate, well below the state standard of 80% and its progress target of 62%. Moreover, while 83% of graduates received a Regents Diploma, only 40% of students with disabilities did so.

Given the statistics for high school students, it is not surprising that college matriculation rates for CSD 12 students are bleak. According to the NYS District Report Card for CSD 12, the post-graduation plans for high school completers in this district in 2016-17, only 31% of high school completers were planning to matriculate into 4-year colleges. Another 30% were planning to

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go to 2-year colleges. A striking 32% of all high school completers' post-graduation plans were unknown. When one examines the post-graduation plans for student with disabilities, the college matriculation rates drop precipitously from the already low rates for all students. Only 14% of SWD completers in 2017 were moving on to 4-year colleges, another 30% to 2-year colleges and 41% of SWD completers' plans were unknown.

CP Bronx will bring tremendous value and opportunity to students in CSD 12 where traditional public schools, as evidenced from the district's poor student outcomes, have been consistently unable to unlock the potential that exists within the students it serves. In direct contrast to the post-high school plans for CSD 12 completers, since its inception, 100% of CP Hartford's high school graduates matriculate into 4-year colleges. 75% of graduates had already taken at least five college classes and 20% graduated high school having completed their freshman year. This significant achievement is the result of the unique CP model which is discussed in subsequent sections and is specifically designed to support low-income, underserved populations (including ELLs, SWD and FRL students) and will provide an abundance of academic opportunities, support and enrichment activities that students in this community might not otherwise experience. CP Bronx will expand the educational options available to students in CSD 12, bringing an innovative and successful college preparatory model to the range of middle and high school options currently available in the community.

(b) Programmatic Impact

Educational Options: There are currently 22 district schools serving the elementary grades in CSD 12 in grades K-5. There are 11 district middle schools serving just grades 6-8 and another four district schools serving grades 6-12. There are also 13 district schools solely serving high school students.

CSD 12 District Schools

| Schools | Grades |
|--|--------|
| Samara Community School | K-3 |
| P.S. 006 West Farms | K-5 |
| P.S. 044 David C. Farragut | K-5 |
| P.S. 047 John Randolph | K-5 |
| P.S. 057 Crescent | K-5 |
| P.S. 061 Francisco Oller | K-5 |
| P.S. 066 School of Higher Expectations | K-5 |
| P.S. 067 Mohegan School | K-5 |
| P.S. 092 Bronx | K-5 |
| P.S. 134 George F. Bristow | K-5 |
| P.S. 150 Charles James Fox | K-5 |
| P.S. 195 | K-5 |
| P.S. 196 | K-5 |
| P.S. 211 | K-5 |
| P.S. 212 | K-5 |

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| | |
|--|-------|
| P.S. 214 | K-5 |
| The School of Science and Applied Learning | K-5 |
| Fairmont Neighborhood School | K-5 |
| Urban Scholars Community School | K-5 |
| Archer Elementary School | K-5 |
| P.S. 536 | K-5 |
| Bronx Little School | K-5 |
| J.H.S. 098 Herman Ridder | 6-8 |
| M.S. 129 Academy for Independent Learning and Lead | 6-8 |
| E.S.M.T- I.S. 190 | 6-8 |
| School of Performing Arts | 6-8 |
| Frederick Douglass Academy V. Middle School | 6-8 |
| Fannie Lou Hamer Middle School | 6-8 |
| Kappa III | 6-8 |
| I.S. X318 Math, Science & Technology Through Arts | 6-8 |
| Accion Academy | 6-8 |
| Emolior Academy | 6-8 |
| Entrada Academy | 6-8 |
| Mott Hall V | 6-12 |
| Bronx Latin | 6-12 |
| East Bronx Academy for the Future | 6-12 |
| Urban Assembly School for Wildlife Conservation | 6-12 |
| Arturo A. Schomburg Satellite Academy Bronx | 10-12 |
| Bronx Regional High School | 10-12 |
| Metropolitan High School, The | 9-12 |
| Explorations Academy H.S. | 9-12 |
| Crotona Academy High School | 9-12 |
| Pan American International High School at Monroe | 9-12 |
| The Cinema School | 9-12 |
| Bronx Career and College Preparatory High School | 9-12 |
| Bronx Envision Academy | 9-12 |
| The Metropolitan Soundview High School | 9-12 |
| High School of World Cultures | 9-12 |
| Fannie Lou Hamer Freedom High School | 9-12 |
| Wings Academy | 9-12 |

There are currently six charter schools operating in CSD 12. One is an elementary school, two serve grades K-8, one serves grades K-12, one serves middle school grades, one serves grades 6-12 and one serves only high school students.

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CSD 12 Charter Schools

| Schools | Grades |
|---|--------|
| South Bronx Classical Charter School | K-5 |
| Icahn Charter School 6 | K-8 |
| New York Center for Autism Charter School Bronx | K-8 |
| Bronx Lighthouse Charter School | K-12 |
| Children's Aid College Prep Charter School | 5-6 |
| Dr. Richard Izquierdo Health and Science Charter School | 6-12 |
| New Visions AIM Charter School 2 | 9-12 |

CP Bronx will enroll students in enroll students in the 6th grade, which is a natural entry point in the district for students matriculating from elementary school to middle school. There are no K-8 district schools and only three charter schools that bridge elementary and middle school, so we do not anticipate drawing students out of other schools in the middle of a natural grade span.

Impact: We expect to have a positive impact on the educational community in CSD 12. We are opening with two grades and adding one grade per year, so with this slow growth approach do not anticipate drawing a large number of students from any one school. As a secular public school we do not expect to draw many students away from private schools, though we may be a draw for parents seeking a free education for their child. We intend to be a good neighbor and will share educational practices with other schools, hopefully benefiting all schools from an exchange of ideas.

Novelty: CP Bronx will be unlike any other school in the area. Our longer school day and year, school culture, robust professional development, and data-driven instruction will set us apart from most district schools that are limited by resources and contracts. Our Five Learner Expectations (Collaborators, Problem Solvers, Researchers, Empathetic Citizens and Pillars of Knowledge), Advisory Program, Social Justice curriculum, sports expectations, and Student-Led Conferences (SLC's) will together set us apart from other charter schools. CPS schools are mission-driven organizations dedicated to improving the lives of underserved students, many of whom currently have few if any options to advance their education.

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(c) Fiscal Impact

CP Bronx will have minimal impact on the district. As the chart below demonstrates, the school will account for 0.014% of the New York City budget in Year 1, rising to 0.049% in Year 5

Fiscal Impact Table

| Operational Year | Enrollment (Number of Students) | Per Pupil Rate | Per Pupil Aid | Other District Revenue (SPED Funding, Food Service, Grants, Etc.) | Total Funding to Charter School From District | * Total General Fund Operating Budget for NYC CHANCELLOR'S OFFICE School District | Projected Impact (% of District's Total Budget) |
|------------------|---------------------------------|----------------|---------------|---|---|---|---|
| Year 1 (2019-20) | 160 | 15,307 | 2,449,120 | 983,100 | 3,432,220 | 24,300,000,000 | 0.014% |
| Year 2 (2020-21) | 240 | 15,307 | 3,673,680 | 1,122,090 | 4,795,770 | 24,300,000,000 | 0.020% |
| Year 3 (2021-22) | 400 | 15,307 | 6,122,800 | 1,860,150 | 7,982,950 | 24,300,000,000 | 0.033% |
| Year 4 (2022-23) | 500 | 15,307 | 7,653,500 | 2,362,688 | 10,016,188 | 24,300,000,000 | 0.041% |
| Year 5 (2023-24) | 600 | 15,307 | 9,184,200 | 2,827,673 | 12,011,873 | 24,300,000,000 | 0.049% |

Addressing Need

(a) Mission

Mission Statement: *Capital Preparatory Bronx Charter School will provide historically disadvantaged students from the Bronx with the college and career readiness skills needed to become responsible and engaged citizens for social justice.*

(b) Key Design Elements

CP Bronx will accomplish its mission by providing students with a rigorous extended year, college-preparatory curriculum in a nurturing and loving environment that fosters strong student-teacher relationship. CP Bronx will give special attention to ensuring that the curriculum is relevant through applied teaching methods that relate curricular objectives to authentic tasks, thereby allowing students to actively explore real world problems and challenges while acquiring deeper knowledge demonstrating abilities as they relate to standards and skills necessary for post-secondary education. The following key design elements define our model:

High expectations for academic achievement and behavior are rooted in the Five Learner Expectations of the CP model: Collaborators, Problem Solvers, Researchers, Empathetic Citizens and Pillars of Knowledge in their communities. These CPREP expectations are habits of successful learners that the model seeks to actively instill in students and are integrated in the curriculum throughout the school year and are assessed through the Advisory Program.

- Research has found that teachers' expectations about their students affect their interactions with those students (Marzano, 2010) and this in turn influences students' attitudes and "has a causal impact on students' educational attainment." (Papageorge and Gershenson, 2016)
- Research has also found that the way students approach learning is as important as the content and delivery of learning. The skills considered to be part of healthy development and school readiness are drawn from the fields of neuroscience and child development and include having strong bonds with adults, emotional security, and the skills to cope and manage stress (Stafford-Brizard, 2016). Our Five Learner Expectations are grounded in research on habits of success, growth mindset, and the relationship between social emotional learning and academic achievement.

A student-centered data-driven instructional approach is the overarching instructional modality. This teaching model shifts the cognitive load slowly and purposefully from teacher-as-model, to joint responsibility, to guided instruction, to collaborative or independent practice and application by the learner enabling students to become competent, independent learners. It is an instructional framework that is both strategic and balanced, and it supports critical attributes that are aligned with how the adolescent brain takes in information. It is also an effective instructional approach for English Language Learners (ELLs), students with disabilities (SWD) and struggling students as it supports highly differentiated instruction. It is further

complemented by other student-centered strategies that engage and inspire students in their own learning that teachers may select or adapt in support of their objectives and to meet particular learning goals, e.g. the CP model provides problem-based learning opportunities and culminating projects to help students apply their skills and knowledge to real world issues and view themselves as catalysts for change.

- Douglas Fisher and Nancy Frey in their book *Better Learning Through Structured Teaching: A Framework for the Gradual Release of Responsibility*, note that “the gradual release of responsibility framework, originally developed for reading instruction, reflects the intersection of several theories, including
 - Piaget's (1952) work on cognitive structures and schemata
 - Vygotsky's (1962, 1978) work on zones of proximal development
 - Bandura's (1965) work on attention, retention, reproduction, and motivation
 - Wood, Bruner, and Ross's (1976) work on scaffolded instruction
- Dr. Douglas Fisher, Professor of Language and Literacy Education, notes “The gradual release of responsibility model of instruction has been documented as an effective approach for improving literacy achievement (Fisher & Frey, 2007), reading comprehension (Lloyd, 2004), and literacy outcomes for English language learners (Kong & Pearson, 2003).”

A longer school day and year allow for a significant amount of instructional time to be devoted to core academic subjects to ensure, first and foremost, student mastery of the NYS Learning Standards. It also provides time for meaningful study of and active engagement in social justice, world languages, the arts, physical education and further academic intervention and enrichment. The 201 day school year also mitigates the impact of summer learning loss that overwhelmingly impacts low-income minority students.

- It has become clear that traditional public schools are not doing enough to meet the needs of their students and cannot do much more with the 6 hour day and 180 day year they refuse to change. Research continues to show that extended time for learning is a factor that explains charter school effectiveness.
- Professor Caroline Hoxby found that “in the largest lottery-based evaluation of charter schools to date, we find that charter schools in New York City are having positive effects on the academic progress of the students who attend them. These effects are largest in charter schools that have extended the length of the school year... (2008)
- Longer school days are also associated with effective charter schools. (Cohodes, 2018) A study of elementary charter schools in NYC found that 57% of high-achieving schools had increased instructional time over district schools compared to only 9% of low-achievement schools. (Dobbie and Fryer, 2013)

Social Justice is the central theme of the CP model and supports students’ growth as agents of change. Integrated as part of Social Studies in the middle school and taught as an explicit subject in high school, the social justice curriculum’s spiraling essential questions and content themes are also reinforced throughout other content areas as they inform the curricular

framework for each subject and are at times integrated within each content area in authentic ways. Students will be afforded the opportunity to apply their social justice learning in real life community service projects locally and internationally. The culminating capstone project during the senior year, The SJP, is an action-research project resulting in a lengthy research paper and oral defense. Throughout their years in the school, students are being prepared for successful completion of this dissertation-like project through the knowledge and skills they are gaining, through teaching that encourages deep thinking and questioning, and through their development as students who exemplify the Five Learner Expectations.

- In *Teaching for Diversity and Social Justice*, Maurianne Adams demonstrates how cognitive development and social identity theories support social justice education, including the process of personal meaning-making, the value of cognitive dissonance, and the use of meta-cognitive skills. (2016)
- The National Curriculum Standards for Social Studies state “Social studies programs should include experiences that provide for the study of how people create, interact with, and change structures of power, authority, and governance.”
- Capstone projects increase college and career readiness. The National Commission on the High School Senior Year finds that there is a disconnect between secondary and postsecondary education that leaves many high school graduates unprepared for higher education. Hanover Research found that “Schools often implement capstone programs to support students’ transition from high school to college or the workforce.” (2013)
- Capstone projects are a component of graduation requirements for students in high schools across the country, and some state governments dictate that all students complete a culminating project. (Hanover Research, 2013)

The Advisory Program supports the focus on students’ affective development in addition to their academic development. Among the responsibilities of the faculty advisors are to strengthen the relationship with their advisees and their learning environment; monitor the social, emotional and academic development of the advisees; promote their executive functioning and organizational management skills; and assess their progress toward the CPREP learner expectations, thus preparing the students for the greater personal responsibility they must take on as they progress through the school and eventually onto college and the working world.

- In a review of research literature on advisory programs, Reino Makkonen found that “Generally, studies have shown that students who don’t feel an attachment to school staff are likely to have poorer attendance and to drop out more than students who feel that they are part of a supportive school environment. In addition, healthy relationships between teachers and students appear to facilitate academic achievement. Advisory can contribute to this type of positive school climate in several ways, including:
 - Improved relationships between students and teachers (Espe, 1993; Totten & Nielson, 1994)
 - An increased sense of trust and belonging (Ziegler & Mulhall, 1994)
 - Better communication among all members of the school community (Simmons & Kiarich, 1989)

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- A strong atmosphere of equality (Putbrese, 1989)
- Reduced student smoking and alcohol use (Putbrese, 1989)

Student-Led Conference: While parent-teacher conferences are typical of most schools, CP Bronx will implement the Student-Led Conference (SLC). Unique to the CP Model, the SLC empowers students with the metacognitive skills necessary to promote their development as independent and reflective learners. Students lead presentations on their own learning and growth in two conferences with their parents and advisors each year. During the SLC, students reflect on their learning and evaluate their progress in relation to the school's Learner Expectations, Social Justice Themes and the Essential Question for each grade. With the support of their advisors, students are expected to create of a portfolio of artifacts that demonstrate their mastery of the skills related to Learner Expectations. The collection and organization of artifacts into a portfolio provide the evidence to support their self-evaluations during their SLC.

- A study of traditional parent-teacher conferences found that “parents and teachers' expectations of conferences are limited; teachers are not trained to conduct parent-teacher conferences; and conferences are overwhelmingly directed at problem solution. Parent-teacher conferences are characterised by a client orientation to parents, rather than a partnership orientation to home-school relations.” (Lemmer, 2012)
- Regarding the shift from teacher-led to student-led conferences, a recent Wall Street Journal article found “The shift is gradual, accelerating in the past few years. It reflects a growing emphasis on what educators call personalized learning—tailoring students' work to their individual needs and interests, and pressing them to take responsibility for mastering agreed-upon skills. The aim is to spawn lifelong learners who can adapt nimbly to change.” (Shellenbarger, 2017)

Partnerships with local colleges give students an opportunity to take college courses and earn college credits while still in high school. Students experience the actual rigor of college and can potentially earn an associate degree concurrently with their high school diploma. CP Bronx intends to partner with Bronx Community College and has held preliminary conversations with and secured a letter of support from the President. We have also obtained a letter of support from Monroe College.

- The Institute of Education Science at the U.S. Department of Education published in 2017 a summary of findings from a systematic review of the evidence regarding dual enrollment programs. “Dual enrollment programs were found to have positive effects on students' degree attainment (college), college access and enrollment, credit accumulation, completing high school, and general academic achievement (high school), with a medium to large extent of evidence. For the staying in high school, college readiness, and attendance (high school) domains, dual enrollment programs had potentially positive effects with a small extent of evidence.”
- A national study of high school students' participation in dual enrollment found that “dual enrollment fosters more positive attitudes towards earning post-secondary degrees in students who did not previously hold these attitudes; that dual enrollment participation greatly improves students' propensity to persist in college; and this

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persistence in turn improved greatly dual enrollment students' likelihood and odds to graduate from college with bachelor's or graduate level degrees." (Swanson, 2008)

- The Community College Research Center (CCRC) at Teachers College, Columbia University has conducted studies in Florida, New York City, and California and found that dual enrollment participation is positively related to a range of college outcomes, including college enrollment and persistence, greater credit accumulation, and higher college GPA. (2012)

Athletics: The unique two sport requirement expects each student to participate in two school sports annually. Competitive sports align with the Learner Expectations as students learn important life lessons about teamwork, persistence, problem solving and fair play.

- Participation in school sports was associated with higher GPAs, favorable perceptions of school safety, and increased perceptions of family and teacher/community support. (Boekel et al, 2016)

Robust professional development (PD) designed to improve the key competencies of all teaching staff is critical to ensuring student mastery of NYS Learning Standards and our Five Learner Expectations. PD focuses on leadership development through regular opportunities for teachers to collaborate in grade-level and content teams and professional learning communities as well as to receive formal ongoing coaching and mentoring from school and CPS leadership informed by the teacher's Individualized Teacher Plan (ITP). Unique to the CP model is the "Creativity Symposium" during which faculty present an action-research project to their colleagues and the greater community based on the goals of their ITP. The focus of these projects is to improve individual and collective teaching practice and enhance the professional culture and climate.

- There is strong evidence that one-shot professional development workshops are ineffective and that long-term, embedded professional development is a critical factor in raising student achievement. In a review of evidence on how teacher professional development affects student achievement, the federal government's What Works Clearinghouse found that "teachers who receive substantial professional development—an average of 49 hours in the nine studies—can boost their students' achievement by about 21 percentile points. (2007)

Accountability Plan for the Accountability Period 2019-20 TO 2023-24

Academic Goals

GOAL 1

English Language Arts. Students will be proficient in reading, writing, speaking and listening.

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 English language arts exam for grades 3-8.
- ◆ Each year, the school's aggregate Performance Level Index (PLI) on the state English language arts exam will meet that year's Annual Measurable Objective (AMO) set forth in the state's NCLB accountability system.

Comparative Measures

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

Growth Measures

- ◆ 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.

GOAL 2

Mathematics. Students will be proficient in mathematics.

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.

Proposal History

(a) Applicant Information

Joan Massey is an experienced school administrator and educator. She has served in the roles of superintendent, assistant superintendent, chief academic officer, principal, assistant principal, director of special education, and teacher, which qualify her as an applicant under the Charter Schools Act.

Ms. Massey joined Capital Preparatory Schools (CPS) in January 2017. She has 30 years of experience in the public school arena, including public charter school networks in Washington, D.C., Newark and Los Angeles. Ms. Massey has demonstrated throughout her career proven effective leadership in defining mission and vision, teacher/leader development, budgeting and strategic planning with school boards. She is a dedicated student advocate, continuously fostering, nurturing and maintaining a safe and respectful learning environment conducive to academic success and stakeholder satisfaction. Ms. Massey is skilled at steering educational improvement efforts and increasing student achievement through shared leadership, data-driven decision-making, and systems thinking. She excels at cultivating and maintaining unified relationships with all stakeholders to achieve a common goal. She spent many years in the Hartford Public Schools as a district administrator, including as Assistant Superintendent of Secondary Schools and Interim Chief Research and Assessment Officer. In her capacity with Hartford Public Schools she had firsthand experience with the successful Capital Preparatory Magnet School. Ms. Massey has served on the Title I Task Force for the Office of the State Superintendent for the District of Columbia, the Secondary School Report-Capstone Advisory Committee and the Advisory Committee for Priority Schools for the Connecticut State Department of Education. A frequent presenter on educational issues, Ms. Massey received her MA in Special Education from American International College and her BS in Education from Northeastern University. She is currently completing her dissertation for her Doctorate of Educational Policy and Leadership from the University of Massachusetts, Amherst.

(b) Proposal History

The applicant team is comprised of key staff members from CPS, the proposed charter management organization, who currently support the work of CP Harlem and CP Harbor. After careful consideration of organizational capacity, demand, and need, the CPS staff and board greenlighted a process to focus on replicating the existing successful model of CP Harlem. The applicant team conducted all community outreach and a consultant was used to assist in drafting the written application and business plan.

(c) List of Founding Team Members

No additional founding team members have been added since submission of the Letter of Intent. Our founding team members are all key leaders of Capital Preparatory Schools, the charter management organization proposed as the CMO for CP Bronx.

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Founding Team Members (Other Than Board Members)

| Name | Relevant Experience/Skills and Role in Founding Group | Proposed Role(s) in School (if any) |
|------------------------|---|--|
| 1. Jill Cutler-Hodgman | CPS Chief Operating Officer: Jill Cutler Hodgman earned her Bachelors of Arts in Psychology from Cornell University and a Juris Doctor from the University of Connecticut School of Law. She started her career representing boards of education throughout Connecticut when she joined the Hartford law firm of Shipman & Goodwin LLP. Through that work, she represented the Hartford Public Schools in labor negotiations under Connecticut General Assembly Special Act 97-4 that regulated the district at that time due to a takeover by the State of Connecticut. In 2002, Jill joined the Hartford Public Schools directly to continue to focus on the needs of the underserved students in Hartford. Throughout the following fifteen years, Jill worked in a variety of roles and structures for different superintendents providing employment law and labor support as well as strategic planning, crisis management and leadership development. She negotiated the founding employment agreements with multiple unions to allow for the innovation at the Capital Preparatory Magnet School. | CMO Staff Member |
| 2. Paula Altieri | CPS Chief Financial Officer: Paula Altieri was recently appointed as the Chief Financial Officer for Capital Preparatory Schools. With over two decades of public and private financial management expertise, Ms. Altieri came to Capital Preparatory Schools' with a strong background in school finance, administration, and innovation in management. Ms. Altieri recently served in the capacity of Chief Financial Officer of Hartford Public Schools from 2006 to 2018, and Budget and Grants Director from 1999 to 2006. Ms. Altieri is a certified School Business Administrator with the Connecticut State Department of Education, holds a Bachelor's degree from Post University, and a Master's degree in Accounting and Taxation from the University of Hartford. Ms. Altieri is an active member of the Connecticut Association of School Business Officials, the Association of School Business Officials, International, and was awarded the distinction of CFO of the Year in 2013 from the Hartford Business Journal. | CMO Staff Member |
| 3. Tammy Cassile | CSP Chief Student Support Officer: Tammy Cassile currently oversees the special education and RTI programs at Capital Prep Schools. She is an | CMO Staff Member |

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| | | |
|--------------------|---|------------------|
| | <p>experienced educator, having served as Principal at the Breakthrough Magnet II School in Hartford, CT. She also implemented the Breakthrough Character Education Program and served as a social worker at the Breakthrough Magnet South Campus. She has taught education courses at the University of Connecticut and conducted numerous professional development trainings and workshops. Ms. Cassile has a BA in Social Work from Salve Regina University and an MA in Social Work from Fordham University.</p> | |
| 4. Kashani Stokley | <p>CSP Director of Network Operations: Kashani Stokley joined Capital Preparatory Schools in January 2018 as the founding Director of Network Operations. Prior to joining CPS, Mr. Stokley served on several school based leadership teams for charter organizations, including serving as the Founding Chief Operations Officer for a K-8 charter school. Mr. Stokley has served as the Associate Center Director for Kaplan Test Prep and Admissions Manhattan Village Center. As the Associate Center Director, he was responsible for scheduling onsite and offsite graduate and pre-college classes, as well as improving the service delivery and brand recognition of Kaplan’s programs. For six years prior to joining Kaplan, Mr. Stokley served as the Project Director of Youth Action Programs and Homes, where, as part of his role, he managed a \$10 million gut rehabilitation project that created 64 units of low-income housing for 120 families. Mr. Stokley holds a Bachelor of Arts in Communication from The College of New Rochelle and a Graduate Certificate in Non-Profit Management from Columbia Business School.</p> | CMO Staff Member |

(d) Board Members

The proposed five board members represent a range of relevant skills and experience—including education, business and finance, school administration, and non-profit management—with which to govern a charter school. Three of the proposed board members already serve on the board of CP Harlem, and are familiar with the school model, having held both school leadership and CPS accountable for CP Harlem’s success, which they will replicate in the new school. The school board will have six members, one of whom will be affiliated with the charter management organization. Currently two of the proposed members are affiliated with CPS, but one (Joan Massey) will step off the board once the charter is approved and two additional board members are recruited from the community.

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| Trustee Name | Position on the Board | Committee Affiliations | Expertise and/or Role at School | Voting | Ex-Officio |
|----------------------|-----------------------|------------------------|---|--------|------------|
| 1. Derek Ferguson | Chair | | Derek Ferguson serves as the Chief Operating Officer for the Robin Hood Foundation. Most recently, Mr. Ferguson was chief operating officer of Revolt Media & TV. Prior to Revolt, Mr. Ferguson was chief growth officer of Combs Enterprises. Before joining Combs Enterprises, Mr. Ferguson was vice president of finance and operations for BMG Special Products, a division of BMG Entertainment. He was previously a manager at Bain and Company, where he provided strategy consulting for consumer products and retail companies. His professional career began in 1985, when he worked at Coopers and Lybrand as an auditor and mergers and acquisitions analyst. While there, he also earned his CPA. Mr. Ferguson is an active member of New York Covenant Church in New Rochelle, NY, where he led the economic justice ministry and is a board member of its development corporation. At New York Covenant, he has launched various businesses, including Cross Trainers Apparel, Covenant Building Services, and Life Music, and oversees a food and clothing initiative (Isaiah's Room) and an annual social justice conference. Mr. Ferguson is a 1990 graduate of Harvard Business School and a 1985 graduate of the Wharton School at the University of Pennsylvania. He was born and raised in the Bronx and graduated from Stuyvesant High School. | Yes | No |
| 2. Dr. Stephen Perry | Member | | Dr. Perry is the leader of Capital Preparatory Schools and has over 20 years of experience in public education, serving as founder and principal of Capital Prep Magnet School since its inception. Dr. Perry has also been featured in CNN's Black in America series, is an Education Contributor for CNN and | Yes | No |

Capital Preparatory Bronx Charter School

| Trustee Name | Position on the Board | Committee Affiliations | Expertise and/or Role at School | Voting | Ex-Officio |
|----------------|-----------------------|------------------------|--|--------|------------|
| | | | <p>MSNBC, an Essence Magazine columnist, best-selling author, and host of the #1 docudrama for TVONE "Save My Son." Dr. Perry earned a Doctorate of Educational Leadership from University of Hartford, a Masters of Social Work from the University of Pennsylvania School of Social Work and a Bachelors of Arts from University of Rhode Island.</p> | | |
| 3. Joan Massey | Member | | <p>Joan Massey is currently the President of CPS and has 30 years of experience as a teacher, assistant principal, principal, assistant superintendent, and superintendent/chief academic officer in the public school arena, including public charter school networks in Washington, D.C. and Los Angeles. She spent many years in the Hartford Public Schools as a district administrator, including as Assistant Superintendent of Secondary Schools and Interim Chief Research and Assessment Officer. In her capacity with Hartford Public Schools she had firsthand experience with the successful Capital Preparatory Magnet School. Ms. Massey has served on the Title I Task Force for the Office of the State Superintendent for the District of Columbia, the Secondary School Report-Capstone Advisory Committee and the Advisory Committee for Priority Schools for the Connecticut State Department of Education. A frequent presenter on educational issues, Ms. Massey received her MA in Special Education from American International College and her BS in Education from Northeastern University. She is currently completing her dissertation for her Doctorate of Educational Policy and</p> | Yes | No |

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| Trustee Name | Position on the Board | Committee Affiliations | Expertise and/or Role at School | Voting | Ex-Officio |
|-----------------------------|-----------------------|------------------------|--|--------|------------|
| | | | Leadership from the University of Massachusetts, Amherst. | | |
| 4. Georgiette Morgan-Thomas | | | Reverend Georgiette Morgan-Thomas is the Director of Harlem Services for Goddard Riverside Community Services, one of New York City’s largest not-for-profit organizations. Rev. Morgan-Thomas also serves as a board member for Capital Preparatory Harlem Charter School. She is an experienced psycho-therapist and emergency psychiatric evaluator, and has directed programs in juvenile services, senior services, homeless services, domestic violence, mental health, and supported housing. She has been a member of New York City’s Community Board 9 since 2002 and its Chair since 2010. Rev. Morgan-Thomas is president of a local section of the National Council of Negro Women, serves on the Board of Directors for Rebuilding Together Manhattan, serves as Vice President of United Edgecombe Block Association, and works with both the 30th and 32nd Precinct Councils of the New York City Police Department. Rev. Morgan-Thomas has received numerous awards for her work, and has been nominated by the New York Women’s Chamber of Commerce for the prestigious “New York Women of Excellence” award. | Yes | No |
| 5. Ramik Williams | | | Ramik Williams brings his connections to the Bronx community where he is Executive Director of Directions For Our Youth, an organization that partners with public schools to provide out of school time programming to school age children. Prior to that he was the Program Director at the Research Foundation at the Borough of Manhattan Community College. He was also the Program Director for the Teachers as Leaders | Yes | No |

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| Trustee Name | Position on the Board | Committee Affiliations | Expertise and/or Role at School | Voting | Ex-Officio |
|--------------|-----------------------|------------------------|---|--------|------------|
| | | | <p>Program at City University of New York and Director of the Youth Services Department at the Union Settlement Association. He also has experience in charter school outreach and community engagement having been External Affairs and Recruitment Manager for a NYC charter school. Mr. Williams has a BA in History and a BA in Secondary Education from Fredonia College and an MPA from Metropolitan College of New York. He was also a certified middle and high school teacher.</p> | | |

(e) Description of Community Outreach Efforts

CPS has been working to replicate a school in the Bronx for a number of years and has thus availed itself of ample opportunities to discuss the concept in general and this proposal in particular with a range of stakeholders in the community. We have tried to approach a broad representation of interests and concerns to understand the needs in the community and determine whether CP Bronx would be a good fit. Outreach has employed a variety of methods, including: calls, meetings, tabling at events, presenting to other organizations, giving speeches, hosting public information sessions, and producing a website and flyers.

The types of people and organizations we have reached out to include:

- Education leaders
- Business leaders
- Politicians
- Parents
- Higher education
- Religion leaders
- Community residents
- Charter school board members and leaders
- Community centers
- Community Education Council
- Public housing tenant associations
- YMCA
- Community activists
- Foundations
- Health care
- Board of Regents member

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Throughout the process we have been encouraged to pursue this application based on the identified needs in the community, particularly for low-income disadvantaged students, for whom the CPS model is designed. Community stakeholders have urged and suggested building relationships and partnerships with organizations in the community, and we have connected with a number that will help us with student recruitment, dual enrollment opportunities, and referrals for students and their families.

The table on the following pages describes our outreach efforts, the input obtained, and action taken as a result, all of which inform the proposal we are submitting.

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Public Outreach Information

| Date(s) of Outreach | Target Stakeholder Group | Description of the Outreach | Location of Outreach | Input Obtained | Action Taken on Input | Number of Attendees |
|----------------------------|--|--|---|---|---|---------------------------------------|
| 4/23/15 | Community Members, College Graduates, Aspiring Community Leaders | Dr. Perry served as Keynote Speaker at Monroe College's Male Empowerment Summit. | Monroe College 2501 Jerome Ave Bronx, NY 10468 | More Middle and High schools needed in the Bronx | Discussed potential partnership with Monroe college president, secured parent contact info for follow up | 100+ |
| 4/30/15 | Families of Bronx parents | Dr. Perry met with a group of parents, including Mona Davids, to discuss community educational ideas for Bronx families. | Bronx Library Center 310 E. Kingsbridge Rd. Bronx, NY | narrowed down district 10 & 12 as being the most in urgent need | discussed with Mona Davids how to partner and strategically engage parents and getting them involved | 12 |
| 4/30/15 | Higher Education community | Dr. Perry met with administrators from Monroe College to discuss Bronx community needs, including Dr. Cecil Wright. | Bronx Community College | Need for effective college ready scholars | set up meeting with BCC president to discuss partnership and parent resources. | 9 |
| 5/3/15 | Community members | Dr. Perry met with community members at the Al-Iman Mosque. | Al-Iman Mosque 2008 Westchester Ave Bronx NY 10457 | Need for more middle & high schools in the area | follow up meeting with Rabbi Meir Kabakow and multiple leaders in the community to assist with recruitment and engagement | 22 |
| 5/5/15 | Community Leaders, CBO Directors | Dr. Perry and Dr. Cecil Wright met at Monroe College to discuss working together. | Monroe College 2501 Jerome Ave Bronx, NY 10468 | need for education around the need for a college degree | currently in talks around a partnership. | 4 |
| 5/21/15 | Television Interview | Dr. Perry appeared on TV at Lehman College to discuss bringing Capital Preparatory Schools to the Bronx. | Lehman College 250 Bedford Park Blvd Bronx NY 10468 | stronger middle and High schools needed in the Bronx | In discussions around a partnership between Lehman and Capital Prep as well as setting up additional TV dates for Dr. Perry | unknown audience public TV & Students |
| 10/6/15 | Community members | Monroe College hosted a public interest meeting for Capital Prep Bronx Boys and Bronx Girls Charter Schools. | Monroe College 2501 Jerome Ave Bronx, NY 10468 | No good Middle and High schools, SPED and location of school | discussed the Capital Prep 6-12 model (great feedback, they loved the idea of not having to look for a high school). They loved the CPREP Inclusion model for SPED. | 15 |

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| Date(s) of Outreach | Target Stakeholder Group | Description of the Outreach | Location of Outreach | Input Obtained | Action Taken on Input | Number of Attendees |
|----------------------------|----------------------------------|---|--|--|---|----------------------------|
| 10/6/15 | Local Politicians | Dr. Perry met with Assembly member Marcos Crespo to discuss educational ideas for the Bronx. | District Office of Assemblyman Crespo 1551 Watson Avenue Bronx, NY 10472 | College-Prep focus, parent engagement is important, consistent environment | Mr. Crespo is in support of Capital Prep coming to the Bronx, he has given us an official letter of support. | 3 |
| 10/14/15 | Community members | Capital Preparatory Schools attended an event for City Council Member Ritchie Torres hosted by the office of our Harlem School Board Chair | 1440 Broadway New York, NY 10018 | discrimination and bullying in schools. | discussed plans to apply for the Capital Prep Bronx School with Council Member Torres and his chief of staff | 40 |
| 10/27/15 | Community Leaders, CBO Directors | Capital Preparatory Schools spoke via phone with Families for Excellent Schools "FES" to discuss their experience with Bronx schools, parents, and students. | Phone Conference w/ Cory Krall (NY Director of NY Schools) | discussed Bronx districts in need, statistics and student demographic | recurring meetings with FES to discuss progress in the Bronx and upcoming meeting and community events. | 4 |
| 11/9/15 | Community members | Dr. Perry attend and spoke at the Inner City Foundation Benefit Dinner where he announced his interest in bringing Capital Preparatory Schools to the Bronx. | Inner City Foundation | student demographic, outreach and resources | Inner City Foundation will continue to support Capital Prep, They offered to sponsor community outreach meeting and assist with recruitment efforts in the Bronx | 60 |
| 11/10/15 | Community members | Monroe College hosted a public interest meeting for Capital Prep Bronx Boys and Bronx Girls Charter Schools. | Monroe College 2501 Jerome Ave Bronx, NY 10468 | No good Middle and High schools, SPED and location of school | discussed the Capital Prep 6-12 model (great feedback, they loved the idea of not having to look for a high school). They loved the CPREP Inclusion model for SPED. | 16 |
| 11/16/15 | Community Based Organization | Capital Preparatory Schools met with Families for Excellent Schools to discuss Bronx community needs. | Families for Excellent Schools New York, NY | Bronx failing districts & test scores | narrowed down our target district to 10 or 12 based on statistics given to us by FES | 7 |
| 11/20/15 | Community Leaders, CBO Directors | Capital Preparatory Schools spoke via phone with Karen Drezner, Board Chair of Children's Aid College Prep located in CSD 12, to learn her thoughts regarding the community, parents, and students. | Phone Conference | college prep, middle and high school combination | currently in discussions with Karen Drezner as we target a district and build our board as well as advisors for the Bronx. | 3 |

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| Date(s) of Outreach | Target Stakeholder Group | Description of the Outreach | Location of Outreach | Input Obtained | Action Taken on Input | Number of Attendees |
|----------------------------|---|--|--|---|---|----------------------------|
| 11/23/15 | Community Leaders, CBO Directors | Capital Preparatory Schools held a follow-up meeting with Families for Excellent Schools to discuss the Bronx as well as to invite their network of parents to the Capital Prep Bronx school public interest meetings. | Families for Excellent Schools | | | |
| 11/23/15 | Community Leaders, CBO Directors | Capital Preparatory Schools met with Isaiah Brown, Director of the Bronx River Community Center, to learn more about CSD 12 students, families, and schools. | Bronx River Community Center 1619 E. 174th St Bronx NY 10472 | parent and student needs, demographic, concerns around education | schedule a date to host a meeting for families at the community center | 3 |
| 12/2/15 | Community members | Bronx River Community Center, led by Isaiah Brown, hosted a public interest meeting for Capital Prep Bronx Boys and Bronx Girls. | Bronx River Community Center 1619 E. 174th St Bronx NY 10472 | middle/high school combination, SPED, sports | requests for updates on Bronx school opening, collected parent contact information and added them to our outreach for the bronx so they can | 24 |
| 12/4/15 | Community Leaders, CBO Directors | Capital Preparatory Schools met with Swadija Herbert, Program Director at the ACDP Cornerstone to discuss CSD 12 students, parents, and schools. | Murphy Community Center 601 Crotona Ave Bronx NY 10457 | demographics (parents/students), the neighborhood, violence | set up a date to host parents/students and discuss opening Capital Prep in the district | 4 |
| 12/5/15 | Community members | Monroe College hosted a public interest meeting for Capital Prep Bronx Boys and Bronx Girls Charter Schools. | Monroe College 2501 Jerome Ave Bronx, NY 10468 | Middle and high school needed, transportation(buses, metro eligibility) | Discussed with parents, collected information and added them to our email list to share updates and information as we receive it. | 9 |
| 12/7/15 | Community members | hosted a public interest meeting for Capital Prep Bronx Charter School. | Murphy Community Center 601 Crotona Ave Bronx NY 10457 | middle and High school needed in the area | excited about the school, collected parent info for future outreach in the Bronx | 17 |
| 12/16/15 | Community Education Council Members (District 12) | Dr. Steve Perry presented at CEC 12 Meeting with Ms. Ilka Rios (re Bronx new schools) | CEC 12 1970 West Farms Road Bronx, NY 10460 | College-prep, parent engagement, lottery, after school | awaiting a follow-up meeting with CEC 12 to discuss the updates of Capital Prep Bronx, in talks with local bronx entities regarding partnerships for afterschool programs as well as family resources | 20 |

Capital Preparatory Bronx Charter School

| Date(s) of Outreach | Target Stakeholder Group | Description of the Outreach | Location of Outreach | Input Obtained | Action Taken on Input | Number of Attendees |
|----------------------------|------------------------------------|---|---|---|---|----------------------------|
| 1/20/16 | Community Residents in District 12 | Capital Prep Schools spoke at the Bronx Rivers Tenant Association Meeting | Bronx River Community Center 1619 E. 174th St Bronx NY 10472 | Lottery system, middle and high schools, sports, college-prep | currently in a partnership with the Charter School sports organization to incorporate sports. | |
| 2/12/16 | Charter School Community | Tour of Public Prep Middle School and meeting with Principal, Lacy Reed to learn more about single-sex middle school models. | Public Prep 1695 Seward Avenue Bronx, NY 10473 | Gender specific programs, resources, instructional staff | add professional staff development around gender based curriculum | 3 |
| 2/16/16 | Local Politicians | Meeting with Marcos Crespo & Bronx Borough President, Ruben Diaz, Jr. to discuss education needs in the Bronx. | Office of Assemblyman Crespo 250 Bedford Park Blvd Bronx NY 10468 | target district, demographics, parent engagement | Capital Prep has targeted district 12 as the location for bronx school, setting up meetings with Bronx resources for parents. | 4 |
| 3/17/16 | Families of students | Meeting with Bronx YMCA - Executive Director, Sharlene Brown to discuss families and needs around education in the Bronx | Bronx YMCA 2 Castle Hill Avenue Bronx, 10473 | district needs, parent and student resources | Capital Prep has targeted district 12 as the location for bronx school, setting up meetings with Bronx resources for parents | 3 |
| 4/12/16 | Families of Students | Bronx YMCA hosted a parent info session for Capital Prep | Bronx YMCA 2 Castle Hill Avenue Bronx, 10473 | high school needs, sports, SPED | sport requirement, in discussions with local sports organizations, hiring strong SPED certified staff. | 12 |
| 5/11/16 | Local Politicians | Meeting with Nicole Brisbane, New York State Director at Democrats for Education Reform to discuss Bronx representatives and education reform for Bronx communities | 1440 Broadway New York, NY 10018 | Bronx school representatives, politicians, district needs | Nicole Brisbane will host a discussion with local activists and politicians to discuss Bronx education needs | 4 |
| 6/9/16 | Local Politicians | meeting with Ritchie Torres, NY city Council member since 2013 for a follow up discussion surrounding education in the bronx | District Office 573 East Fordham Road Bronx, NY 10458 | District needs, bullying & cyberbullying, . parent engagement | Follow up calls with Mr. Torres and his office, outreach to local organizations that provide resources and education surrounding bullying | 3 |

Capital Preparatory Bronx Charter School

| Date(s) of Outreach | Target Stakeholder Group | Description of the Outreach | Location of Outreach | Input Obtained | Action Taken on Input | Number of Attendees |
|----------------------------|--|--|--|--|--|----------------------------|
| 6/27/16 | Local Politicians | phone conference with Michael Blake, Assemblyman District 79 & represents CSD 12. Discussion around Capital Prep coming to the Bronx | via zoom phone conference | district needs, demographic, college-prep | Michael Blake continues to support Capital Prep and has sent a letter of support to NYS for Capital Prep. | 4 |
| 7/19/16 | Community Members potential board members | video conference meeting with Malik Yoba, bronx native & political activist to discuss Capital Prep coming to the Bronx & possibility of joining the board | via Facetime | District need, political reps, board requirements | we have targeted District 12 for the Bronx school, Mr. Yoba is still considering the board option, he has agreed to host a family event. | 2 |
| 8/29/16 | Local Politicians | Michael Blake, Marcos Crespo, Jose Serrano and Jeffrey Klein attend the opening of Capital Prep Harlem and Dr. Perry gives them a tour of the new school. | Capital Prep Harlem 1 East 104th Street New York, NY 10029 | District need, demographic, parent outreach | target District is 12 but lottery is open to all students, follow up discussions scheduled with updates on the progress of Capital Prep Harlem. | 12 |
| 2/7/2017 | Local Politicians & Charter School Community | Dr. Perry spoke at the Charter School Advocacy event. The Capital Prep team also met with Carl Heastie (District 83), Gustavo Rivera 9 (District 33) and Carmen Arroyo (District 84) | State Bldg Albany, NY | district needs, failing schools, college-prep | Gustavo Rivera offered to host a community event for follow up outreach (he reps CSD 12), Carmen Arroyo and Carl Heastie has been added to our list for updates on progress for Bronx school | Dr. Perry (spoke to 100+) |
| 3/21/17 | Bronx Community Members | Dr. Perry & Isaiah Brown met with Thomas Isekenegbe, Bronx Community College President, to discuss Capital Prep Bronx coming to the Bronx | BCC 2155 University Avenue, Bronx, NY 10453 | district needs, college-prep | in discussion around a strategic partnership for students as well as parent and teacher resources. | 3 |
| 4/11/17 | Bronx Community Member | met with Sharon Braithwaite & Andre Royo (long time Bronx residents and celebrities) | Antonio's Trattoria 2370 Belmont Avenue Bronx, NY | possible board membership, failing schools | follow up meeting scheduled to host an event in the Bronx CSD 12 for families. | 3 |
| 5/18/17 | Charter School Community | meeting with Abena Agyemang from Families of Excellent Schools" FES" to discuss focused bronx outreach, updates statistics | 1440 Broadway New York, NY 10018 | failing schools, statistics, district needs, parent outreach | FES continues to be supportive in outreach efforts, they will host a future event in the bronx for continued family engagement. | 2 |

Capital Preparatory Bronx Charter School

| Date(s) of Outreach | Target Stakeholder Group | Description of the Outreach | Location of Outreach | Input Obtained | Action Taken on Input | Number of Attendees |
|----------------------------|---|---|--|--|--|--|
| 6/3/17 | Families of students in District 12 | Hosted a meet/greet to introduce team and solicit feedback on application. | Parkchester Public Library 1985 Westchester Ave Bronx, NY 10462 | Need for quality, free schools in the District, school within location of public transportation, train preferable then buses | Add a robust instructional staff with trainings on empathic communication | 10 families of students in district 12 |
| 6/6/17 | Community Leaders, Future Board Member | Met with Ramik Williams C.E.O. DFOY foundation and Christian Guerrero, BuildSprout Inc. | Directions for Our Youth 349 East 149th Street, Suite 501 Bronx NY 10451 | Board Development, strong community partnerships, (mental health crisis prevention) | Partner with Silverman School of social work (CCNY), community outreach event, facility location | 3 families of students in district 12 |
| 6/7/17 | Outreach Consult | Met with Kevin Brennan, to discuss outreach and startup strategies during charter application process | CPREP Harlem 1 East 104th St. NY, NY 10029 | Lead Instructional Staff, Culture keepers, ID Staff for strong start up | Onboard Bronx leadership staff during 17-18 school year, possible transfer of Harlem staff to Bronx | 3 families of students in district 12 |
| 6/9/17 | Families of students in District 12 | Tabled Phipps Health Care Fair, to introduce team and solicit feedback on application. | East Bronx Academy 1716 Southern Blvd Bronx, NY 10460 | Need for quality, free schools in the District | Recruit teachers with the skillset to support scholars in the district who have diverse needs | 10 families of students in district 12 |
| 6/12/17 | Families of students in District 12 | Hosted a meet/greet to introduce team and solicit feedback on application. | Soundview Public Library 660 Soundview Ave Bronx, NY 10473 | Need for quality, free schools in the District | Create a clear and transparent enrollment and admissions process | 2 families of students in district 12 |
| 6/14/17 | Community Education Council Members (District 12) | Attended CEC 12 General meeting to introduce CPREP and solicit feedback on application process. | CEC 12 1970 West Farms Road Bronx, NY 10460 | Need for effective schools, that graduates young people to college | Implement curriculum that is diverse and plan and is college ready focused, Enrichment activities such as college tours and in house info sessions | 20 families of students in district 12 |
| 6/19/17 | Community Leader Amongst African Population | Met with Christelle N. Onwu, MSW Human Rights Specialist New York City Commission on Human Rights to discuss outreach strategies within African Community | DFOY Headquarters 349 East 149th Street, Suite 501 Bronx NY 10451 | Attending churches, mosques and sporting events also, community | Focus outreach efforts on attending social and religious events. reach out to Michael Blake, | 3 families of students in district 12 |

Capital Preparatory Bronx Charter School

| Date(s) of Outreach | Target Stakeholder Group | Description of the Outreach | Location of Outreach | Input Obtained | Action Taken on Input | Number of Attendees |
|----------------------------|---------------------------------|---|---|--|---|--|
| | | in the Bronx | | hosts monthly potlucks with large crowds | | |
| 6/29/17 | Families of District 12 | Met with members of the Parkchester Jame Masjid to discuss hosting an event introducing CPREP to the mosque members | Parkchester Msjid 1203 Virginia Ave, Bronx, NY 10472 | | | 3 families of students in district 12 |
| 7/1/17 | Families of District 12 | Met with families of middle school and high schoolers to discuss CPREP and the model expanding into the Bronx | Bronx River Community Center 1619 E. 174th st. Bronx NY 10472 | Quality education in the neighborhood, with emphasis on career readiness | work into curriculum career readiness and college Prep components | 30 families of students in district 12 |
| 7/1/17 | Families of District 12 | Met with families of elementary and middle school schoolers to discuss CPREP and the model expanding into the Bronx | Watson Gleason Playground 1273 Noble Ave, Bronx, NY 10472 | Need for quality, free schools in the District | Partner with CBO's for Extracurricular activities, sports programs and early college exposure | 13 families of students in district 12 |
| 7/2/17 | Families of District 7, 9, 12 | Tabled a Bronx Week event and met with families to discuss CPREP and garnish support for the expansion. | Bronx Week 3rd Ave Festival 149th St & 3rd Ave Bronx, NY | Need for quality, free schools in the Bronx | Provide as many quality free services to parents to support families of the students of the Bronx. | 65 families of students in district 12 |
| 7/2/17 | Local Politicians | Phone call with potential board member, Reverend Morgan Thomas & Cynthia Cox, Bronx District Leader, discussed Capital Prep Coming to the Bronx | Via phone conference | District, failing schools, college prep | Cynthia Cox has agreed to support the efforts of Capital Prep coming to the Bronx and will write a letter of support. | 3 |
| 7/3/17 | Families of District 12 | Met with Parents of the Bronx River Summer Youth Employees to discuss CPREP Expansion in the Bronx | Bronx River Community Center 1619 E. 174th st. Bronx NY 10472 | Need to send quality students to schools in the Bronx, College Prep focus. | work into curriculum career readiness and college Prep components | 30 families of high school students in district 12 |

Capital Preparatory Bronx Charter School

| Date(s) of Outreach | Target Stakeholder Group | Description of the Outreach | Location of Outreach | Input Obtained | Action Taken on Input | Number of Attendees |
|----------------------------|--|---|---|--|---|--|
| 7/5/17 | Families of District 12 | Met with parents of Bronx River summer camp | Bronx River Community Center 1619 E. 174th st. Bronx NY 10472 | Quality education in a school the promotes student achievement and parent involvement. | Provide trainings with staff and faculty surrounding quality parent teacher communication. Establish PTA or some sort of parent input system. | 25 families of elementary and middle school parents of District 12 |
| 7/7/17 | Families of District 12 | hosted Info Session at the library to gather feedback about charter schools in the community | Clason Point Library 1215 Morrison Ave Bronx NY 10472 | | | |
| 7/10/17 | Families of District 12 | Attended the parent meeting for Legacy Volleyball program | Legacy Volleyball 748 Clarence Ave Bronx NY | | | |
| 7/20/17 | Families of District 12 | Deeper Life Bible church and Pas has invited us to speak at a conference they are hosting for the community and their members | 213 E. 144 th Street Bronx, NY 10451 | | | |
| 10/15/17 | Community Members, College Graduates, Aspiring Community Leaders | Dr. Perry spoke to new college students on career and expectations. | Monroe College 2501 Jerome Ave Bronx, NY 10468 | More Middle and High schools needed in the Bronx | Discussed the need for educational reform and how the Bronx would be a great place to start | 25 |
| 11/1/17 | Families of Bronx parents | Parents forum around the need for more High Schools in the bronx | Bronx Library Center 310 E. Kingsbridge Rd. Bronx, NY | narrowed down district 10 & 12 as being the most in urgent need | discussed the interest for Capital Prep to come to the bronx and how that will look. | 12 |
| 2/8/18 | Higher Education community | Dr. Perry met current students at BCC to discuss their personal experiences with Middle & High School in the Bronx. | Bronx Community College | Need for effective college ready scholars | set up for students to visit the other Capital Prep locations | 47 |

Capital Preparatory Bronx Charter School

| Date(s) of Outreach | Target Stakeholder Group | Description of the Outreach | Location of Outreach | Input Obtained | Action Taken on Input | Number of Attendees |
|----------------------------|----------------------------------|---|---|---|--|----------------------------|
| 3/13/18 | Community members | Dr. Perry met with community members at the Al-Iman Mosque. | Al-Iman Mosque 2008 Westchester Ave Bronx NY 10457 | Need for more middle & high schools in the area | A second meeting with Rabbi Meir Kabakow and to finalize Bronx recruitment efforts | 29 |
| 4/5/18 | Community Leaders, CBO Directors | Dr. Perry spoke with current Monroe college students to discuss the Bronx needs and how Social Justice can be intricate in the growth of a scholar | Monroe College 2501 Jerome Ave Bronx, NY 10468 | need for education around the need for a college degree | finalizing talks around High School programming and college courses in High School | 18 |
| 5/10/18 | Families of Bronx parents | Parents discuss the difficulties of finding a good school and how Capital Prep coming to the Bronx will make change | Bronx River Community Center 1619 E. 174th st. Bronx NY 10472 | narrowed down district 10 & 12 as being the most in urgent need | follow up emails to complete surveys and answer additional questions about Capital Prep | 32 |
| 5/29/18 | Capital Prep | Nan Mead, member of the Board of Regents made a visit to Capital Prep Harlem to meet the scholars and talk with the Harlem Board Chair & Principal of the Harlem school | Capital Prep Harlem 1 E. 104th Street New York, NY 10029 | discussed the focus on starting in 6th grade and the interest in expanding to the Bronx | Scheduling a follow up meeting to assist with gathering additional letters of support for the Bronx location | |

(f) Withdrawn, Rejected, and Concurrent Proposals (SUNY and/or Other Authorizers)

An application for two single gender charter schools in the Bronx was submitted to the SUNY Board of Trustees in 2016 and withdrawn. The names of the proposed schools were Capital Preparatory Bronx Boys Charter School and Capital Preparatory Bronx Girls Charter School. The current application focuses on replicating the existing coed model at CP Harlem, rather than implementing a new single sex model.

Members of the applicant team have been involved in two applications to the New York State Board of Regents:

- In 2015 an application was submitted to and approved by the Board of Regents to found the Capital Preparatory Harlem Charter School. The school opened in 2016-17 and continues to grow.
- In 2017 an application was submitted to the Board of Regents to found the Capital Preparatory Bronx Charter School. The application was withdrawn when it became clear that the State Education Department Office of Charter Schools was not going to recommend the application for approval, though it provided no formal rationale. The NYSED subsequently encouraged CPS to resubmit the application for the upcoming year.

The current proposal to SUNY is based in large part on this last application with no significant changes to the school model. However, given the SUNY application's more demanding requirements and no page limit, the current application expands on the previous application with more detail, research and materials from the replicated school.



Charter Schools Institute

The State University of New York

41 State Street, Suite 700
Albany, New York 12207

www.newyorkcharters.org

September 7, 2016

VIA ELECTRONIC MAIL

Dr. Stephen Perry

[REDACTED]
New York, NY 10016

Re: Proposal to Establish Capital Prep Bronx Boys Charter School
and Capital Prep Bronx Girls Charter School

Dear Dr. Perry:

Thank you for the significant time and effort that you and your planning team devoted to the proposals to establish Capital Prep Bronx Boys, and Capital Prep Bronx Girls, Charter Schools. The SUNY Charter Schools Institute (the "Institute") recognizes that this is a challenging endeavor and commends you for the work that you and your team put into developing the proposals.

As you know, after an in-depth review by Institute staff and several external consultants, the Institute determined that the proposals are in need of further detail and development and this preventing the Institute from moving them forward in the review process. Further information regarding the rationale for the Institute's decision follows.

The Institute's intent in providing this information is to communicate some, but not all, of its concerns generated during the review process. Ongoing experience approving, monitoring, and ultimately evaluating schools for charter renewal continues to inform our understanding of what it takes to open and run a successful charter school. This experience provides an increasingly critical lens through which we evaluate new proposals. While the school design and content of your proposals is ultimately up to you, they still must meet SUNY standards and demonstrate a strong likelihood of achieving a high level of student performance such that the schools are likely to earn renewal at the expiration of the charter terms.

Unfortunately, while the ideas presented in the proposals were interesting, the proposals fell short of providing the information necessary to meet the Institute's rigorous standards for approval. The Institute's protocol is to provide an overview of the reviewer analysis for the applications we receive. What follows is a review of the elements noted by the Institute as well as external reviewers. I note the information is not exhaustive of the questions raised during our review but attempts to capture some of the most pertinent issues raised in our review process.

To Learn
To Search
To Serve



Overall Analysis

The proposal as submitted to the Institute did not convey the detail and depth of planning reviewers found necessary for a young management organization to establish two single gender schools while at the same opening other new charters. The proposals fell short in its analysis of the single gender school options already available in New York City Community School District (“CSD”) 10 or 12, and the proposals lack a strong research-supported argument for how the features of a single gender model would specifically meet the needs students in these CSDs. Applicants’ reasons for changing to a single gender model was not evident, as neither the proposals nor the business plan includes an in-depth discussion of the strategic or educational factors girding the single gender design. The proposal did not provide reviewers with enough information regarding thoughtful programmatic modifications geared toward implementing successful single gender models. None of the founding team members hold experience in a single gender model and the proposal did not clearly convey how the schools would benefit in the planning and implementation stage from expertise in that area.

Organizational Capacity

Reviewers were concerned that the organization’s growth was not based on replicating an established and proven model, but rather a model that has changed with each new school request; from a magnet school to a coed-charter school in Connecticut to a coed school in New York, to the request for a pair of single-gender charter schools. Various school designs, combined with the number of charters the management organization sought to open, supported by a management organization with only four staff members across multiple geographies raised concerns when combined with the lack of information regarding single gender education expertise included in the proposal. Reviewers were also concerned that an 11-month per year teaching schedule could lead to teacher burnout and would require higher starting salaries to be competitive.

Reviewers questioned whether the charter management organization (“CMO”) board of three people would be able to provide the schools with rigorous start-up oversight for schools seeking to open in New York given the extent of their involvement on other boards and that they are based in Connecticut. Reviewers were also interested to know how the board intends to increase its capacity in K-12 and charter education.

Given that the business plan identifies facilities as the biggest risk to growth, reviewers questioned why it did not describe a strategy for building facilities-specific capacity within the network in critical areas such as: site or property acquisition, construction or project development management or facilities financing. In addition, the description of the planned facilities does not convey how the founders would navigate the space constraints and cost of real estate in the Bronx.

Curriculum

The curriculum and instruction sections of the proposals are consistently under-developed, lacking key information or actionable plans for implementing the new models, and in some cases not aligning with other parts of the proposals. Some examples include:

- As the proposal indicates these schools would be replications, the absence of existing curricular materials in the proposals is surprising. It is not clear what would be available from the currently operating schools, as the proposals make no references to building on any successes identified in the existing schools supported by the management organization. The proposals include insufficient description or examples of science or mathematics resources, instructional materials, exemplars of academic rubrics or replication curriculum.
- Expectations for lesson planning and the role instructional leaders would take in reviewing lessons are not clearly articulated.
- The proposal does not make clear how teachers, leaders, and students would develop, define and identify the quality and level of student work outcomes necessary to determine successful attainment of knowledge and skills in English language arts, mathematics, science and other curricular areas.
- Co-teaching is mentioned but the design for how teachers would work together and plans for the professional development and coaching needed to achieve this vision are extremely vague.
- Professional development plans for the weekly sessions mentioned are unclear as to who will lead them, how they are planned, linked to student academic needs, what the structure of the sessions will look like, what follow up coaching topics will look like, etc.
- References to project-based learning lack sufficient detail regarding why project based learning will work with the students the school seeks to serve, what research or results from other schools informs the proposed schools' design for using project based learning, what staffing and staff development considerations exist to ensure all teachers consistently deploy projects that build students' skills in each grade level and across grade levels as students progress through the school..
- The proposals describe an early college exposure model, but it is not consistently incorporated throughout the program design.

The Institute truly recognizes and appreciates the effort that went into the development of the proposal to establish Capital Prep Bronx Boys, and Capital Prep Bronx Girls, Charter Schools and we hope that this information provides you with a better understanding of SUNY's requirements and expectations. If you have any questions regarding the review process, please do not hesitate to contact Heather Wendling, Director for New Charters, at (518) 445-4250.

Sincerely,

A handwritten signature in black ink, appearing to read "Susan Miller Carello". The signature is fluid and cursive, with a large initial "S" and "C".

Susan Miller Carello
Executive Director

PAULA A. ALTIERI

EXECUTIVE MANAGEMENT • CHIEF FINANCIAL OFFICER

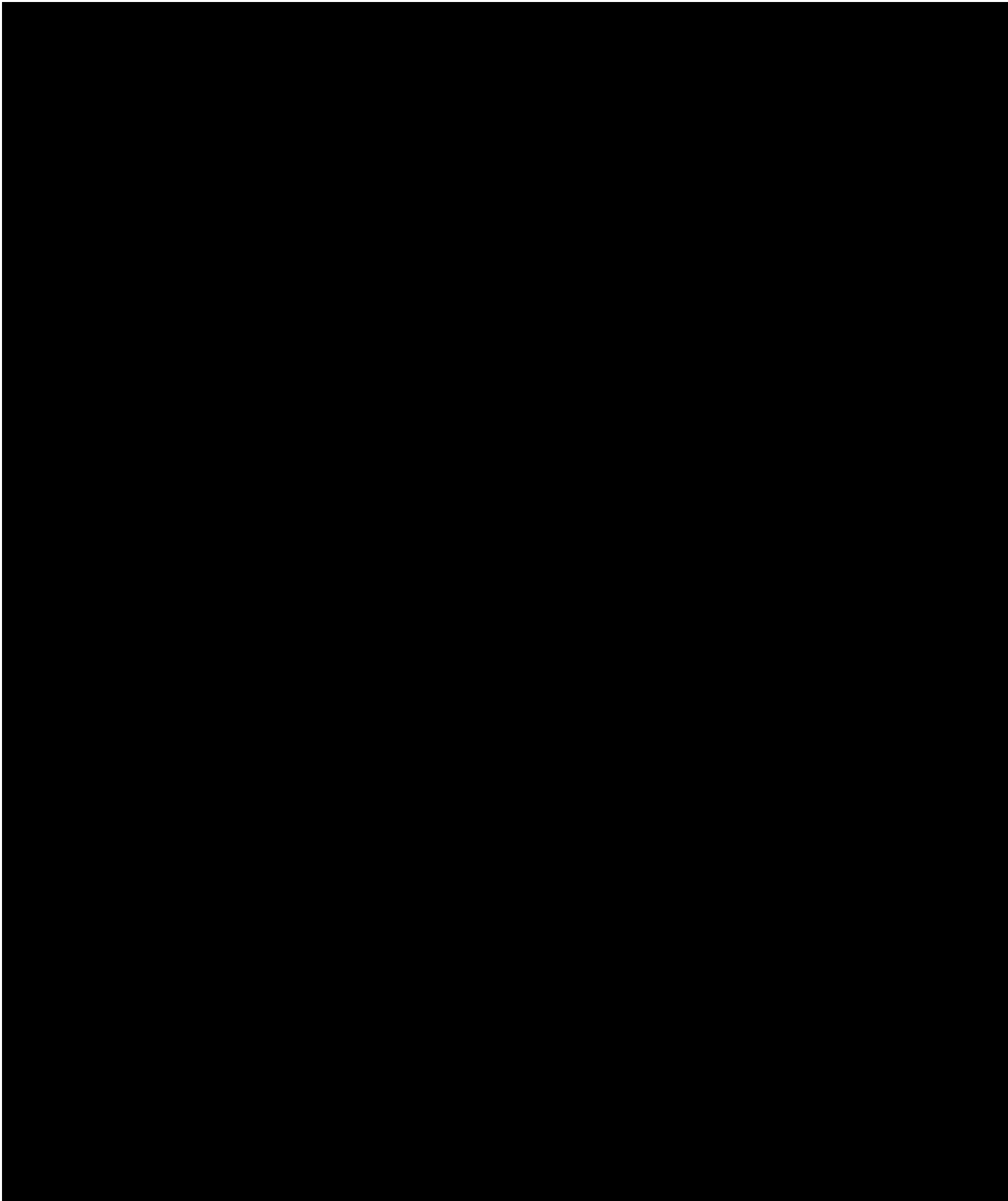
Extensively experienced and goal-oriented leader with strong financial and operational administration expertise. Proven track record in directing all core business and other functional disciplines including, but not limited to, financial management, strategic planning, enterprise risk and insurance management, budget and planning, grants and revenue management, human resources, information systems, and operations management. Talented in driving efficiency and productivity through evaluation of key performance indicators, business systems, and process improvement strategies. Articulate and influential with a participative style and talents in leading diverse and cross-functional teams to support achievement of organizational goals and objectives.

Core competencies include:

- **Leadership & Vision:** Ability to thrive and succeed in highly dynamic, ambiguous environments; ability to take concepts, develop a compelling vision and drive to an outcome; overcome multiple competing issues and demands.
- **Financial and Operations Management:** Strong expertise managing all facets of fiscal and operational functions including; financial management, audit, procurement, grants management, revenue and partnership development, strategic planning, research and evaluation, information systems, risk and insurance management, financial reporting, forecasting and modeling, collective bargaining, compensation and benefit plan administration, facility utilizations, operations, and maintenance programs. Ability to identify and analyze key business drivers and provide recommendations for strategic and tactical decision-making.
- **Technology Development & Implementation:** Skilled in leading the implementation of and maximizing use of enterprise systems, tools, and reports to increase operational efficiency and decision-making capability throughout organizations.
- **Project Planning & Management:** Organized, take-charge executive with exceptional follow-through and detail orientation; ability to plan and manage projects from conception to successful completion.
- **Team Building:** Successful in leading, motivating, and fostering team commitment towards realization of organizational goals and objectives.



Continued...



UNIVERSITY OF HARTFORD, Hartford, CT
Masters of Science in Accounting and Taxation, 2011

POST UNIVERSITY, Waterbury, CT
Bachelors of Science in Accounting, 2000

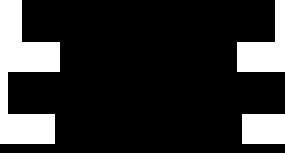
CERTIFICATION

STATE OF CONNECTICUT, DEPARTMENT OF EDUCATION
(085) School Business Administrator Certification, 2004

PROFESSIONAL AFFILIATIONS, OFFICES, AWARDS

- ~ 2013 CFO of the Year Award, Hartford Business Journal
- ~ Connecticut Association of School Business Officials
- ~ International Association of School Business Officials
- ~ Former President, Hartford Schools Support Supervisors Association
- ~ Former Liaison Hartford Board of Education Finance Committee

Tammy L. Cassile



EDUCATION:

- May 2009 Sixth Year Educational Leadership, Central Connecticut State University
- May 2000 M.A. Social Work, Fordham University
- May 1997 B.A. Social Work, Salve Regina University

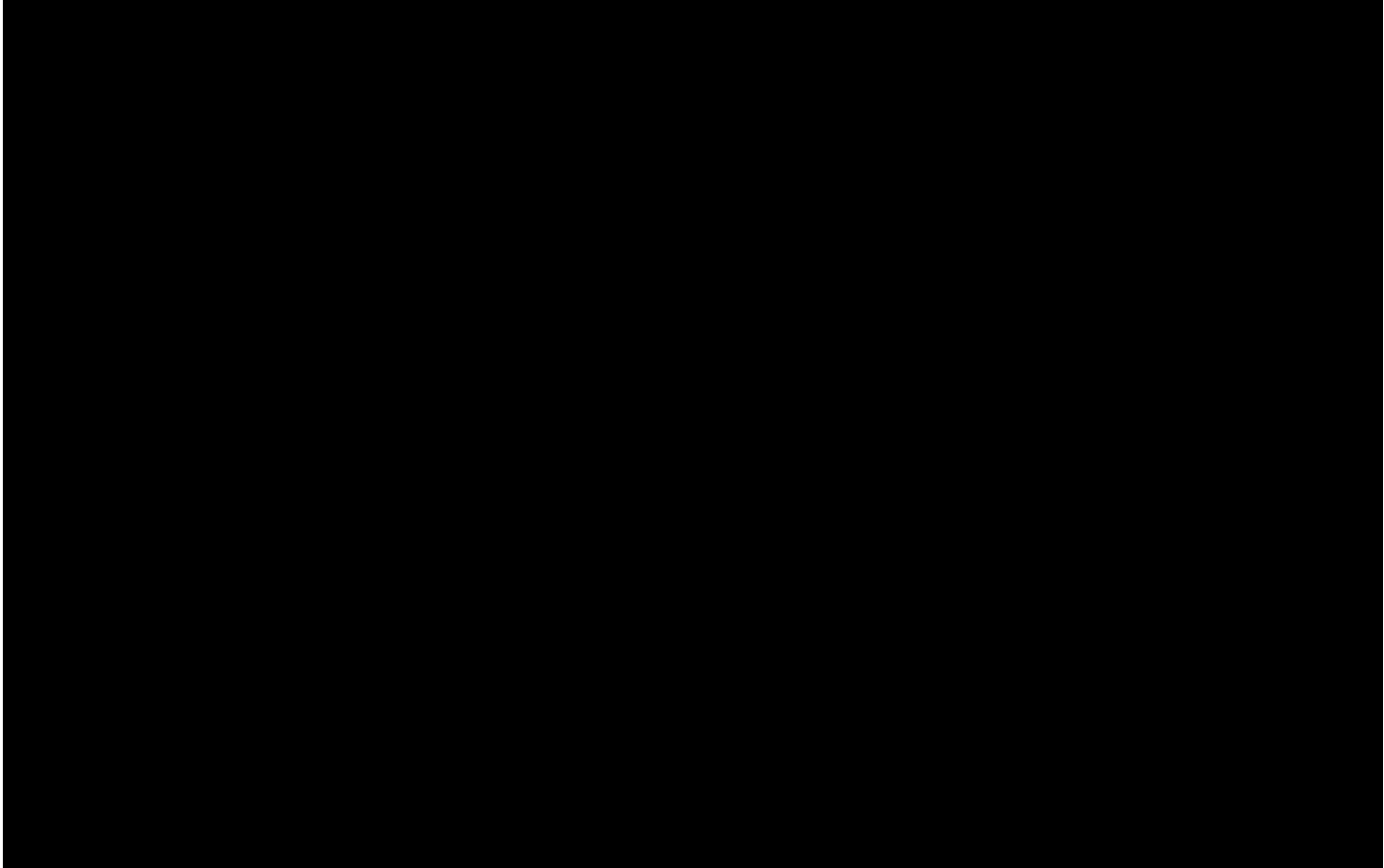
CERTIFICATION:

- May 2009 Connecticut State Administrators Certification, 092
- May 2001 Connecticut State School Social Work, 071

LEADERSHIP EXPERIENCE:

Chief Student Support Officer, Ct/NY (July 2015-present)

- Oversee special education compliance for Capital Prep Schools
- Evaluate and develop staff annually
- Responsible for coordinating RTI system and programming
- Responsible for overseeing student services for all students
- Coordinate special education/504 services with sending districts
- Chair SAT meetings; 504 meetings and planning and placement team meetings



TEACHING EXPERIENCE

University of Connecticut, Storrs, CT September, 2013-November, 2014

Academic Specialist/Professor of Practice

Courses taught: Administrative field experience and Instructional Leadership

- Collaborate with the Instructor of Record as a guest lecturer and teacher for the NEAG School UCAPPS Plus program
- Coordinate the internship experience for students in order to develop the knowledge, skills, and dispositions targeted by the program
- Mentor and coach students in the program for their own professional development
- Develop jointly course curriculum, as well as provide professional insight and clarity

PROFESSIONAL DEVELOPMENT PRESENTATIONS AND TRAININGS:

- Presented at the Magnet Schools of America conference, 2014
- Danielson Framework for Teaching and Learning
- Readers and Writers Workshop, Teachers College
- Creating and analyzing District Math, literacy, writing Benchmarks
- Scientific Researched Based Interventions
- Professional Learning Communities
- Differentiated Instruction and Co-Teaching
- Developing Professional Learning Communities
- Analyzing data and implementing data driven decision making teams
- Mandated reporting training
- Character education training

Jill Cutler Hodgman

EDUCATION

Juris Doctor with honors

University of Connecticut School of Law
Hartford, Connecticut

May 1999

Bachelors of Arts, Psychology

Cornell University, College of Arts and Sciences
Ithaca, New York

May 1995



[Redacted content]

KASHANI STOKLEY



SUMMARY

To obtain a position where my exceptional organizational and managerial skills will be a proven asset to my employer

EDUCATION

4/10

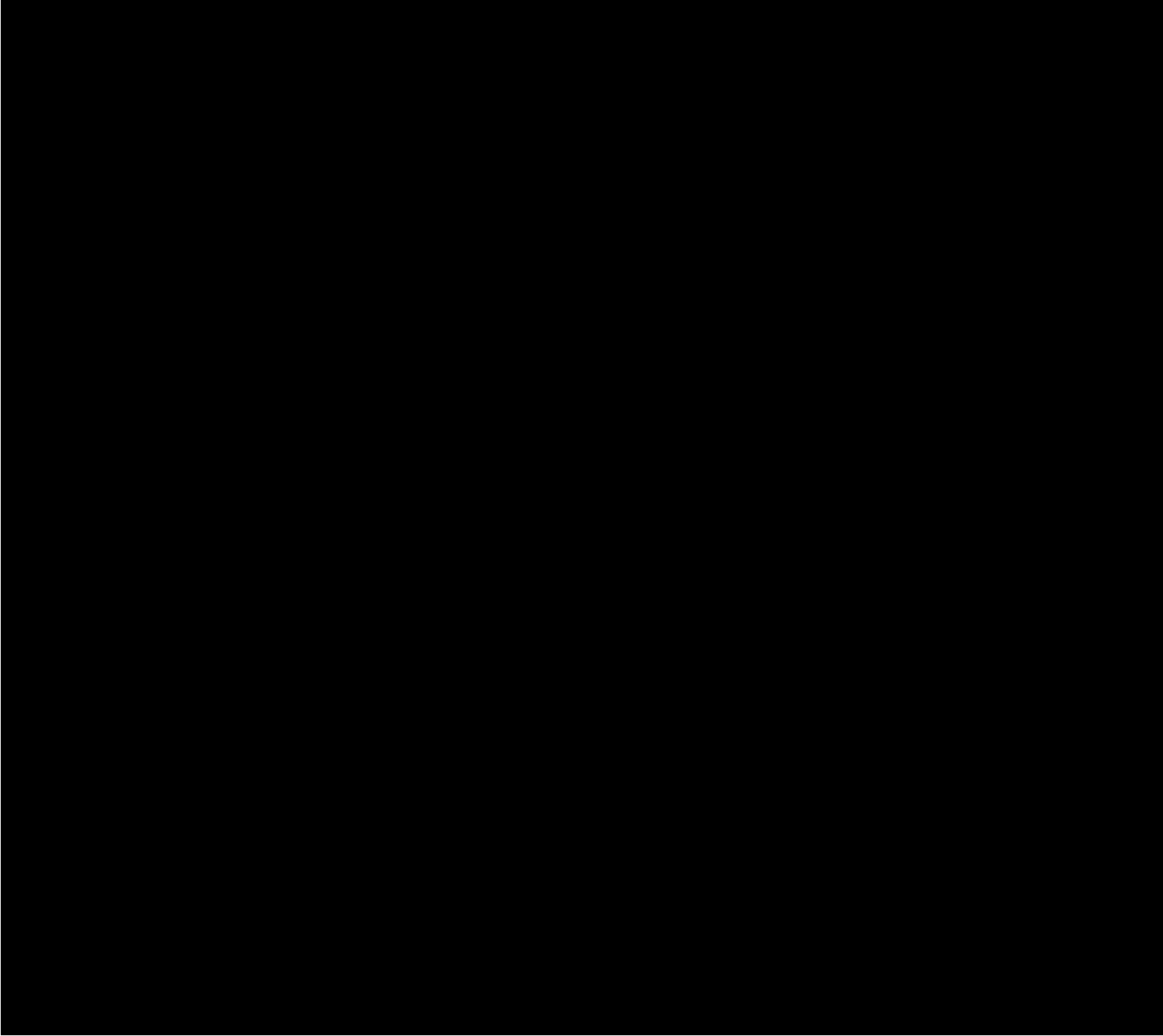
COLUMBIA BUSINESS SCHOOL

Graduate Certificate, Institute for Non-Profit Management

5/03

THE COLLEGE OF NEW ROCHELLE

Bachelor of Arts in Communications



HIGHLIGHTS

- Certificate: NYC Department of Education Emergency Preparedness Procedures & Safety Protocol Updates Basic Course
- Proficient in Microsoft Word, Excel, Power Point, Outlook and Internet applications
- Proficient in all facets of office administration and management
- Excellent organizational skills and the ability to develop new concepts in diverse work environments

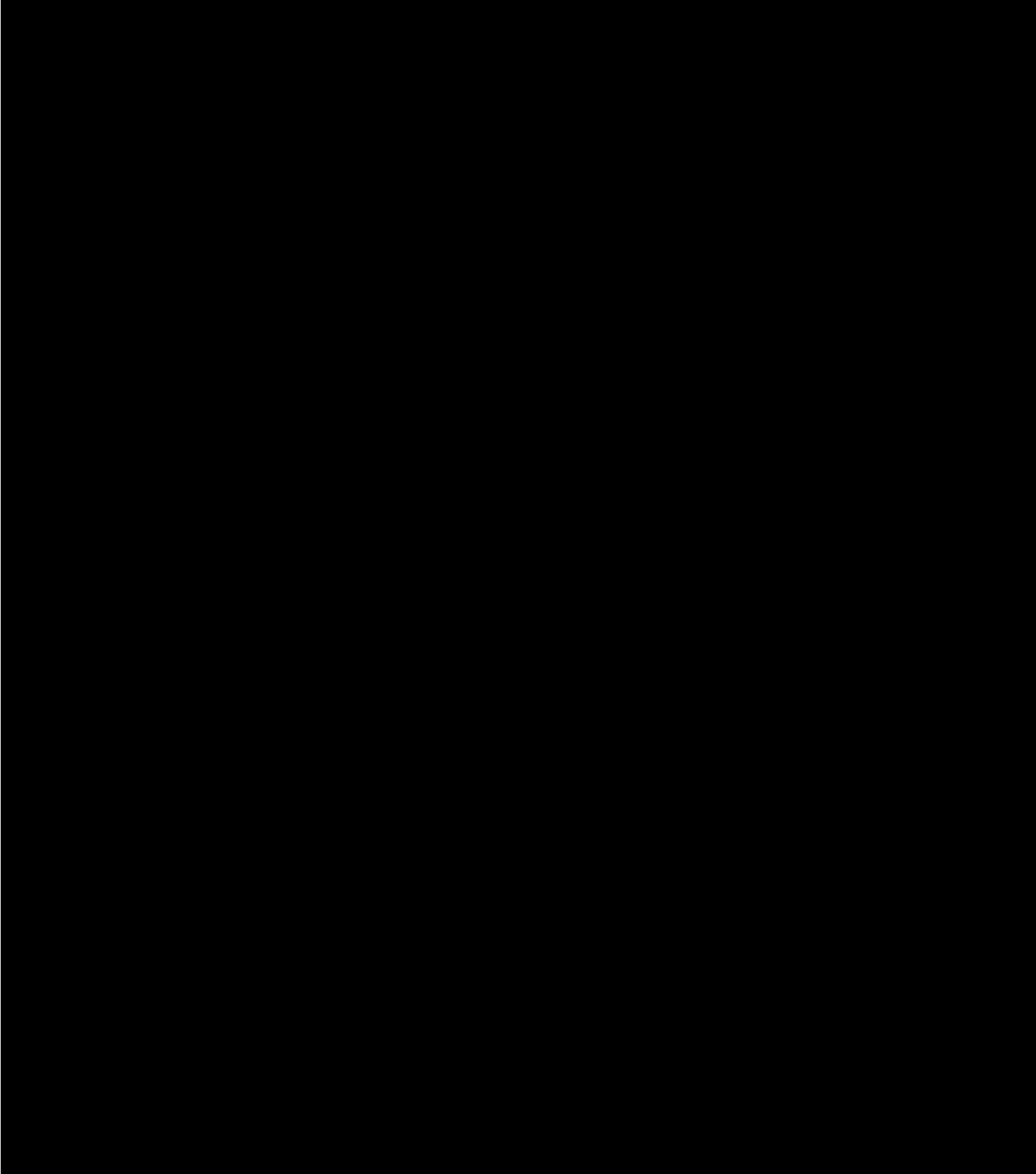
REFERENCES

Furnished Upon Request

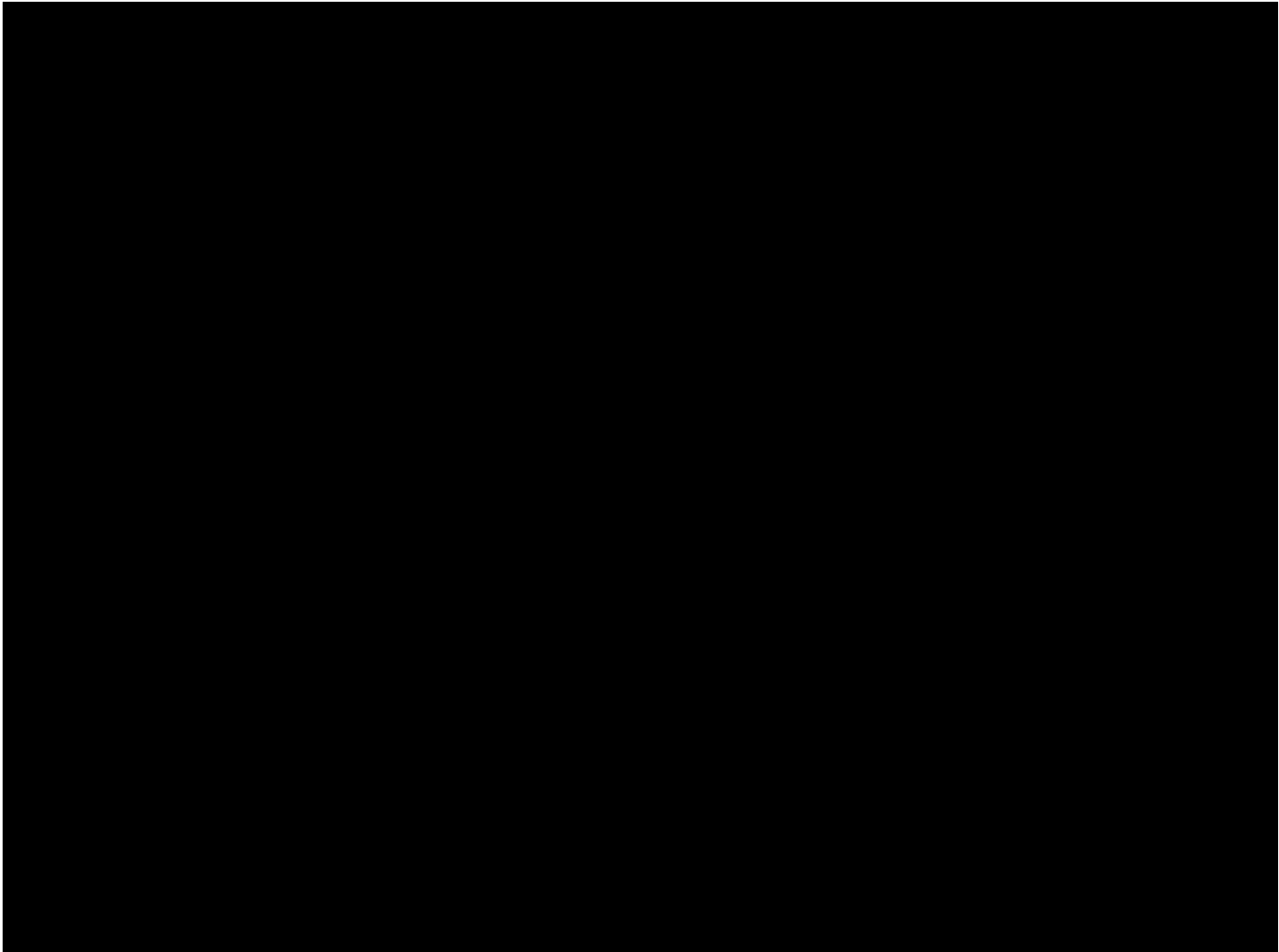
Richard C. Beganski Jr.

Career Goal

To become a school administrator, who uses prior "teaming" experience, in an educational model where parents, teachers, students, and administration work in conjunction in order to create a unique educational opportunity for everyone.



Richard C. Beganski Jr.



| | | | |
|---------------------------|---|---|------|
| Education | Sixth Year: Educational Leadership | University of Hartford, West Hartford, CT | 2005 |
| | M.A. Holistic Thinking | The Graduate Institute, Milford, CT | 2002 |
| | BS History | Central Connecticut State University, New Britain, CT | 1992 |
| Professional Certificates | CT School Administrator Certificate (092) Initial Educator with endorsements in History/Social Studies 7-12 (026) and Mathematics 7-12 (029) | | |

Capital Preparatory Bronx Charter School

Developing lifelong learners, leaders, and agents of social change



About Capital Prep Bronx Charter School

Capital Prep Bronx Charter School will offer free education to Bronx students grades 6-12. We hope to serve the students of Community School District 12 in the Bronx with a college prep model that will ensure college readiness for all students. We are in the process of gathering feedback for our charter application and adapt them as needed to best support the Bronx community.

Contact us and share your input here:

newschools@wearecapitalprep.org

or

(917) 838-3684

Our Success

At Capital Prep, every student is expected to graduate and attend a four-year college of their choice. Our model works, **100% of our high school graduates have been accepted to four-year colleges.** This has been achieved by blending innovative elements of academic and advisory models that successfully support students from historically disadvantaged populations.

Our Approach

Capital Preparatory Schools believes all children, when given the right conditions and environment, will succeed, and excel in their academic and social-emotional growth. Our year-round, college-preparatory education model encourages students to become scholars and agents of change. Capital Prep is an early-college model, which means students will have access to college courses while in high school.

Focusing on the key attributes of leaders, our learner expectations are designed to develop students who are:

- Collaborators
- Information processors
- Problem solvers
- Knowledgeable people
- Responsible and empathetic citizens

Through the support of the Capital Preparatory team of skilled and compassionate educators, students realize their academic abilities, advocate for social justice, and fulfill their civic responsibilities.

Academics and Athletics

We believe that every child can and wants to learn. We simply provide the environment and instruction for them to flourish.

As part of the Capital Prep curriculum, students engage in core classes, have the opportunity to select electives, and earn college credits. Students are expected to be responsible for their learning and are provided the resources and support such as daily advisory and student led conferences to ensure they succeed.

Athletic programs provide an essential element of the Capital Prep school experience. Students benefit physically, psychologically, and socially; and they learn skills and practice habits that help to maintain lifelong health and fitness. Capital Prep offers a range of athletic opportunities and activities that appeal to all interested including cross country, indoor and outdoor track, football, and basketball.

To share your support for Capital Prep Bronx schools, email newschools@wearecapitalprep.org

Learn more about Capital Prep schools here: www.wearecapitalprep.org





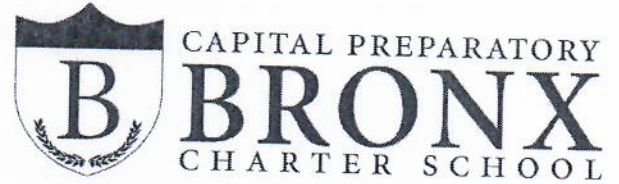
Rosedale Basketball Tournament

Capital Prep Schools "CPS" is coming to the Bronx! CPS will submit an application to open a Charter school, Capital Preparatory Bronx Charter School to the New York State Education Department "NYSED".

Capital Prep Bronx Charter School will provide New York City Community School District 12 "CSD12" students in grades 6-12 with a year-round, college preparatory school experience. The school will join the emerging boutique of CPS schools, including Capital Prep Harbor (K-12) in Bridgeport, CT and Capital Prep Harlem (6-8) in Harlem, NY.

YES, I SUPPORT CAPITAL PREP SCHOOLS COMING TO THE BRONX! SHARE YOUR SUPPORT HERE:

| NAME (Please Print) | CONTACT INFO (Email / Phone) | ADDRESS OR DISTRICT | WOULD YOU SEND YOUR CHILD TO CAPITAL PREP BRONX? |
|------------------------|---------------------------------|---------------------|--|
| Ivelisse Medina | [REDACTED] | 12 | Yes |
| Patricia Coates | [REDACTED] | 7 | Yes |
| Alejandra Santos | [REDACTED] | 7 | Yes |
| Yuliana Neri Guadalupe | [REDACTED] | 7 | Yes |
| Winnie Barber | [REDACTED] | 7 | Yes |
| Kylee White | [REDACTED] | 7 | Yes |
| Dencar Stenley | [REDACTED] | 7 | Yes |
| Christopher Galindo | [REDACTED] | 7 | Yes |
| Betsy Salmon | [REDACTED] | 7 | Yes |
| Heavenly Hodge | [REDACTED] | 7 | Not Sure |
| Peter Richard | [REDACTED] | 7 | Yes |
| Justin Batista | [REDACTED] | 7 | Yes |
| Jena Nieves | [REDACTED] | 7 | Yes |



Capital Prep Schools "CPS" is coming to the Bronx! CPS will submit an application to open a Charter school, Capital Preparatory Bronx Charter School to the New York State Education Department "NYSED".

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YES, I SUPPORT CAPITAL PREP SCHOOLS COMING TO THE BRONX! SHARE YOUR SUPPORT HERE:

| NAME (Please Print) | CONTACT INFO (Email / Phone) | ADDRESS OR DISTRICT | WOULD YOU SEND YOUR CHILD TO CAPITAL PREP BRONX? |
|------------------------|---------------------------------|---------------------|--|
| Deomattie matto | | | |
| Tamara Thomas | | | |
| Vincent M Balala | | | |
| LIREWIA ROSA | | | |
| Christine Charles | | | |
| Koudoua Toure | | | |
| Clandette Allen | | | |
| Cindia Huertas | | | |
| Jose L. Claudio | | | |
| Sonja Sandoval | | | |
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Capital Prep Schools "CPS" is coming to the Bronx! CPS will submit an application to open a Charter school, Capital Preparatory Bronx Charter School to the New York State Education Department "NYSED".

Capital Prep Bronx Charter School will provide New York City Community School District 12 "CSD12" students in grades 6-1 with a year-round, college preparatory school experience. The school will join the emerging boutique of CPS schools, including Capital Prep Harbor (K-12) in Bridgeport, CT and Capital Prep Harlem (6-8) in Harlem, NY.

DATE: _____

YES, I SUPPORT CAPITAL PREP SCHOOLS COMING TO THE BRONX! SHARE YOUR SUPPORT HERE:

| NAME (Please Print) | CONTACT INFO (Email / Phone) | ADDRESS OR DISTRICT | WOULD YOU SEND YOUR CHILD TO CAPITAL PREP BRONX? |
|------------------------|---------------------------------|---------------------|--|
| Joseph Joye | | 12 | Yes |
| James Smith | | 12 | |
| Jordan Aron | | 12 | |
| Kyheem Taylor | | 12 | |
| Troy Brown | | 12 | |
| Norma Saunders | | 12 | |
| Alasia Allen | | 12 | |
| Annie Burgess | | 12 | |
| Tina Flynn | | 12 | |
| Tomás Ramos | | 2 | |
| Jesús Agüero | | 12 | |
| Mrs. Montilla | | 12 | |
| Catherine Nelson | | 12 | |

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DATE: _____

YES, I SUPPORT CAPITAL PREP SCHOOLS COMING TO THE BRONX! SHARE YOUR SUPPORT HERE:

| NAME (Please Print) | CONTACT INFO (Email / Phone) | ADDRESS OR DISTRICT | WOULD YOU SEND YOUR CHILD TO CAPITAL PREP BRONX? |
|------------------------|---------------------------------|---------------------|--|
| Milton Fonseca | [REDACTED] | 12 | yes |
| Gutierrez Perez | | 12 | |
| Dhi NGUYEN | | 12 | |
| Stefan Carwell | | 12 | |
| Suehey Toddman | | 12 | |
| Floyd Coleman | | 12 | |
| Yesenia Texiera | | 9 | |
| Svana Cepeda | | 9 | |
| Carolyn Coleman | | 12 | |
| Amanda Hernandez | | 9 | |
| Carlos Saldela | | 12 | |
| Mercedes Sechela | | 12 | |
| Stephanie Nunez | 12 | | |
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YES, I SUPPORT CAPITAL PREP SCHOOLS COMING TO THE BRONX! SHARE YOUR SUPPORT HERE:

| NAME (Please Print) | CONTACT INFO (Email / Phone) | ADDRESS OR DISTRICT | WOULD YOU SEND YOUR CHILD TO CAPITAL PREP BRONX? |
|------------------------|---------------------------------|---------------------|--|
| Sharming Nixon | [REDACTED] | [REDACTED] | yes |
| Latosha Bryant | | | ? |
| Anni Solis | | | |
| Anita Mapson | | | |
| Judith Suncar | | | |
| Ariel Suzman | | | |
| Ramona Burgos | | | |
| Esther E. Pena | | | |
| Maleska Rivera | | | |
| VANESSA CALZADA | | | |
| Carmen Cuss | | | |
| | | | |
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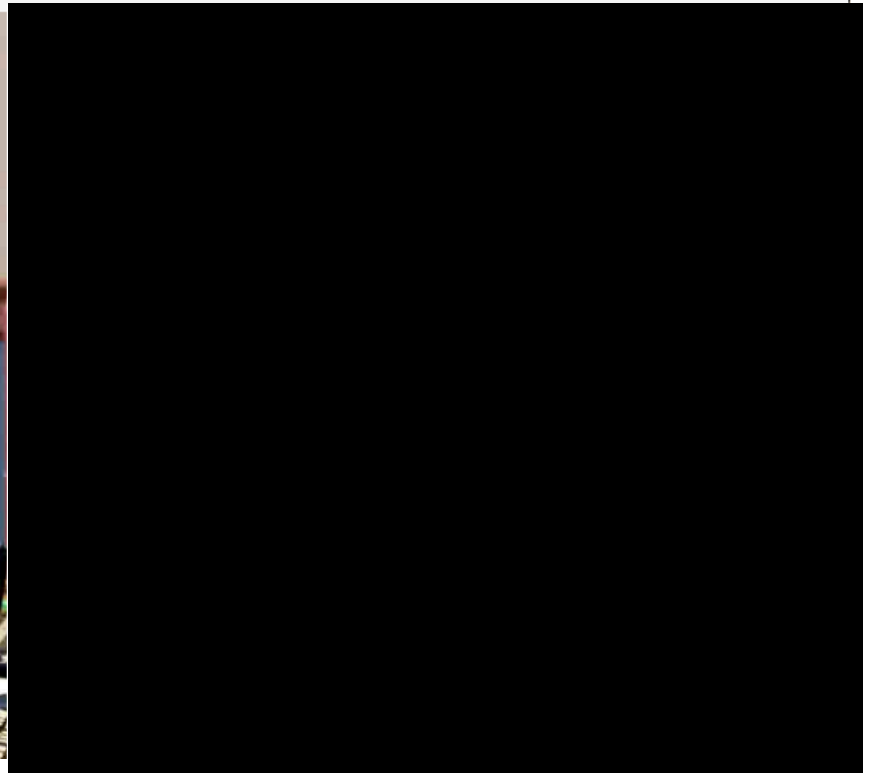
Capital Prep Schools "CPS" is coming to the Bronx! CPS will submit an application to open a Charter school, Capital Preparatory Bronx Charter School to the New York State Education Department "NYSED".

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YES, I SUPPORT CAPITAL PREP SCHOOLS COMING TO THE BRONX! SHARE YOUR SUPPORT HERE:

| NAME (Please Print) | CONTACT INFO (Email / Phone) | ADDRESS OR DISTRICT | WOULD YOU SEND YOUR CHILD TO CAPITAL PREP BRONX? |
|------------------------|---------------------------------|---------------------|--|
| Adelfo G HERRERA | | | YES |
| Angelica Carrão | | | YES |
| Jorge AvellANET | | | NO |
| E'LVIS MUNI'EZ | | | NO |
| GUALBERTO RAMOS | | | NO |
| Keith Dickens | | | Yes |
| Ivring Cortes | | | NO |
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CP Bronx Website





A NEW SOCIAL JUSTICE CHARTER SCHOOL Is planned for the children of the Bronx

Connect with us

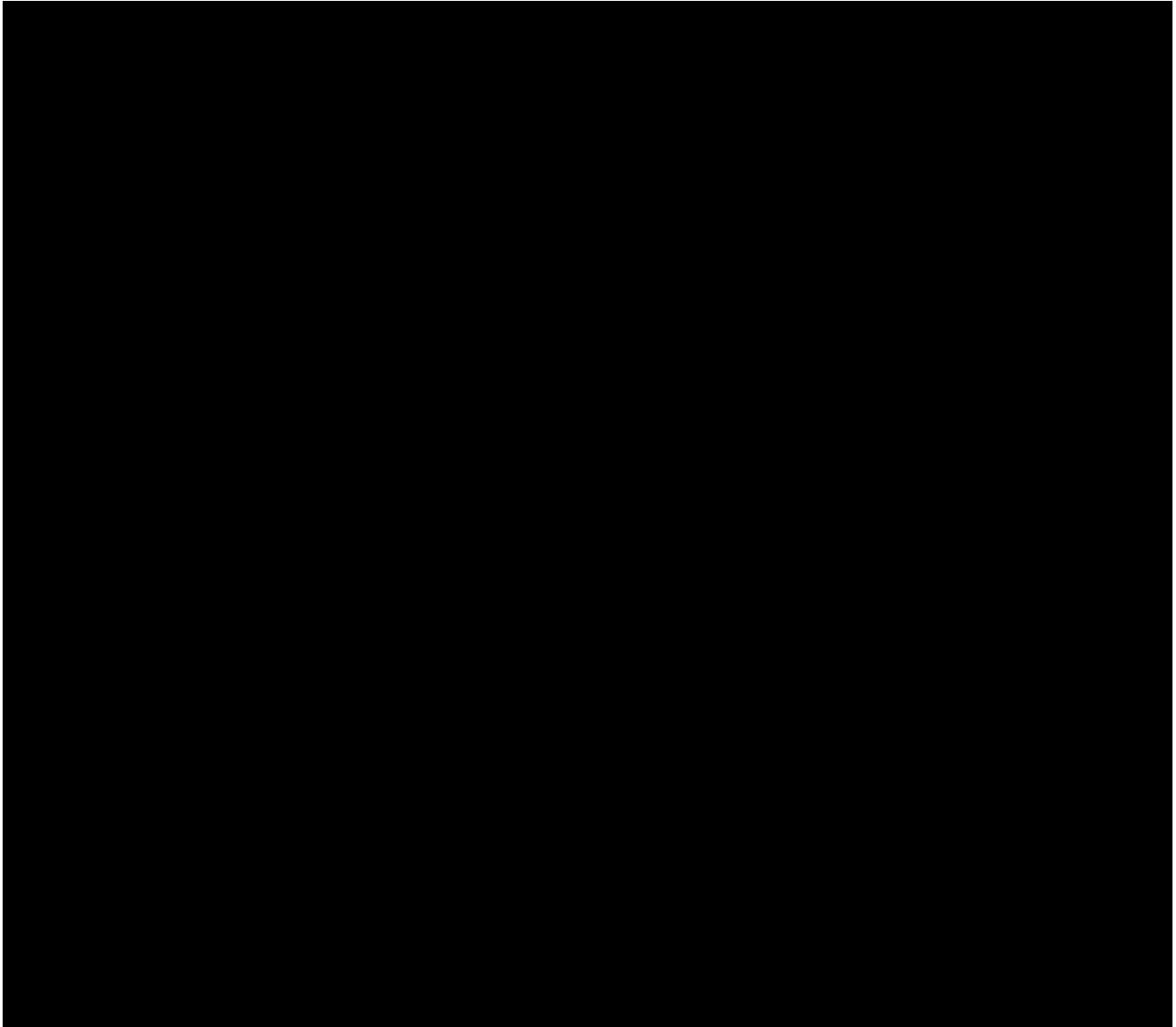


Capital Preparatory Bronx Charter School (CPB) is a new charter school applying to SUNY to open in Community School District (CSD) 12 in the Bronx. If approved, CPB will be a free public charter school serving students in grades 6 & 7 in the first school year. Each year, the school will grow by one grade until the school spans grades 6-12.

We appreciate your support and thank you for your time

SHARE

DEREK FERGUSON



Education

Harvard Business School

1990 |

Vice President of the African American Student Association and was awarded the student business concession, The Net Present Value Handbook.

Wharton School at the University of Pennsylvania

1985 |

Awarded the Maggie L. Walker Award for the African-American with the highest grade point average and the Emma Higginbothum Award for academic achievement and community involvement.



Charter Schools Institute
The State University of New York

**Request for Information
from
Prospective Not-For-Profit Charter School
Education Corporation Trustees**

Guidance and Form

*For Charter Schools Authorized by the
State University of New York Board of Trustees*

Updated: November 2015

SUNY Charter Schools Institute
41 State Street, Suite 700
Albany, New York 12207
(518) 445-4250 (phone)
(518) 320-1572 (fax)
www.newyorkcharters.org

INTRODUCTION

Serving on a public charter school education corporation board is a position of great trust and responsibility. Trustees are charged with overseeing the education of all students enrolled in the each school the not-for-profit education corporation has the authority to operate, the expenditure of public and private monies directed to the school(s), and, if applicable, the oversight of any charter/education management organization (“CMO/EMO”).

The State University of New York Board of Trustees (the “SUNY Trustees”) requires all new board members be approved by it pursuant to the terms of the education corporation’s Charter Agreement. The SUNY Charter Schools Institute (the “Institute”) carries out this responsibility for the SUNY Trustees through this Request for Information (“RFI”) process. Accordingly, and in order to expedite the approval of new board members, the Institute requests the prospective member to complete the following form and provide answers to each of the items (and provide the certification indicated).

Only in very rare cases does the Institute reject properly approved prospective trustees who have provided all information requested on this form. These cases are generally limited to prospective members who would have severe conflicts of interest in fulfilling their fiduciary or other duties as an education corporation board member, who are proposed to be seated in violation of the education corporation’s charter or by-laws, or whose background evidences untrustworthiness, e.g., criminal record or a record of financial dealings inimical to the public trust.¹

Pursuant to New York’s Freedom of Information Law (“FOIL”), any personal information listed on or attached to this form (including the Charter School Trustee Contact Information form) that would constitute an unwarranted invasion of personal privacy will not be disclosed (home address, email, telephone number, etc.).

¹ Questions related to conflict of interest may be addresses to the education corporation’s counsel or the General Counsel of the Institute.

1. REQUEST FOR INFORMATION

A. Applicable Charter Agreement Provisions

The following images show applicable provision from the Model Charter Agreement:

- Section 2.3, *Selection of New Education Corporation Board Members*.

(available at <http://www.newyorkcharters.org/model-charter-agreement/>), which are the same or very similar to those of each education corporation's Charter Agreement.

2.3 Selection of New Education Corporation Board Members. All Corporate Trustees shall possess appropriate qualifications for membership on the Education Corporation Board, as such qualifications are set forth in the Terms of Operation, and shall be seated pursuant to the following procedures. Prior to the appointment or final election of any new Corporate Trustee, the Education Corporation Board must submit to the Trustees (pursuant to a duly approved resolution of the Education Corporation Board) the name of the proposed Corporate Trustee and such individual must timely provide to the Trustees, in writing and/or in person, such background information as the Trustees shall require (the "School Trustee Background Information"). Within forty-five (45) days of receiving the name of the proposed Corporate Trustee and the School Trustee Background Information, the Trustees shall in writing reject or approve such individual. In the event that the Trustees do not provide in writing an approval or rejection within the forty-five (45) day time period, the proposed Corporate Trustee may be seated so long as such action would be consistent with the By-laws and any other applicable Terms of Operation. A failure by the Education Corporation or the proposed Corporate Trustee to timely provide the School Trustee Background Information to the Trustees shall be grounds for his or her rejection.

B. Applicable Laws and Regulations

None.

C. Discussion

In order to legally seat a person on a charter school education corporation board, the following procedures should generally be followed as well as any specific provisions contained in education corporation's by-laws:

- When a board seat becomes vacant or is created, the board (by committee or otherwise) should seek nominations for a person to fill the vacant seat with appropriate qualifications per the Charter Agreement *and* by-laws requirements.
- The board secretary or other administrator should review the by-laws to determine the proper number of trustees that may be seated on the board, or the proper range (e.g., 7-11). If the board has too many members, a request to amend the by-laws must be made to the Institute or the seat may not be filled. In cases where the number of trustees must be fixed (i.e., when there is a range) the board should do so at or prior to the time of the election of the proposed trustee and clearly reflect same in the minutes.

Note: the legal limits on board size are 5 minimum and 25 maximum, although best practice has shown boards of 13 or under to be effective.

- The board secretary or other administrator should review the following to determine the proper qualification of the prospective board member:
 - Charter Agreement section entitled “Governance; School Board; By-laws” (Section 2.2 in recent charters) for the following:
 - compliance with the 40% rule (no more than 40% of the school board may be affiliated with any single entity unless the school has received a waiver from the SUNY); and
 - compliance with provisions prohibiting or restricting board membership for persons associated with a CMO/EMO.
 - Charter Agreement Exhibit A, “Additional Assurances and Terms,” if any, which may contain restrictions on board membership or a waiver thereof;
 - Charter Agreement Exhibit A, “Terms of Operation;”
 - By-laws, which may:
 - state what type or “class” of trustee must be elected, e.g., parent, teacher representative, community member;
 - state any conditions that must be met prior to the election or nomination of a proposed trustee (vote of the parent/teacher organization; vote of partner organization, etc.);
 - direct how the trustee will be elected or appointed (super-majority vote, vote of corporate member, etc.); and/or,
 - state how long the term of a trustee will be. When vacant seats are filled, the new trustee serves for the remainder of the prior trustee’s term. When new seats are created, the board, chairperson or other methodology in the by-laws may dictate the length of the term, which may be staggered with other terms. It is good practice for the secretary to keep a multi-year elections calendar to track each trustee’s term.

The education corporation board or corporate member elects or appoints the *prospective* trustee at a duly convened meeting of the applicable board with a quorum and following any by-laws restrictions on elections such as super-majority provisions. The Institute will approve or reject such proposed trustee in writing within 45 days of submission of *all* of the above required documentation (complete *Request for Information from Prospective Charter School Education Corporation Trustee* (“RFI”) and evidence of proper election (e.g., signed resolution or minutes reflecting vote). If the Institute takes no action within the 45 day period, the person may be seated as a school trustee. After the Institute approves a trustee in writing, it will ask the education corporation for an updated list of trustees.

D. **Responsible Tasks**

- Submit a signed copy of the resolution electing the prospective trustee or the signed minutes showing such election to the Institute together with a *Request for Information from Prospective Charter School Education Corporation Trustee* (RFI).
- After each prospective trustee reviews the by-laws, code of ethics and any conflict of interest policies of the education corporation, the board secretary or administrator should have each prospective trustee complete a RFI form, which the education corporation or proposed trustee must submit to the Institute.
- After approval by the Institute, the board secretary or other administrator should inform the new trustee of his or her official seating on the board. The trustee may now vote. The education corporation must send an updated board list to the Institute.
- As a reminder, the Education Corporation must notify the SUNY Trustees within five (5) business days of any of the following education corporation trustee actions: removal; resignation; expiration of term without re-election; or, otherwise leaving the education corporation board.

**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.
CAPITAL PREPARATORY BRONX CHARTER SCHOOL

2. Full name: DEREK FERGUSON
Home Address: [REDACTED]
Business Name and Address: [REDACTED]
FLOOR, NEW YORK, NEW YORK 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 am the chairman of the Board for Capital Preparatory Harlem Charter School.

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 know Dr. Perry professionally & I serve on the Capital Prep Harlem Board with Gerorgiette Morgan-Thomas and Dr. Steve Perry.
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, .
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 contact 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, .

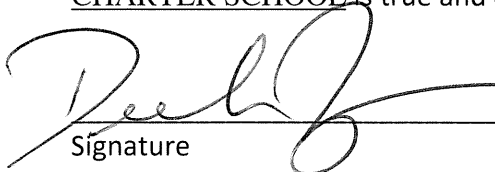
15. Please indicate whether you, your spouse or other immediate family members are a director, officer, employee, partner or member of, or are otherwise associated with, any organization which filed an application in conjunction with the education corporation or any of the schools it has the authority 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. This would be a straight forward case of non-compliance with the By-Laws of the school and the person would be removed from the board.

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, DEREK FERGUSON, 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 CAPITAL PREPARATORY BRONX CHARTER SCHOOL is true and correct in every respect.


Signature

6/20/18
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 (email)

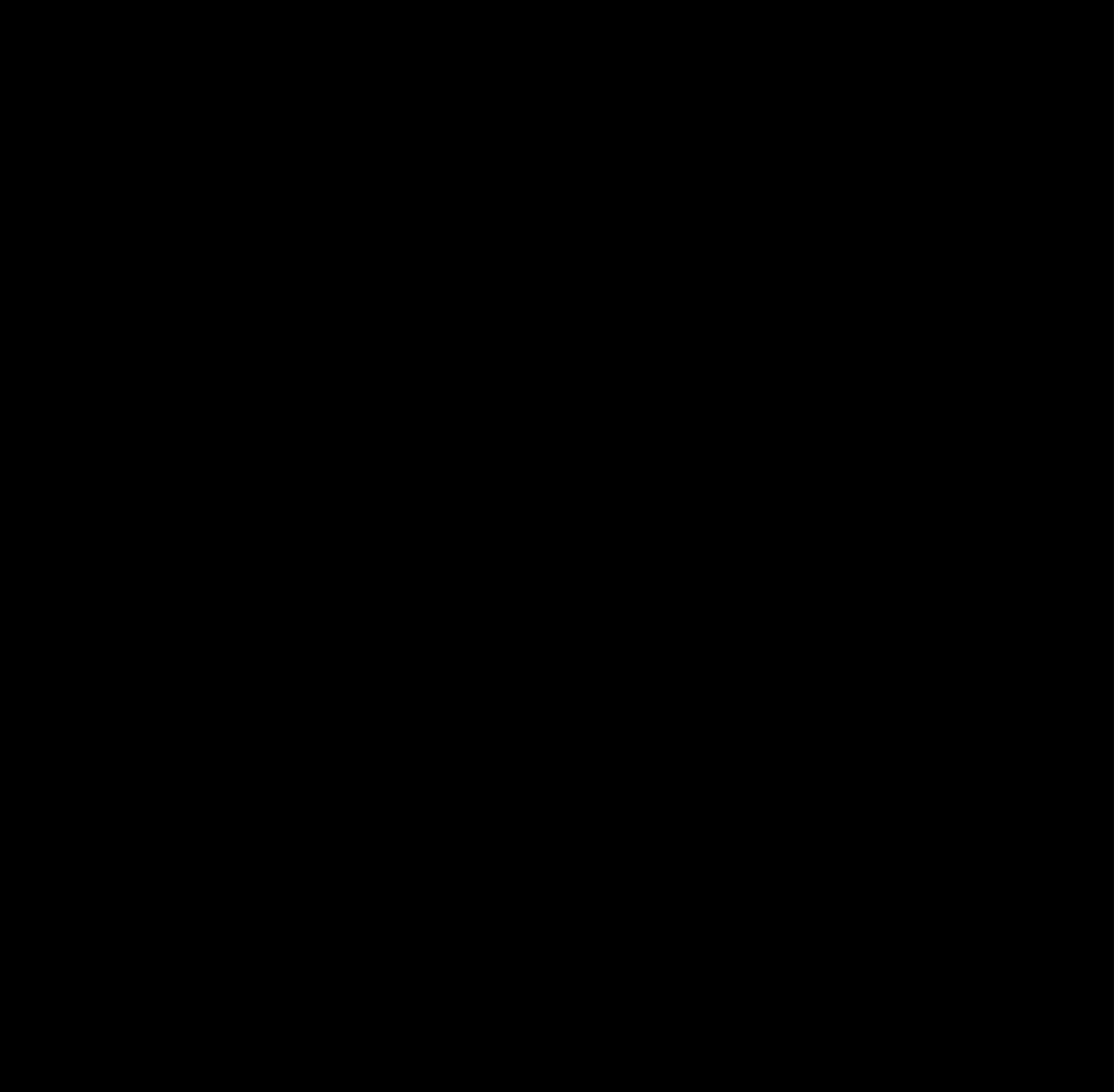
GEORGIETTE MORGAN THOMAS

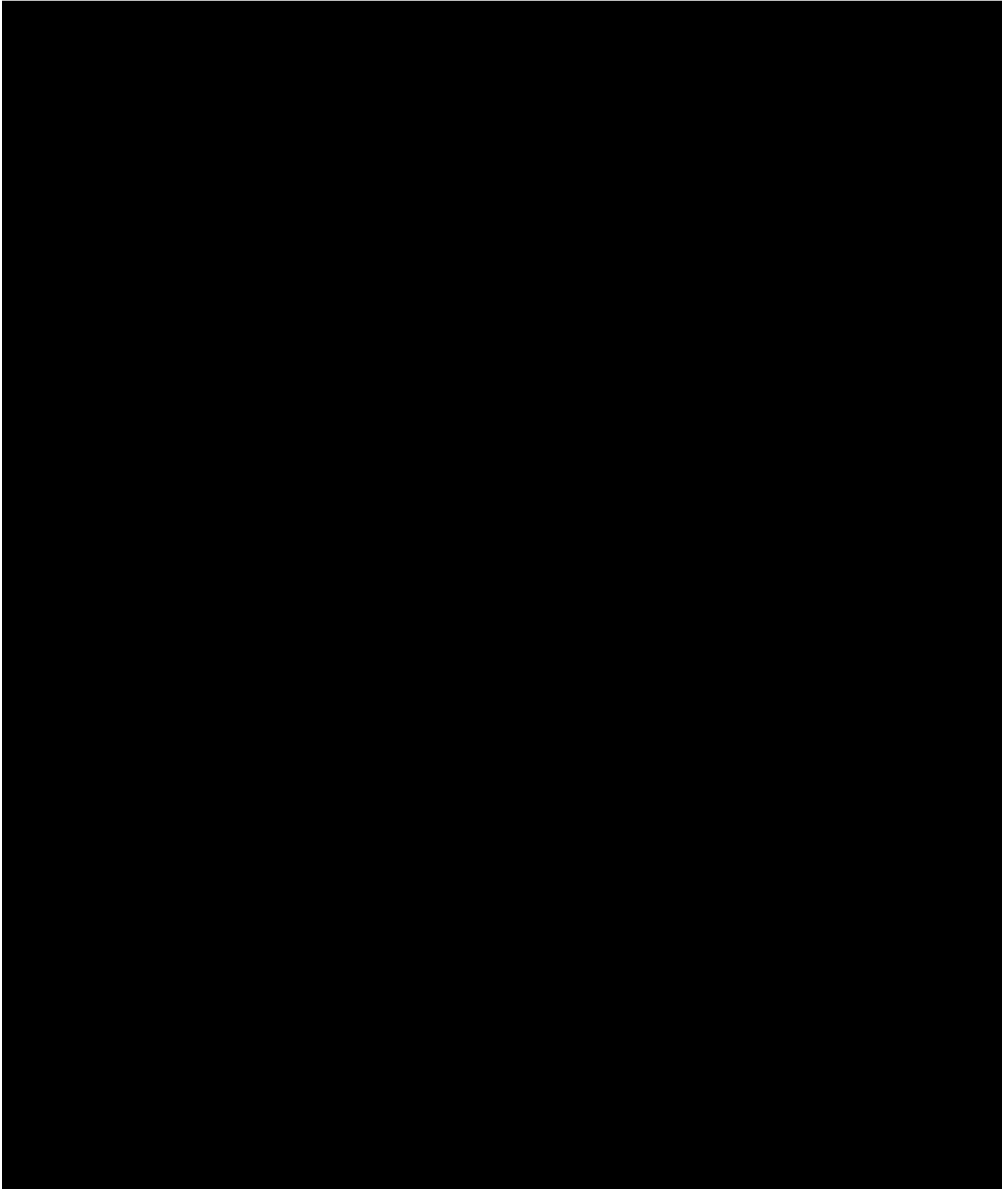
EDUCATION

Bachelor of Social Work, 1983

Adelphi University, Long Island, NY

1989 Regent University School of Theology, Va. Beach, Va.





GEORGIETTE MORGAN THOMAS

AFFILIATIONS

Pastor Mustard Seed Faith Ministries
Supportive Housing Network/Steering Committee
Housing Advisory Board Harlem YMCA
Board of Directors Rebuilding Together Manhattan
Community Board 9 Chair
Board of Managers Harlem YMCA
Board Member Friends of Public Schools
32nd Precinct Clergy Council
30th Precinct Clergy Council
National Domestic Violence Association
Licensed Real Estate Agent 1987-1994

CERTIFICATIONS

Building Operation and Management
NYC Fire Dept. Certificate of Fitness (Standpipe/Sprinkler)
Crisis Intervention Trainer
Structural Family Therapy
Group Dynamics

REFERENCES

Available upon request.

**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.
CAPITAL PREP BRONX CHARTER SCHOOL

2. Full name: REV. GEORGIETTE MORGAN-THOMAS
Home Address: [REDACTED]
Business Name and Address: n/a
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 CURRENTLY SERVE AS THE SECRETARY ON THE CAPITAL PREP HARLEM SCHOOL BOARD.

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 **currently serve with 3 of the members on another school board.**
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, I **serve on the board of the Harlem school, therefore I know numerous employees of the education corporation.**
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, I **currently serve on a school board that is doing business with the management organization that oversees the school.**
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 contact 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 request a full investigation and once the results are in, I would request an emergency meeting and handle with appropriate consequences, if applicable**

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, **Rev. Georgiette Morgan-Thomas**, 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 Capital Preparatory Bronx Charter School is true and correct in every respect.

 6/18/18
 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)

Rev. Georgiette Morgan-Thomas

Reverend Thomas has lived her life under the banner of Philippians 4:13 "I can do all things through Christ who strengthens me". Rev. Morgan-Thomas was born in Mobile Alabama. She is the Pastor of Mustard Seed Faith Ministries.

She actively began to fight for the rights of others as a college student in North Carolina in 1968. Rev. Morgan-Thomas became a catalyst in the civil rights movement working closely with Benjamin Chavis and other young leaders of that time. She was instrumental in organizing students from the local college campuses for the 1969 March on Washington. She energetically worked to promote the establishment of the Black Student Union on her campus and organized demonstrations, sit ins' and voter registration drives. She also fought against poverty and depravation in both Black and White communities while working at night in a psychiatric hospital. It was at this time that the fire began to burn inside her for equality for the mentally disabled.

She returned to New York and received her Social Work degree from Adelphi University, while advocating for the access of psychiatric services to residents of the South Bronx as an outreach mental health professional and. After surviving a tragic automobile accident, in 1979, and being delivered from paralysis; Pastor Thomas relocated to Va. Beach, Va. and assisted her Pastor Wm. Darryl Scott in ministry, at Pleasant Grove Baptist Church, in Va. Beach, for several years. She battled cancer for numerous years before returning to New York where she began her urban missionary work in 1997, bringing together individuals and agencies to eliminate the violence and illegal activities in her neighborhood; especially reaching out to the families of Edgecombe Ave. In 2002 God called her to establish Mustard Seed Faith Ministry, she was examined and ordained on May 1, 2004 by Bishop Clarence Moore.

She then initiated innovative programs of behavior modification for developmentally disabled youth and worked tirelessly to improve the quality in group homes that serviced them. She worked in out patient psychiatry for many years as a psycho-therapist and Emergency psychiatric evaluator. She has directed programs in Juvenile Services, Senior Services, Homeless Services, Domestic violence, Mental Health, and Supported Housing. She is currently the Director of Harlem services for Goddard Riverside one of New York's largest not-for-profit organizations. She is committed to fight homelessness and works tirelessly to assist individuals and families find affordable housing.

As Director of Corner House (supported housing for formerly homeless mentally disabled adults and senior citizens) she joined the United Edgecombe block association which began sponsoring a PAL play street each summer for youth, eliminating drug activity and providing more than 20 jobs for the community. Rev. Morgan-Thomas has been used by God to deliver a half a dozen young men from the streets who were rooted in illegal activities and they now work, take care of their children, have their own apartments. She assists youngsters in accessing sleep away camp and supports a mission in Ghana that takes care of street children and spreads the good news in the remote areas of the country. She has helped a multitude of families, seniors, and individuals find

affordable housing and needed resources. Rev. Morgan-Thomas continues to actively advocate bringing much needed services to the community and fights to change systems that deny services and resources.

Rev. Morgan- Thomas has committed her life to the service of God through both her ministry, professional work and her community activism. She is the Chair community board 9 Manhattan, Serves on the Board of Managers for the Harlem YMCA, Steering Committee of Supported Housing Network of NY, former president of East Bronx section of National Council of Negro Women, Board of directors for Rebuilding Together Manhattan (formerly Xmas in April), is Vice President of United Edgecombe Block Assoc., works with both the 30th and 32nd police precinct Clergy Councils, United Muslim Alliance, and a Co-founder of Harlem Clergy and Community Leaders Coalition.

Rev. Morgan-Thomas has received numerous awards including the Robin Hood Hero, Harlem YMCA of Greater New York Volunteer of the Year 2009, Community Board #10 "Unsung Hero, New York Woman of Excellence by NY Women's Chamber of Commerce, Sigma Gamma Rho "Phenomenal Woman", has been recognized as "An Outstanding Leader in Human Rights" 2010. Has received the "Key to Harlem" the Community Dedication award and has developed programming with NBC for Domestic Violence prevention as well as being featured for her work to end homelessness both in media and print, as well as numerous other awards and recognition.

God blessed her with one son Robert James Morgan III whose birth and love fuels the fire that burns in her and reminds her always that the love of God requires that we love and care for others while remembering that dignity, independence, and human rights are the necessities for all mankind.

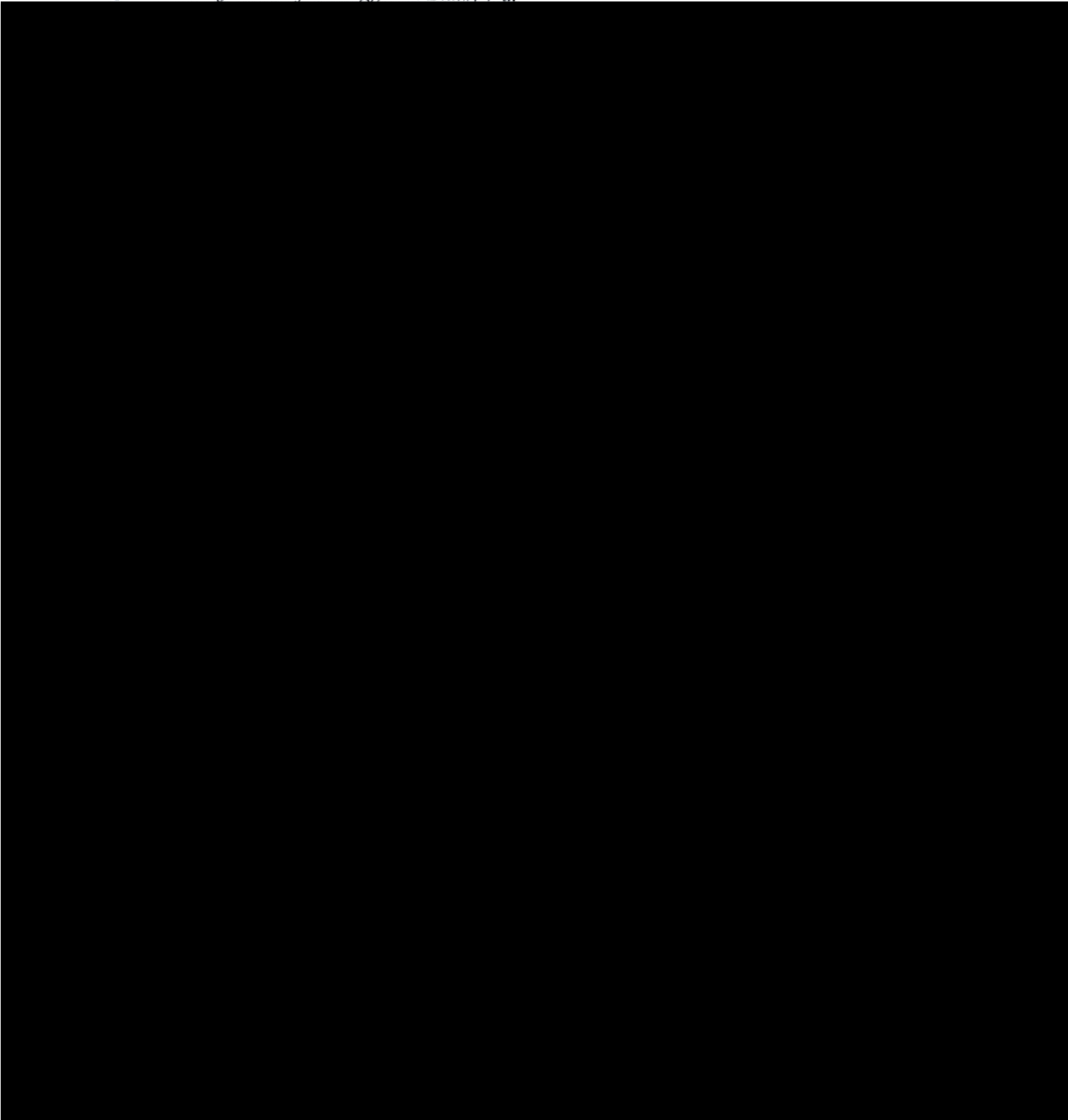
GEORGIETTE MORGAN THOMAS

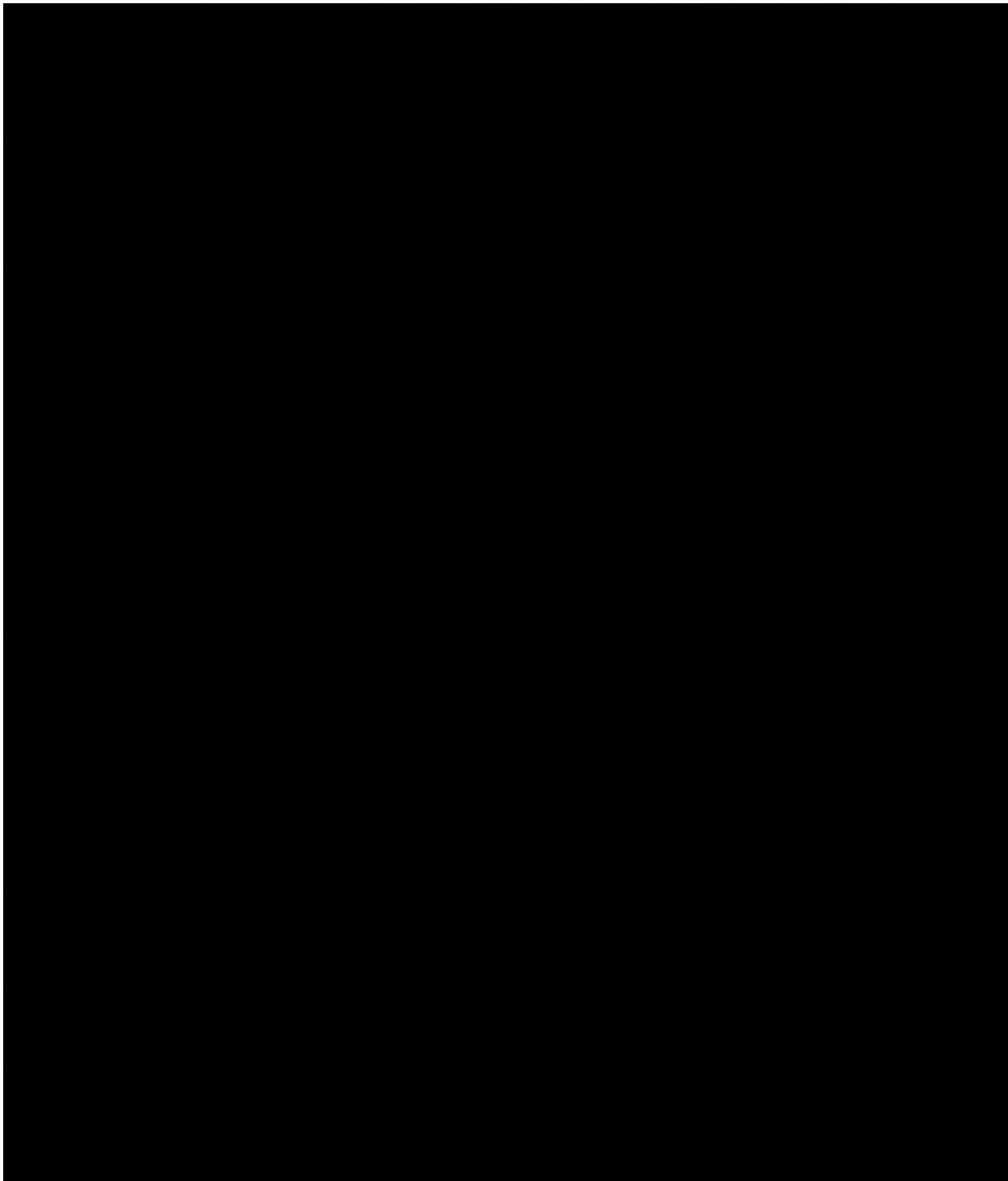
EDUCATION

Bachelor of Social Work, 1983

Adelphi University, Long Island, NY

1989 Regent University School of Theology, Va. Beach, Va.





GEORGIETTE MORGAN THOMAS

AFFILIATIONS

Pastor Mustard Seed Faith Ministries
Supportive Housing Network/ Steering Committee
Housing Advisory Board Harlem YMCA
Board of Directors Rebuilding Together Manhattan
Community Board 9 Chair
Board of Managers Harlem YMCA
Board Member Friends of Public Schools
32nd Precinct Clergy Council
30th Precinct Clergy Council
National Domestic Violence Association
Licensed Real Estate Agent 1987-1994

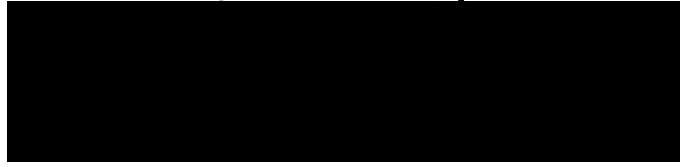
CERTIFICATIONS

Building Operation and Management
NYC Fire Dept. Certificate of Fitness (Standpipe/ Sprinkler)
Crisis Intervention Trainer
Structural Family Therapy
Group Dynamics

REFERENCES

Available upon request.

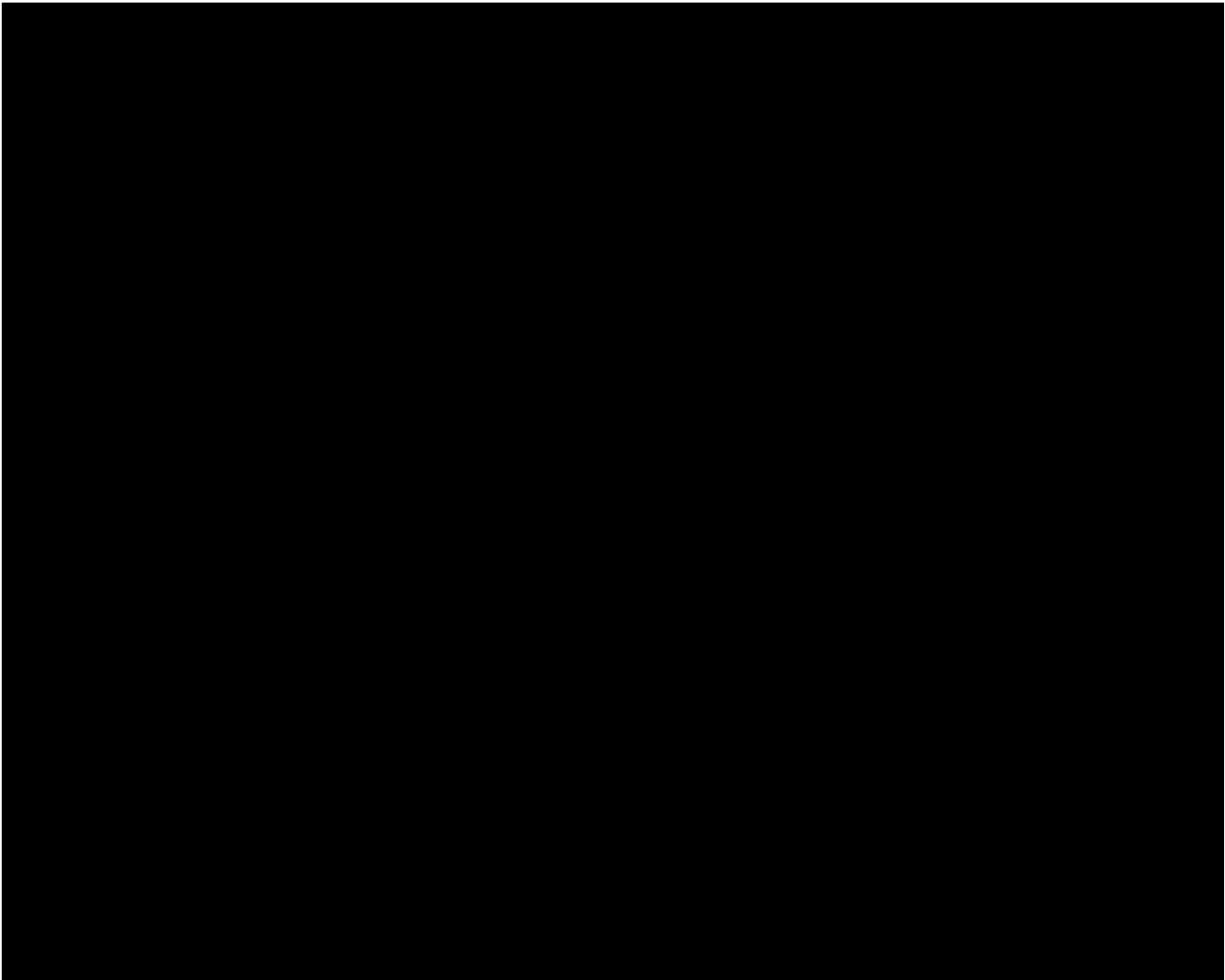
Joan Massey



Personal Statement

Proven effective leadership in defining mission and vision, teacher/leader development, budgeting and strategic planning with the school board. Dedicated student advocate; continuously foster, nurture and maintain a safe and respectful learning environment conducive to academic success and stakeholder satisfaction. Skilled at steering educational improvement efforts and increasing student achievement through shared leadership, data-driven decision-making, and systems thinking. Excels at cultivating and maintaining unified relationships with all stakeholders to achieve a common goal.

Key Skills



University of Massachusetts | ABD
Amherst, MA | Doctorate of Educational Policy & Leadership

American International College | May 1990
Springfield, MA | Masters in Special Education

Northeastern University | May 1987
Boston, MA | Bachelor of Science in Education

Employment History

Committee Work

Title I Task Force: Office of the State Superintendent for the District of Columbia

Reviewer for Gates RFP and Grant: Literacy Courseware Challenge

CT State Department of Education Advisory Committee for Priority Schools

CT State Department Secondary School Reform – Capstone Advisory Committee

The Governors Prevention Partnership: Safe Schools and Communities Coalition

Connecticut ASCD Programs & Communication Representative

Presentations

“Place Based Education”

- SXSW Presentation

“Leveraging Technology to Transform Teaching and Learning”

- Expert Panelist for Bellwether Education Partners

“Blended Learning is Messy”

- Panelist for Charter School Growth Fund

“A Conversation About Learning Trends, Models, Teachers”

- Panelist for The Gates Foundation

“How to Increase the Impact of Technology by Rethinking Role of the Teacher”

- Expert Panelist for Public Impact/Opportunity Network

Board Member

The DC Special Education Cooperative

- Promoting Student Achievement Through Innovation & Collaboration



Charter Schools Institute
The State University of New York

**Request for Information
from
Prospective Not-For-Profit Charter School
Education Corporation Trustees**

Guidance and Form

*For Charter Schools Authorized by the
State University of New York Board of Trustees*

Updated: November 2015

SUNY Charter Schools Institute
41 State Street, Suite 700
Albany, New York 12207
(518) 445-4250 (phone)
(518) 320-1572 (fax)
www.newyorkcharters.org

INTRODUCTION

Serving on a public charter school education corporation board is a position of great trust and responsibility. Trustees are charged with overseeing the education of all students enrolled in the each school the not-for-profit education corporation has the authority to operate, the expenditure of public and private monies directed to the school(s), and, if applicable, the oversight of any charter/education management organization (“CMO/EMO”).

The State University of New York Board of Trustees (the “SUNY Trustees”) requires all new board members be approved by it pursuant to the terms of the education corporation’s Charter Agreement. The SUNY Charter Schools Institute (the “Institute”) carries out this responsibility for the SUNY Trustees through this Request for Information (“RFI”) process. Accordingly, and in order to expedite the approval of new board members, the Institute requests the prospective member to complete the following form and provide answers to each of the items (and provide the certification indicated).

Only in very rare cases does the Institute reject properly approved prospective trustees who have provided all information requested on this form. These cases are generally limited to prospective members who would have severe conflicts of interest in fulfilling their fiduciary or other duties as an education corporation board member, who are proposed to be seated in violation of the education corporation’s charter or by-laws, or whose background evidences untrustworthiness, e.g., criminal record or a record of financial dealings inimical to the public trust.¹

Pursuant to New York’s Freedom of Information Law (“FOIL”), any personal information listed on or attached to this form (including the Charter School Trustee Contact Information form) that would constitute an unwarranted invasion of personal privacy will not be disclosed (home address, email, telephone number, etc.).

¹ Questions related to conflict of interest may be addresses to the education corporation’s counsel or the General Counsel of the Institute.

1. REQUEST FOR INFORMATION

A. Applicable Charter Agreement Provisions

The following images show applicable provision from the Model Charter Agreement:

- Section 2.3, *Selection of New Education Corporation Board Members*.

(available at <http://www.newyorkcharters.org/model-charter-agreement/>), which are the same or very similar to those of each education corporation's Charter Agreement.

2.3 Selection of New Education Corporation Board Members. All Corporate Trustees shall possess appropriate qualifications for membership on the Education Corporation Board, as such qualifications are set forth in the Terms of Operation, and shall be seated pursuant to the following procedures. Prior to the appointment or final election of any new Corporate Trustee, the Education Corporation Board must submit to the Trustees (pursuant to a duly approved resolution of the Education Corporation Board) the name of the proposed Corporate Trustee and such individual must timely provide to the Trustees, in writing and/or in person, such background information as the Trustees shall require (the "School Trustee Background Information"). Within forty-five (45) days of receiving the name of the proposed Corporate Trustee and the School Trustee Background Information, the Trustees shall in writing reject or approve such individual. In the event that the Trustees do not provide in writing an approval or rejection within the forty-five (45) day time period, the proposed Corporate Trustee may be seated so long as such action would be consistent with the By-laws and any other applicable Terms of Operation. A failure by the Education Corporation or the proposed Corporate Trustee to timely provide the School Trustee Background Information to the Trustees shall be grounds for his or her rejection.

B. Applicable Laws and Regulations

None.

C. Discussion

In order to legally seat a person on a charter school education corporation board, the following procedures should generally be followed as well as any specific provisions contained in education corporation's by-laws:

- When a board seat becomes vacant or is created, the board (by committee or otherwise) should seek nominations for a person to fill the vacant seat with appropriate qualifications per the Charter Agreement *and* by-laws requirements.
- The board secretary or other administrator should review the by-laws to determine the proper number of trustees that may be seated on the board, or the proper range (e.g., 7-11). If the board has too many members, a request to amend the by-laws must be made to the Institute or the seat may not be filled. In cases where the number of trustees must be fixed (i.e., when there is a range) the board should do so at or prior to the time of the election of the proposed trustee and clearly reflect same in the minutes.

Note: the legal limits on board size are 5 minimum and 25 maximum, although best practice has shown boards of 13 or under to be effective.

- The board secretary or other administrator should review the following to determine the proper qualification of the prospective board member:
 - Charter Agreement section entitled “Governance; School Board; By-laws” (Section 2.2 in recent charters) for the following:
 - compliance with the 40% rule (no more than 40% of the school board may be affiliated with any single entity unless the school has received a waiver from the SUNY); and
 - compliance with provisions prohibiting or restricting board membership for persons associated with a CMO/EMO.
 - Charter Agreement Exhibit A, “Additional Assurances and Terms,” if any, which may contain restrictions on board membership or a waiver thereof;
 - Charter Agreement Exhibit A, “Terms of Operation;”
 - By-laws, which may:
 - state what type or “class” of trustee must be elected, e.g., parent, teacher representative, community member;
 - state any conditions that must be met prior to the election or nomination of a proposed trustee (vote of the parent/teacher organization; vote of partner organization, etc.);
 - direct how the trustee will be elected or appointed (super-majority vote, vote of corporate member, etc.); and/or,
 - state how long the term of a trustee will be. When vacant seats are filled, the new trustee serves for the remainder of the prior trustee’s term. When new seats are created, the board, chairperson or other methodology in the by-laws may dictate the length of the term, which may be staggered with other terms. It is good practice for the secretary to keep a multi-year elections calendar to track each trustee’s term.

The education corporation board or corporate member elects or appoints the *prospective* trustee at a duly convened meeting of the applicable board with a quorum and following any by-laws restrictions on elections such as super-majority provisions. The Institute will approve or reject such proposed trustee in writing within 45 days of submission of *all* of the above required documentation (complete *Request for Information from Prospective Charter School Education Corporation Trustee* (“RFI”) and evidence of proper election (e.g., signed resolution or minutes reflecting vote). If the Institute takes no action within the 45 day period, the person may be seated as a school trustee. After the Institute approves a trustee in writing, it will ask the education corporation for an updated list of trustees.

D. Responsible Tasks

- Submit a signed copy of the resolution electing the prospective trustee or the signed minutes showing such election to the Institute together with a *Request for Information from Prospective Charter School Education Corporation Trustee (RFI)*.
- After each prospective trustee reviews the by-laws, code of ethics and any conflict of interest policies of the education corporation, the board secretary or administrator should have each prospective trustee complete a RFI form, which the education corporation or proposed trustee must submit to the Institute.
- After approval by the Institute, the board secretary or other administrator should inform the new trustee of his or her official seating on the board. The trustee may now vote. The education corporation must send an updated board list to the Institute.
- As a reminder, the Education Corporation must notify the SUNY Trustees within five (5) business days of any of the following education corporation trustee actions: removal; resignation; expiration of term without re-election; or, otherwise leaving the education corporation board.

**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.

2. Full name: John Mzsen
Home Address: [REDACTED]
Business Name: [REDACTED]
Home telephone: [REDACTED]
Work telephone: [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, *Derek Purquison, Steve Perry, Germyette Mungin-Thomaz*
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, *Steve Perry*
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 contact 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. *Non-Compliance resulting in Board Removal.*

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, John Messer, 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 {insert name of education corporation} is true and correct in every respect.


Signature

6/20/18
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 (email)

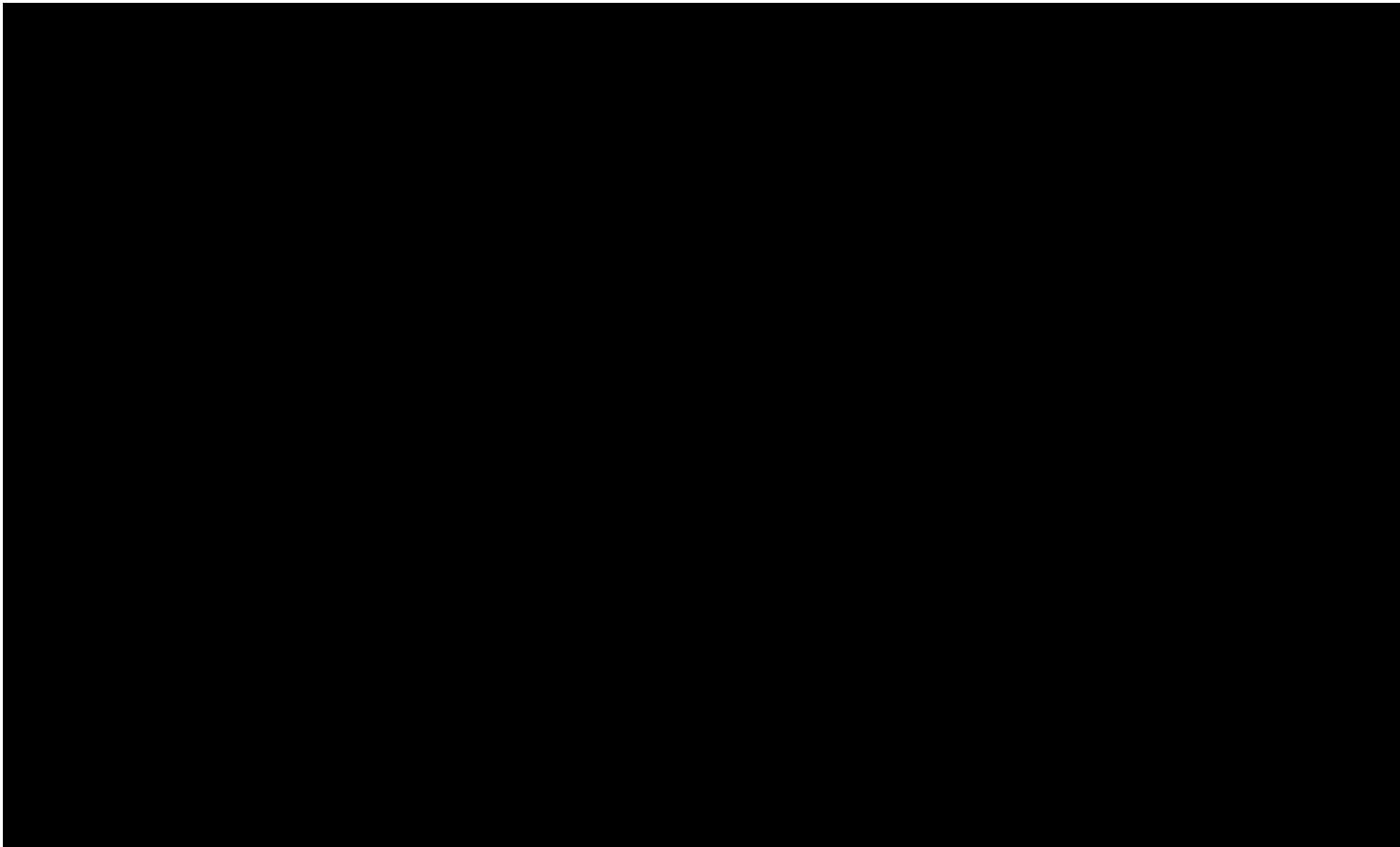
Ramik J. Williams



SUMMARY

Dynamic, driven, seasoned senior-level not-for-profit organization leader, with substantial experience in external affairs and partnership building, correspondence and communication management, program development, program admissions, national partner engagement, outreach and recruitment, diversity initiatives, grant writing, budget planning, fellowship administration, program evaluation, relationship building, project management, and marketing. Ability to foster and manage complex relationships with all stakeholders. Experience working with school administrators and leaders. Strong familiarity and understanding of external partner relationships maintenance specifically career and vocational entities. Reputation for integrity, strong management and communication skills. Demonstrated ability to conceptualize program goals and implement innovative strategies.

ACCOMPLISHMENTS

- Researched and identified successful funding and sponsorship agreements from the Robert Bowne Foundation, Louis Calder Foundation, Lumina Foundation, Pinkerton Foundation, Tiger Foundation, Tommy Hilfiger Foundation for two New York City Settlement Houses for various employment and education opportunities for graduating students
 - Established and cultivated strategic partnerships with U.S. and New York City government agencies, educational institutions, nonprofits and multilateral organizations, including select HBCUs and HSIs, the Thurgood Marshall College Fund, Summer Bridge Alumni Network, City Year, Urban Teacher Residency, California Alliance of African American Educators, Teach for America, Call Me Mister, and the National Urban League
 - Identified and recruited guest speakers for the Teachers As Leaders Project at the City University of New York Student Affairs department
 - Convened and coordinated annual education and community development conferences and events
- 

EDUCATION

Metropolitan College of New York

Master of Public Administration and Public Affairs

New York, NY

June 2016

Fredonia College

Dual Major Program, B.A. History and B.A. Secondary Education

Fredonia, NY

2000

- Chairperson of the President's Student Task Force which resulted in the establishment of the office of Multicultural Affairs
- Appointed as Student Representative for the creation of the Black and Latino Studies Department

Other professional and learning experiences:

- Former certified middle school teacher and high school teacher
- Menlo Marks Foundation Scholarship: Cornell University
- Foundation Center Professional Grant Writing Series
- CUNY Fundraising Academy
- Columbia University Graduate School of Business: Institute of Non Profit Management
- CEC 2013-2014 Manhattan Borough President Appointee
- National Institute Out of School Time Fellowship -Robert Bowne Foundation and Wellesley College

Ramik J. Williams

PRESENTATIONS

- 2013, New York State Afterschool Network
- 2013, Continuum Health: Career Paths and Journeys to a career, college and beyond: Marymount College
- 2013, Apps that Close the Gap: conference on digital education for youth: Columbia University, New York City Department of Education
- 2012, Love Heals Staff Training on team work, time management, program promotion
- 2011, Association Black Educators, Parent and Community Conference
- 2009, Professional Development facilitator for South East Bronx Neighborhood Center Workforce Investment Act program, Project Uplift

Groups and Affiliations

Columbia University Non-Profit Management Alumni Group, National Institute of Out of School Time, Foundation Center, United Neighborhood Houses Junior Board, New York Urban League Education Policy Committee

Professional References

1. Dr. Michael Gillespie, City University of New York (retired), drmcg@gmail.com
2. Dr. Janice Zummo, Academic Affairs, Borough of Manhattan Community College, JZummo@bmcc.cuny.edu
3. Dr. Audra Watson, Senior Program Director and Senior Program Officer, Woodrow Wilson National Fellowship Foundation; Adjunct Professor, City University of New York- Watson@Woodrow.org
4. Abelardo Fernandez, Director of Collective Impact, Children's Aid Society, abef@childrensaidsociety.org
5. Dr. Ellen P. Simon, former Executive Director, Union Settlement Association, epsimon@gmail.com



Charter Schools Institute
The State University of New York

**Request for Information
from
Prospective Not-For-Profit Charter School
Education Corporation Trustees**

Guidance and Form

*For Charter Schools Authorized by the
State University of New York Board of Trustees*

Updated: November 2015

SUNY Charter Schools Institute
41 State Street, Suite 700
Albany, New York 12207
(518) 445-4250 (phone)
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INTRODUCTION

Serving on a public charter school education corporation board is a position of great trust and responsibility. Trustees are charged with overseeing the education of all students enrolled in the each school the not-for-profit education corporation has the authority to operate, the expenditure of public and private monies directed to the school(s), and, if applicable, the oversight of any charter/education management organization (“CMO/EMO”).

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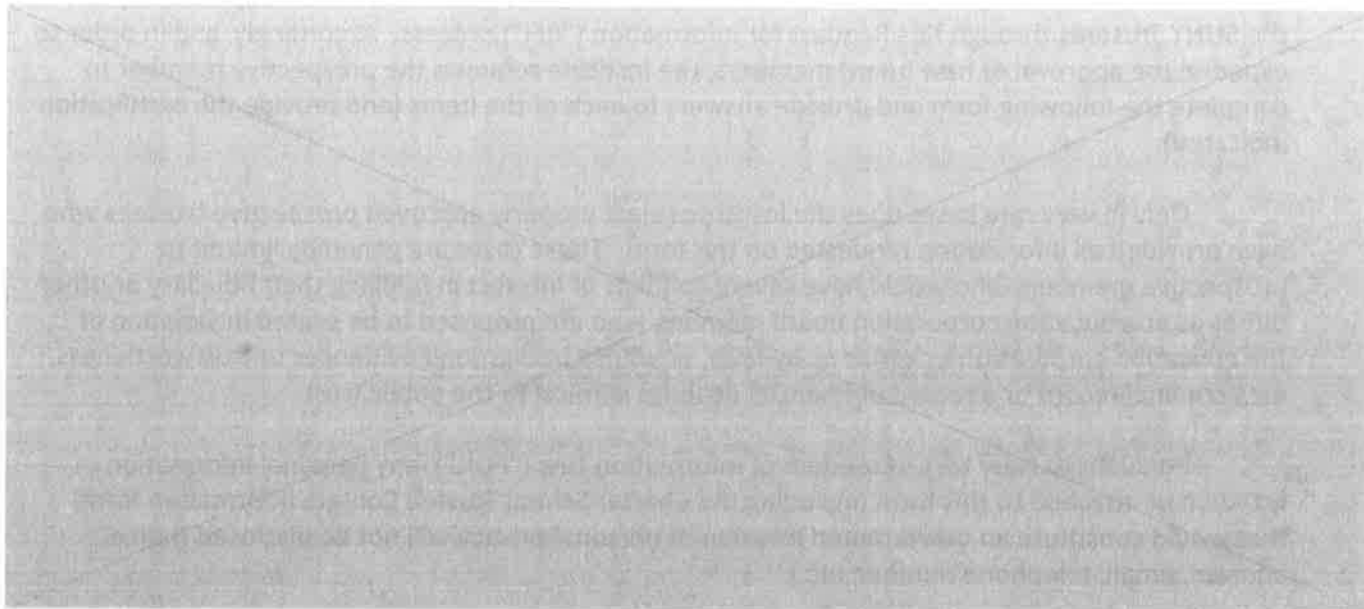
1. REQUEST FOR INFORMATION

A. Applicable Charter Agreement Provisions

The following images show applicable provision from the Model Charter Agreement:

- Section 2.3, *Selection of New Education Corporation Board Members*.

(available at <http://www.newyorkcharters.org/model-charter-agreement/>), which are the same or very similar to those of each education corporation's Charter Agreement.



B. Applicable Laws and Regulations

None.

C. Discussion

In order to legally seat a person on a charter school education corporation board, the following procedures should generally be followed as well as any specific provisions contained in education corporation's by-laws:

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 - compliance with the 40% rule (no more than 40% of the school board may be affiliated with any single entity unless the school has received a waiver from the SUNY); and
 - compliance with provisions prohibiting or restricting board membership for persons associated with a CMO/EMO.
 - Charter Agreement Exhibit A, “Additional Assurances and Terms,” if any, which may contain restrictions on board membership or a waiver thereof;
 - Charter Agreement Exhibit A, “Terms of Operation;”
 - By-laws, which may:
 - state what type or “class” of trustee must be elected, e.g., parent, teacher representative, community member;
 - state any conditions that must be met prior to the election or nomination of a proposed trustee (vote of the parent/teacher organization; vote of partner organization, etc.);
 - direct how the trustee will be elected or appointed (super-majority vote, vote of corporate member, etc.); and/or,
 - state how long the term of a trustee will be. When vacant seats are filled, the new trustee serves for the remainder of the prior trustee’s term. When new seats are created, the board, chairperson or other methodology in the by-laws may dictate the length of the term, which may be staggered with other terms. It is good practice for the secretary to keep a multi-year elections calendar to track each trustee’s term.

The education corporation board or corporate member elects or appoints the *prospective* trustee at a duly convened meeting of the applicable board with a quorum and following any by-laws restrictions on elections such as super-majority provisions. The Institute will approve or reject such proposed trustee in writing within 45 days of submission of *all* of the above required documentation (complete *Request for Information from Prospective Charter School Education Corporation Trustee* (“RFI”) and evidence of proper election (e.g., signed resolution or minutes reflecting vote). If the Institute takes no action within the 45 day period, the person may be seated as a school trustee. After the Institute approves a trustee in writing, it will ask the education corporation for an updated list of trustees.

D. **Responsible Tasks**

- Submit a signed copy of the resolution electing the prospective trustee or the signed minutes showing such election to the Institute together with a *Request for Information from Prospective Charter School Education Corporation Trustee* (RFI).
- After each prospective trustee reviews the by-laws, code of ethics and any conflict of interest policies of the education corporation, the board secretary or administrator should have each prospective trustee complete a RFI form, which the education corporation or proposed trustee must submit to the Institute.
- After approval by the Institute, the board secretary or other administrator should inform the new trustee of his or her official seating on the board. The trustee may now vote. The education corporation must send an updated board list to the Institute.
- As a reminder, the Education Corporation must notify the SUNY Trustees within five (5) business days of any of the following education corporation trustee actions: removal; resignation; expiration of term without re-election; or, otherwise leaving the education corporation board.

**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.
Capital Prep-Bronx

2. Full name: Ramik Williams

Home Address: [REDACTED]

Business Name and Address: [REDACTED]
10451

Home telephone: [REDACTED]

Work telephone: [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 am a former member of the United Neighborhood Houses and a former member of the District 5 Community Education Council
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, *Isiah Brown*
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 contact 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 report the matter to the Board of Directors Chairperson, Governance Committee*
- 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

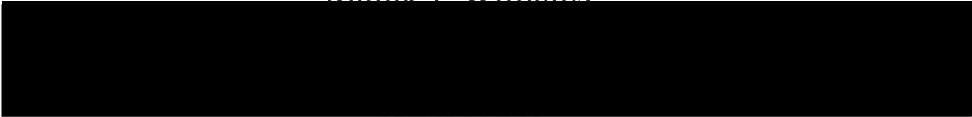
I, Ramik Williams, certify to the best of my knowledge and ability that the information I am providing to the State University of New York/Charter Schools Institute in regards to my application to serve as a member of the board of trustees of the Capital Prep is true and correct in every respect.


Signature

_____ June 19, 2018 _____
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 (email)

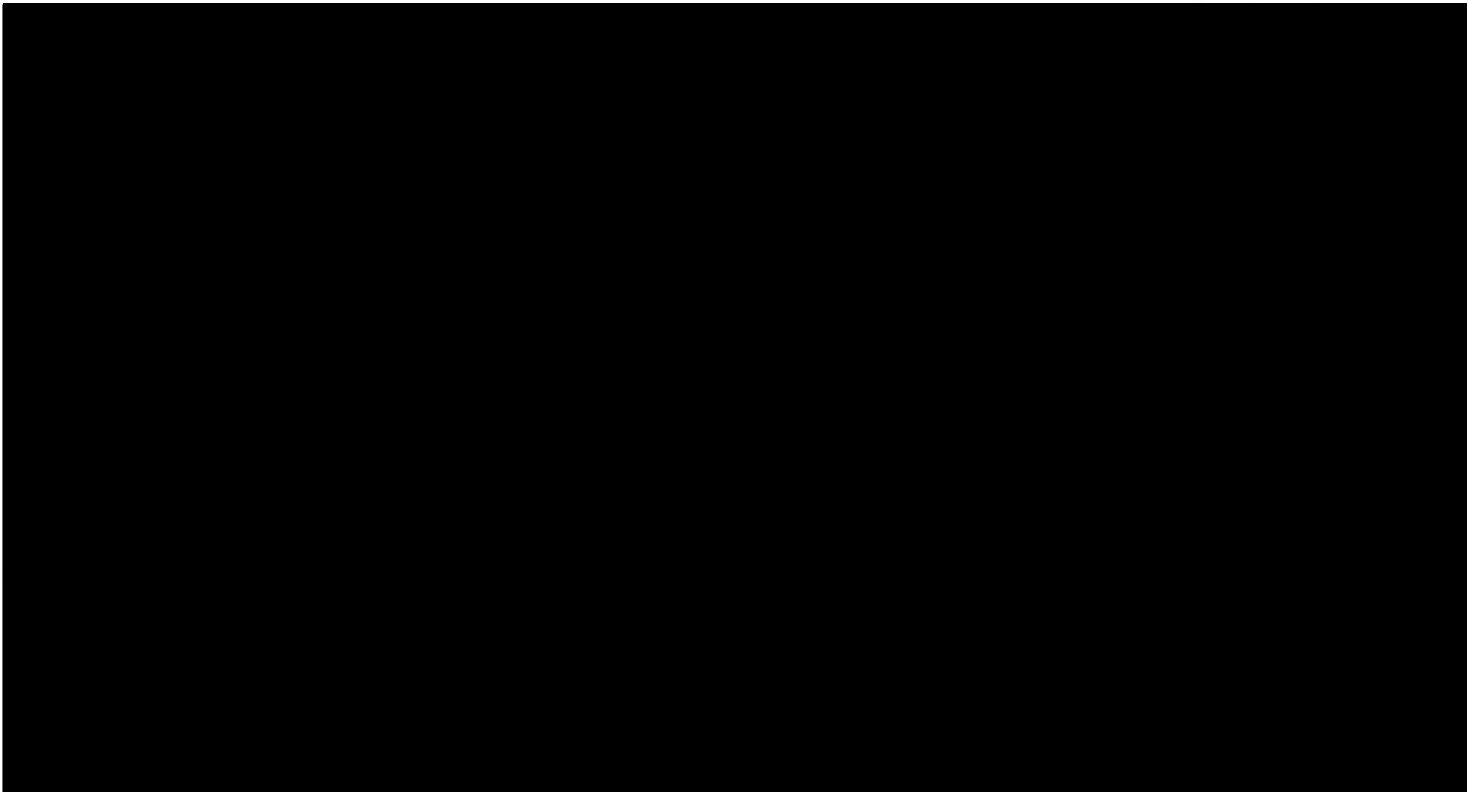


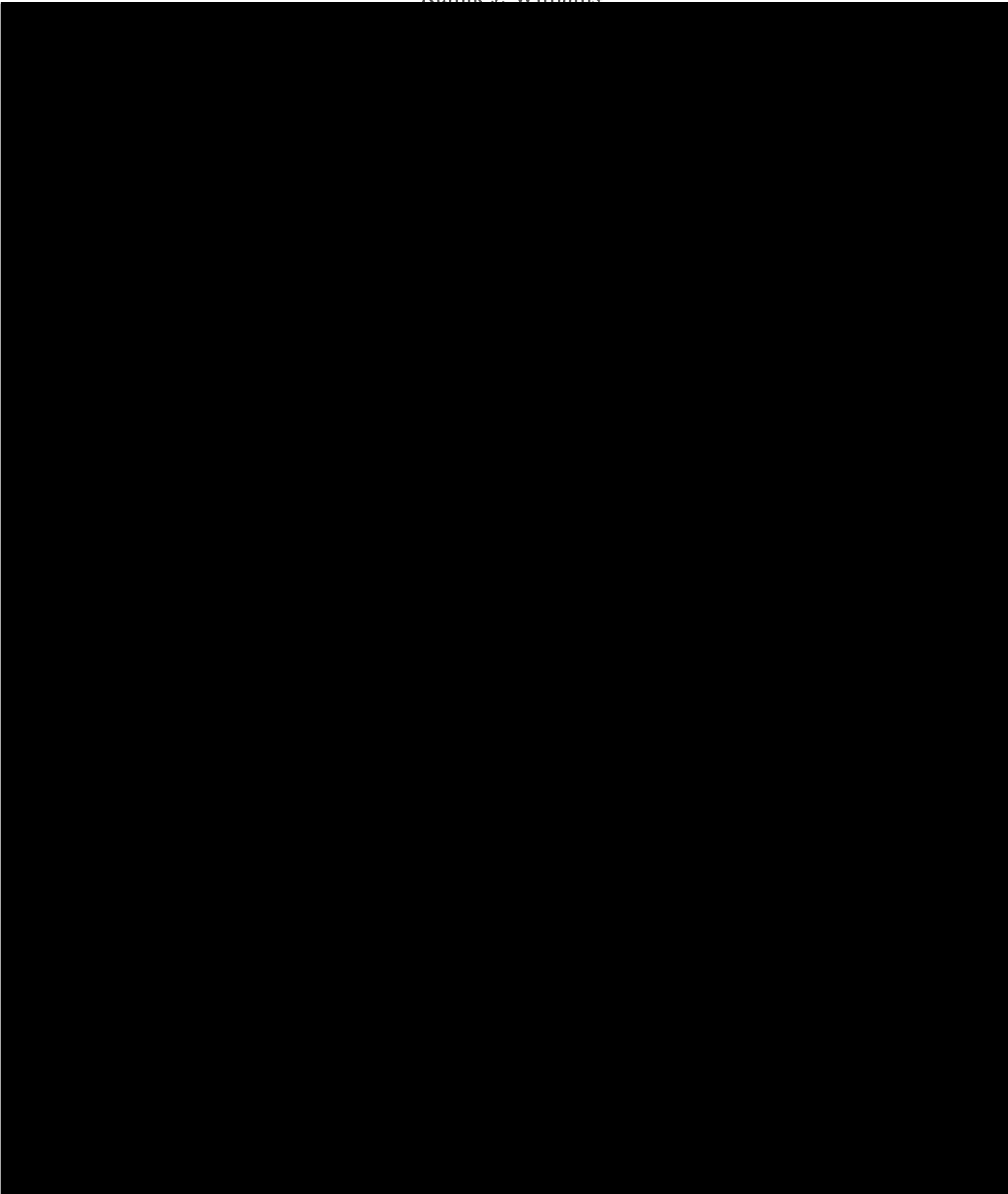
SUMMARY

Dynamic, driven, seasoned senior-level not-for-profit organization leader, with substantial experience in external affairs and partnership building, correspondence and communication management, program development, program admissions, national partner engagement, outreach and recruitment, diversity initiatives, grant writing, budget planning, fellowship administration, program evaluation, relationship building, project management, and marketing. Ability to foster and manage complex relationships with all stakeholders. Experience working with school administrators and leaders. Strong familiarity and understanding of external partner relationships maintaince specifically career and vocational entities. Reputation for integrity, strong management and communication skills. Demonstrated ability to conceptualize program goals and implement innovative strategies.

ACCOMPLISHMENTS

- Researched and identified successful funding and sponsorship agreements from the Robert Bowne Foundation, Louis Calder Foundation, Lumina Foundation, Pinkerton Foundation, Tiger Foundation, Tommy Hilfiger Foundation for two New York City Settlement Houses for various employment and education opportunities for graduating students
- Established and cultivated strategic partnerships with U.S. and New York City government agencies, educational institutions, nonprofits and multilateral organizations, including select HBCUs and HSIs, the Thurgood Marshall College Fund, Summer Bridge Alumni Network, City Year, Urban Teacher Residency, California Alliance of African American Educators, Teach for America, Call Me Mister, and the National Urban League
- Identified and recruited guest speakers for the Teachers As Leaders Project at the City University of New York Student Affairs department
- Convened and coordinated annual education and community development conferences and events





EDUCATION

Metropolitan College of New York
Master of Public Administration and Public Affairs

New York, NY
June 2016

Fredonia College

Fredonia, NY
2000

Dual Major Program, B.A. History and B.A. Secondary Education

- Chairperson of the President's Student Task Force which resulted in the establishment of the office of Multicultural Affairs
- Appointed as Student Representative for the creation of the Black and Latino Studies Department

Other professional and learning experiences:

- Former certified middle school teacher and high school teacher
- Menlo Marks Foundation Scholarship: Cornell University
- Foundation Center Professional Grant Writing Series
- CUNY Fundraising Academy
- Columbia University Graduate School of Business: Institute of Non Profit Management
- CEC 2013-2014 Manhattan Borough President Appointee
- National Institute Out of School Time Fellowship –Robert Bowne Foundation and Wellesley College

Ramik J. Williams

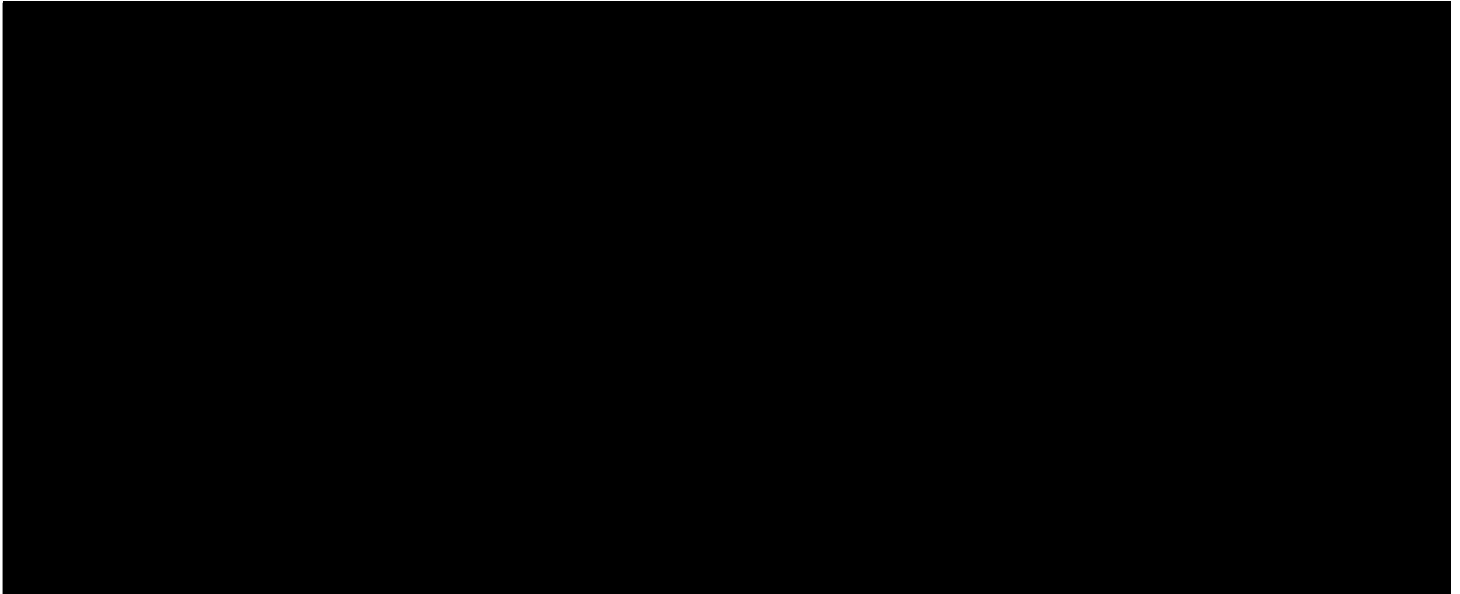
PRESENTATIONS

- 2013, New York State Afterschool Network
- 2013, Continuum Health: Career Paths and Journeys to a career, college and beyond: Marymount College
- 2013, Apps that Close the Gap: conference on digital education for youth: Columbia University, New York City Department of Education
- 2012, Love Heals Staff Training on team work, time management, program promotion
- 2011, Association Black Educators, Parent and Community Conference
- 2009, Professional Development facilitator for South East Bronx Neighborhood Center Workforce Investment Act program, Project Uplift

Groups and Affiliations

Columbia University Non-Profit Management Alumni Group, National Institute of Out of School Time, Foundation Center, United Neighborhood Houses Junior Board, New York Urban League Education Policy Committee

Professional References



STEPHEN D.PERRY, MSW, EDD

EDUCATION

University of Hartford, Hartford CT

Ed.D Educational Leadership

2008

Dissertation: Upward Bound Project Staff's Perceptions of the Program Practices that are Most Effective and Transferable to an Urban High School

University of Pennsylvania School of Social Work, Philadelphia PA

Master of Social Work

1995

University of Rhode Island, Kingston RI

Bachelor of Arts

1992

Political Science

Minor: African American Studies

Honor: President's Award for Academic Excellence

AWARDS

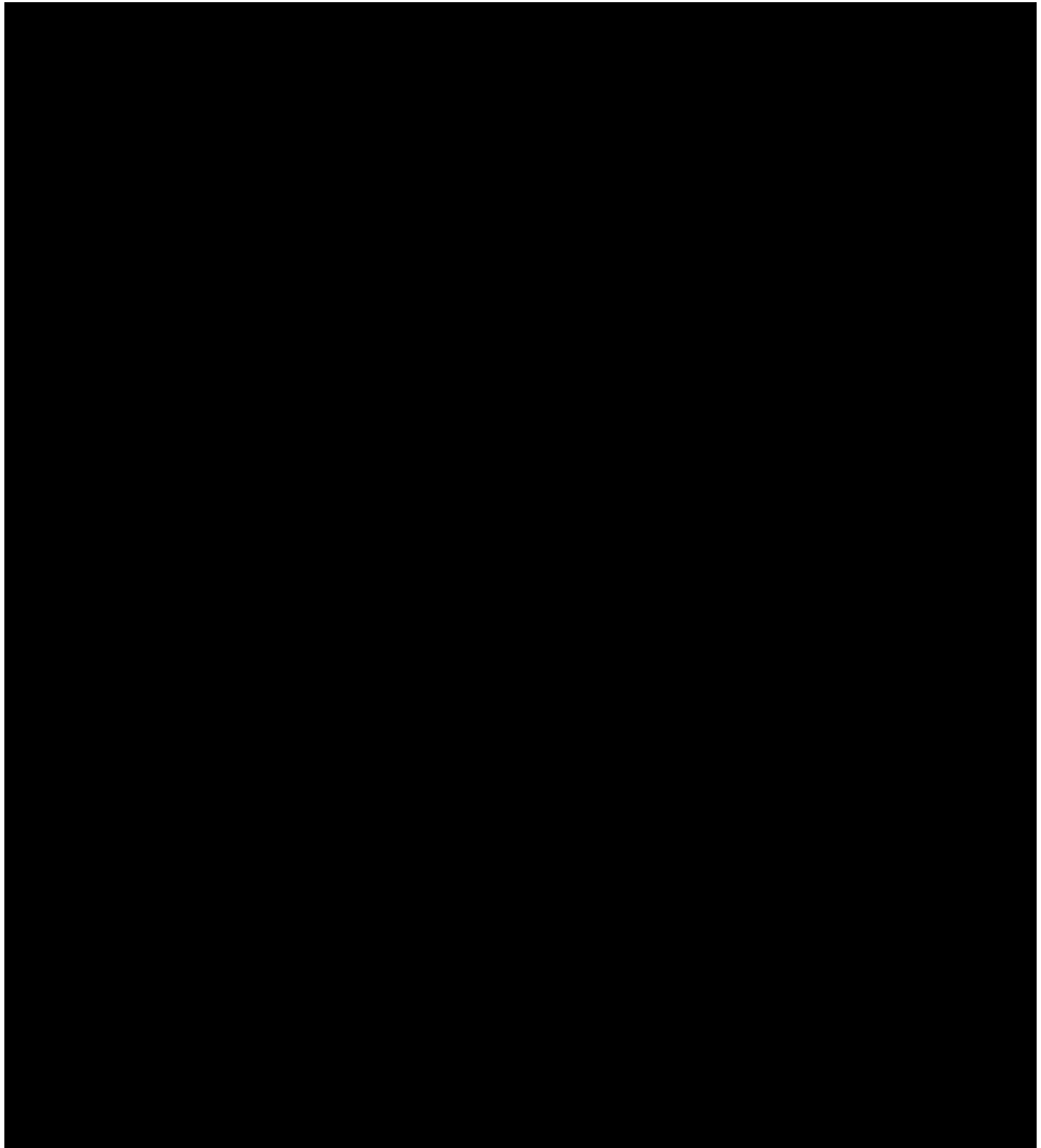
| | |
|--|------|
| Connecticut Association of Educational Programs - Student Leadership | 1990 |
| Real Men of UPenn - Outstanding Work in Fighting Sexual Violence | 1995 |
| Recipient - National TRIO Outstanding Achiever's Award | 1996 |
| Greater Hartford NAACP - Award of Honor | 2001 |
| Recipient - National Trio Who's Who | 2002 |
| City of Greenwood Key – Mayor Floyd Nicholson | 2007 |
| National Black MBA Association – Educational Institution of the Year | 2009 |
| National Urban League – Eloise Gentry Education Award | 2009 |
| National Urban League – Outstanding Leadership and Community Award | 2010 |
| Essence Magazine – Advocate Award | 2010 |
| National Society of Black Engineers - Motivational Speaker Recognition | 2010 |
| Alabama State University – MLK Convocation Speaker Recognition | 2010 |
| Proclamation from the City of Toledo OH, Mayor Michael Bell | 2010 |
| NABA Hartford's Night of Stars – Academia All Star Award | 2010 |
| Connecticut Chapter Men and Women for Justice Inc. – Achievement Award | 2011 |
| Public Leadership Citation – CT Office of the Treasurer – Denise L. Nappier, State Treasurer | 2011 |
| The Root 100 | 2011 |
| Council on American Leadership – Distinguished American Leadership | 2011 |
| National Council of Negro Women – Distinguished Innovative Educator | 2011 |
| FBI Director's - Community Leadership Award | 2011 |
| International Association of Ministers' Wives & Widows - Janie Charles Bright Light Award | 2012 |
| Phi Beta Sigma Fraternity, Inc. – Extraordinary Service and Dedication | 2012 |
| Verizon – Black History Month Honoree | 2012 |
| The Steve and Marjorie Harvey Foundation - The Helping Hand Award | 2012 |
| McDonalds 365 Black Awards - Honoree | 2013 |

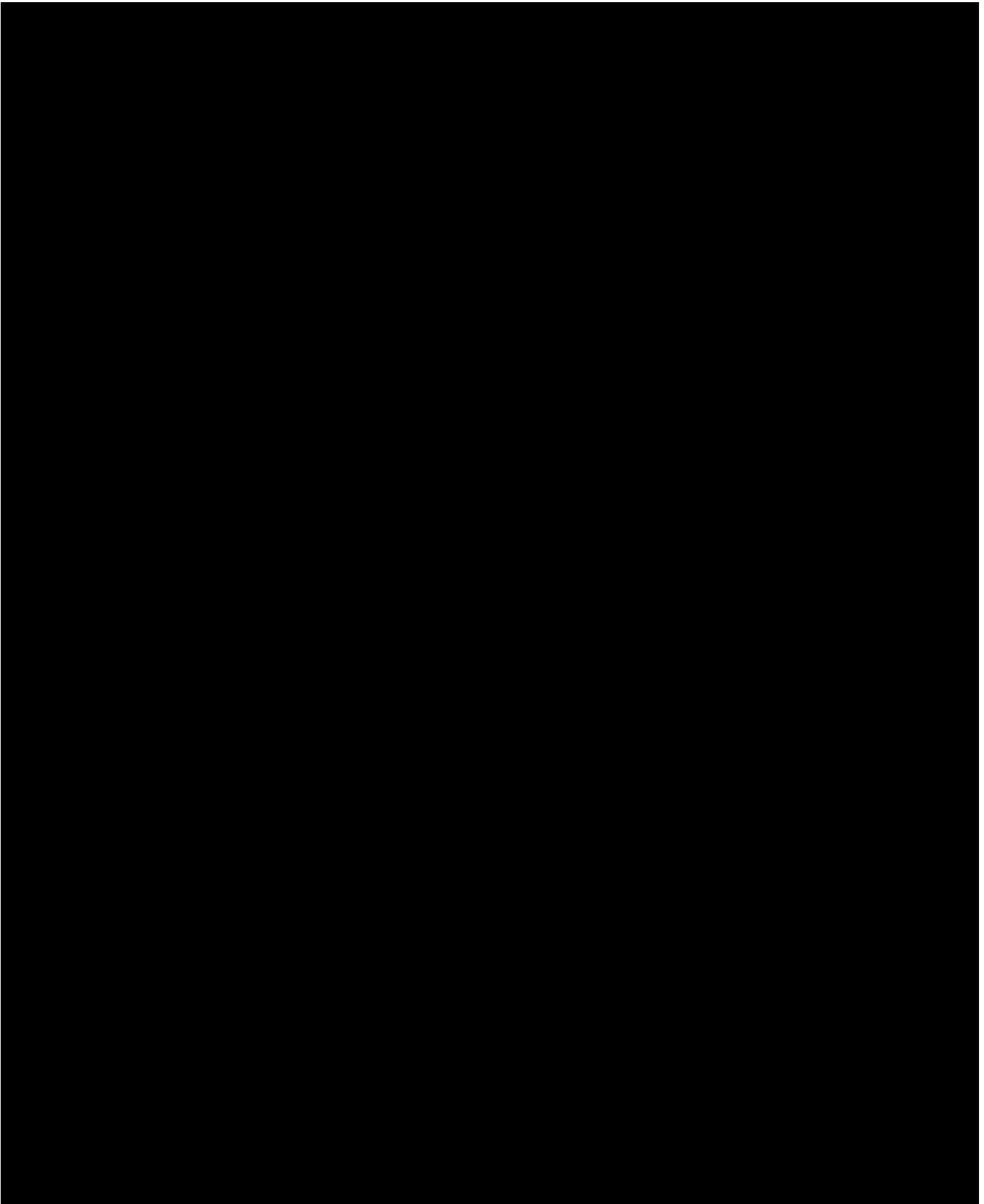
United States Senate Recognition – Mary Landrieu, United States Senator (365 Black Awards) 2013
National Nation Builder Award – National Black Caucus of State Legislators 2013 Proclamation from
the City of Tulsa Oklahoma for the Morton Gala 2013

Citation from State of Oklahoma – Senator Jabar Shumate and Representative Kevin Matthews 2013
Proclamation from the City of Rochester NY – Mayor Thomas S. Richards 2013

One Hundred Men of Color Recognition

2013





PUBLICATIONS AND PAPERS

| | |
|--|----------------|
| <i>The Window Pain</i> , fiction | 2001 |
| <i>Naked Eating Chinese Food</i> , fiction | 2003 |
| <i>Man Up: Nobody is Coming to Save Us</i> , nonfiction | 2006 |
| <i>Upward Bound Project Staff's Perceptions of the Program Practices that are Most Effective and Transferable to an Urban High School</i> , Dissertation | 2008 |
| <i>Raggedy Schools: The Untold Truth</i> , nonfiction | 2009 |
| <i>Push Has Come to Shove: Getting our Kids the Education They Deserve Even if it Means Picking a Fight</i> , nonfiction | 2011 |
| <i>Essence Magazine</i> , Columnist | 2009 - Present |

Ebony Magazine, Columnist 2012 **MEMBERSHIPS**

| | |
|---|----------------|
| Starfish Foundation | 2009 - Present |
| Member, Shiloh Baptist Church Elderly Housing Board | 2003 |
| Board, Excel Program for Junior High School College bound students in poverty | 2001 |
| Board, Middlesex County Red Cross | 2000 |
| Member, Middlesex County's NAACP | 2000 |
| Member, Eddy Homeless Shelter Advisory Board | 1997 |
| Member, Middlesex County's Substance Abuse Action Counsel | 1997 |
| Member, Connecticut Coalition to End Homelessness | 1997 |
| Member, Middlesex Crisis Intervention Team | 1997 |

KEYNOTE PRESENTATIONS from 2009-2013*2009-2010*

Montgomery Department of Education, AL
 Bermuda Premier and Department of Education
 Florida A&M University
 Penn State University
 Carnegie Mellon
 University of Tennessee
 Housatonic Community College
 University of Louisiana
 University of Virgin Islands
 National Society of Black Engineers International Conference, Toronto Canada
 Cheney University
 Alabama School of Medicine
 Urban League
 Jack and Jill Southwestern Regional, Tampa FL
 Memphis Tennessee Public Schools
 Essence Music Festival

2010-2011

Walt Disney World's Dreamers' Academy
 Steve and Marjorie Harvey Fathers' Day Mentoring Weekend
 Essence Music Festival
 Urban League of New Britain CT
 Tennessee State University
 Syracuse University
 Ohio Bowling Green University
 Birmingham Business Alliance
 Palm Springs Public Schools, Palm Springs CA
 Ashford University, Iowa
 Little Rock Public Schools, AK
 George Washington University, Washington DC
 Macon University, Macon GA

University of Florida, Gainesville FL
Auburn University, Auburn AL
Ohio University, Athens OH
University of North Carolina, Chapel Hill NC
Bethune Cookman, Daytona Beach FL
Kennesaw State University, Kennesaw GA
Indianapolis Urban League
South Carolina Campaign to Prevent Pregnancy

2011-2012

Walt Disney World's Dreamers' Academy
Steve and Marjory Harvey Fathers' Day Mentoring Weekend
Essence Music Festival Oakdale Baltimore MD
Palmdale School District, Palmdale CA
University of Minnesota School of Management
Greater Indianapolis Chamber of Commerce
University of Kentucky
Birmingham Change Fund
Capella University
IRA international, Newark DE
Steward Associates, Indianapolis IN
Miami University, Oxford OH
International Reading Association National Conference, Chicago IL
Leadership Institute for Teachers, MS
Affirmative Action Association, Washington DC

2012-2013

Walt Disney World's Dreamers' Academy
Steve and Marjory Harvey Fathers' Day Mentoring Weekend
Essence Music Festival
Charter Schools USA National Conference, Chicago IL
TD Jakes Megafest, Dallas TX
Mac Ed Foundation
University of Louisiana, Lafayette LA
Starting Point
ACT National Conference
Georgia State, Atlanta GA
Delaware State University, Dover DE
Ohio State University, Columbus OH
Saginaw, MO
Kansas City State, Kansas City MO
Living Word Christian Center Chicago IL
St Augustine University, St. Augustine FL

Alabama State University, Montgomery AL
Minneapolis Foundation, Minneapolis MN
Kansas City Schools, Kansas City MO
Quest Academy OH
Walt Disney World's Dreamers' Academy
Steve and Marjory Harvey Fathers' Day Mentoring Weekend
Essence Music Festival
GA Academy
Advanced International Summit
Fulton County Schools
NCBC Ohio



Charter Schools Institute
The State University of New York

**Request for Information
from
Prospective Not-For-Profit Charter School
Education Corporation Trustees**

Guidance and Form

*For Charter Schools Authorized by the
State University of New York Board of Trustees*

Updated: November 2015

SUNY Charter Schools Institute
41 State Street, Suite 700
Albany, New York 12207
(518) 445-4250 (phone)
(518) 320-1572 (fax)
www.newyorkcharters.org

INTRODUCTION

Serving on a public charter school education corporation board is a position of great trust and responsibility. Trustees are charged with overseeing the education of all students enrolled in the each school the not-for-profit education corporation has the authority to operate, the expenditure of public and private monies directed to the school(s), and, if applicable, the oversight of any charter/education management organization (“CMO/EMO”).

The State University of New York Board of Trustees (the “SUNY Trustees”) requires all new board members be approved by it pursuant to the terms of the education corporation’s Charter Agreement. The SUNY Charter Schools Institute (the “Institute”) carries out this responsibility for the SUNY Trustees through this Request for Information (“RFI”) process. Accordingly, and in order to expedite the approval of new board members, the Institute requests the prospective member to complete the following form and provide answers to each of the items (and provide the certification indicated).

Only in very rare cases does the Institute reject properly approved prospective trustees who have provided all information requested on this form. These cases are generally limited to prospective members who would have severe conflicts of interest in fulfilling their fiduciary or other duties as an education corporation board member, who are proposed to be seated in violation of the education corporation’s charter or by-laws, or whose background evidences untrustworthiness, e.g., criminal record or a record of financial dealings inimical to the public trust.¹

Pursuant to New York’s Freedom of Information Law (“FOIL”), any personal information listed on or attached to this form (including the Charter School Trustee Contact Information form) that would constitute an unwarranted invasion of personal privacy will not be disclosed (home address, email, telephone number, etc.).

¹ Questions related to conflict of interest may be addresses to the education corporation’s counsel or the General Counsel of the Institute.

1. REQUEST FOR INFORMATION

A. Applicable Charter Agreement Provisions

The following images show applicable provision from the Model Charter Agreement:

- Section 2.3, *Selection of New Education Corporation Board Members*.

(available at <http://www.newyorkcharters.org/model-charter-agreement/>), which are the same or very similar to those of each education corporation's Charter Agreement.

2.3 Selection of New Education Corporation Board Members. All Corporate Trustees shall possess appropriate qualifications for membership on the Education Corporation Board, as such qualifications are set forth in the Terms of Operation, and shall be seated pursuant to the following procedures. Prior to the appointment or final election of any new Corporate Trustee, the Education Corporation Board must submit to the Trustees (pursuant to a duly approved resolution of the Education Corporation Board) the name of the proposed Corporate Trustee and such individual must timely provide to the Trustees, in writing and/or in person, such background information as the Trustees shall require (the "School Trustee Background Information"). Within forty-five (45) days of receiving the name of the proposed Corporate Trustee and the School Trustee Background Information, the Trustees shall in writing reject or approve such individual. In the event that the Trustees do not provide in writing an approval or rejection within the forty-five (45) day time period, the proposed Corporate Trustee may be seated so long as such action would be consistent with the By-laws and any other applicable Terms of Operation. A failure by the Education Corporation or the proposed Corporate Trustee to timely provide the School Trustee Background Information to the Trustees shall be grounds for his or her rejection.

B. Applicable Laws and Regulations

None.

C. Discussion

In order to legally seat a person on a charter school education corporation board, the following procedures should generally be followed as well as any specific provisions contained in education corporation's by-laws:

- When a board seat becomes vacant or is created, the board (by committee or otherwise) should seek nominations for a person to fill the vacant seat with appropriate qualifications per the Charter Agreement *and* by-laws requirements.
- The board secretary or other administrator should review the by-laws to determine the proper number of trustees that may be seated on the board, or the proper range (e.g., 7-11). If the board has too many members, a request to amend the by-laws must be made to the Institute or the seat may not be filled. In cases where the number of trustees must be fixed (i.e., when there is a range) the board should do so at or prior to the time of the election of the proposed trustee and clearly reflect same in the minutes.

Note: the legal limits on board size are 5 minimum and 25 maximum, although best practice has shown boards of 13 or under to be effective.

- The board secretary or other administrator should review the following to determine the proper qualification of the prospective board member:
 - Charter Agreement section entitled “Governance; School Board; By-laws” (Section 2.2 in recent charters) for the following:
 - compliance with the 40% rule (no more than 40% of the school board may be affiliated with any single entity unless the school has received a waiver from the SUNY); and
 - compliance with provisions prohibiting or restricting board membership for persons associated with a CMO/EMO.
 - Charter Agreement Exhibit A, “Additional Assurances and Terms,” if any, which may contain restrictions on board membership or a waiver thereof;
 - Charter Agreement Exhibit A, “Terms of Operation;”
 - By-laws, which may:
 - state what type or “class” of trustee must be elected, e.g., parent, teacher representative, community member;
 - state any conditions that must be met prior to the election or nomination of a proposed trustee (vote of the parent/teacher organization; vote of partner organization, etc.);
 - direct how the trustee will be elected or appointed (super-majority vote, vote of corporate member, etc.); and/or,
 - state how long the term of a trustee will be. When vacant seats are filled, the new trustee serves for the remainder of the prior trustee’s term. When new seats are created, the board, chairperson or other methodology in the by-laws may dictate the length of the term, which may be staggered with other terms. It is good practice for the secretary to keep a multi-year elections calendar to track each trustee’s term.

The education corporation board or corporate member elects or appoints the *prospective* trustee at a duly convened meeting of the applicable board with a quorum and following any by-laws restrictions on elections such as super-majority provisions. The Institute will approve or reject such proposed trustee in writing within 45 days of submission of *all* of the above required documentation (complete *Request for Information from Prospective Charter School Education Corporation Trustee* (“RFI”) and evidence of proper election (e.g., signed resolution or minutes reflecting vote). If the Institute takes no action within the 45 day period, the person may be seated as a school trustee. After the Institute approves a trustee in writing, it will ask the education corporation for an updated list of trustees.

D. Responsible Tasks

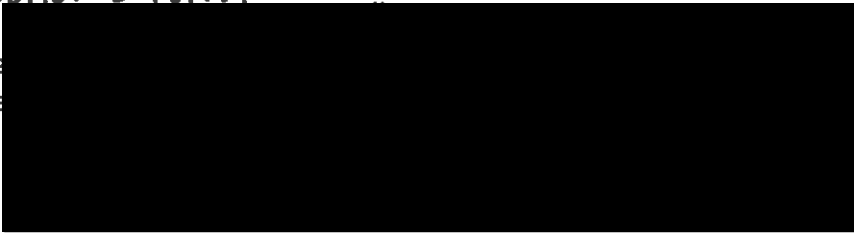
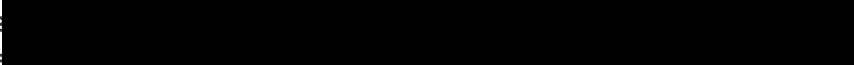
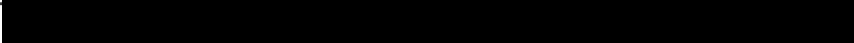
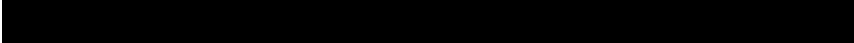

- Submit a signed copy of the resolution electing the prospective trustee or the signed minutes showing such election to the Institute together with a *Request for Information from Prospective Charter School Education Corporation Trustee (RFI)*.
- After each prospective trustee reviews the by-laws, code of ethics and any conflict of interest policies of the education corporation, the board secretary or administrator should have each prospective trustee complete a RFI form, which the education corporation or proposed trustee must submit to the Institute.
- After approval by the Institute, the board secretary or other administrator should inform the new trustee of his or her official seating on the board. The trustee may now vote. The education corporation must send an updated board list to the Institute.
- As a reminder, the Education Corporation must notify the SUNY Trustees within five (5) business days of any of the following education corporation trustee actions: removal; resignation; expiration of term without re-election; or, otherwise leaving the education corporation board.

**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.

2. Full name: *Stephen D. Perry*
Home Address: 
Business Name and Address: 
Home telephone: 
Work telephone: 
E-mail address: 

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, *CP Hartem*

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, *Georgette Morgan Thumms, Derek Ferguson, Tom Massey*
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, *Tom Massey*
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 contact 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. *Board Removal*

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, STEPHEN D. PELLY, 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 (insert name of education corporation) is true and correct in every respect. *CAPITAC PREP BIRONX*

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 (email)

Capital Preparatory Bronx Charter School

Enrollment

CP Bronx will enroll students in grades 6-7 during its first year and will add one grade per year to grow to serve students in grades 6-11 during its first charter term. Beginning the middle school at 6th grade is consistent with the typical configurations of CSD 12 middle schools, which open with 6th grade given that CSD 12 elementary schools have 5th grade as their terminal grade. Upon successful renewal, CP Bronx will serve students in grades 6-12. Enrollment in the first charter term is reflected below:

Charter Enrollment by Grade

| GRADES | LEVEL | 2019-20 | 2020-21 | 2021-22 | 2022-23 | 2023-24 | AGE RANGE |
|---------------|---------------|----------------|----------------|----------------|----------------|----------------|------------------|
| 6th | Middle School | 80 | 80 | 100 | 100 | 100 | 11-13 |
| 7th | Middle School | 80 | 80 | 100 | 100 | 100 | 12-14 |
| 8th | Middle School | | 80 | 100 | 100 | 100 | 13-15 |
| 9th | High School | | | 100 | 100 | 100 | 14-16 |
| 10th | High School | | | | 100 | 100 | 15-17 |
| 11th | High School | | | | | 100 | 16-18 |
| Total | | 160 | 240 | 400 | 500 | 600 | |

It is expected that there will be some natural attrition as students make the choice to withdraw or they move away from the community. In the event that a student does leave, CP Bronx intends to replace the student with a child from the waiting list up through 11th grade.

Average class size will be 20 students with a general classroom teacher to student ratio of 1:20. The school uses a range of co-teaching strategies—pushing in intervention specialists (special education, reading specialist, ELL teacher), interdisciplinary units of study with two content area teachers co-teaching classrooms of students—that can reduce the teacher to student ratio to as low as 1:10.

CP Bronx is proposed as a 6-12 school in response to an identified need for an extended year, college-preparatory school in CSD 12. The rationale for proposing to open a middle and high school in CSD 12 is based upon the fit between the community's need for high quality 6-12 public school options and the established and proven CP model that has demonstrated success in serving this grade span. The CP model presumes the need for remediation and individualization. Its longer school year and day, academic advisories, Individualized Learning Plans, college access and overall increased rigor will support the attainment of NYS Learning Standards by all students.

The enrollment plan allows for small class sizes, which in turn allow for targeted intervention in middle school (i.e., when a large percentage of students are expected to enter the school significantly behind grade level in ELA, math and other subjects). Academically, it is anticipated that less than 20% of incoming 6th graders will perform at grade level. Only 14% of grade 5 students in CSD 12 were proficient on the 2016 NYS ELA assessment and on the 2016 NYS math

Capital Preparatory Bronx Charter School

assessment. Small class sizes throughout middle school will permit CP Bronx to provide students with more individualized support for these students and greater opportunities for differentiated instruction. The successful ten-year experience of CP Hartford informed the enrollment strategy for CPS-managed schools, as did the research demonstrating that class size has the greatest positive impact on academic achievement when classes have 20 or fewer students. This enrollment plan will enable CP Bronx to keep class size at this optimal level and, when combined with high-quality teaching and extensive in-classroom instructional support, will ensure that each student receives personal attention and individualized instruction. The small class sizes will also ensure that 9th and 10th grade students are supported as they acclimate to high school (particularly those students who enter CP Bronx for the first time as freshmen and sophomores who will need to acclimate not only to high school but to the culture and expectations of our school).

Projected enrollment increases will occur at a rate that permits teachers to teach a “full load” (approximately 100 students in five classes) while expanding to enrollment capacity in grades 6-11 in five years. The goal is to have 100 students at each grade level so that a “team” of teachers can teach five classes of 20 students each year and provide students and families with consistency in communication, expectations and rigor.

By year 3, CP Bronx will begin to move towards this desired grade level capacity of 100 students in each grade by taking a new class of 100 6th graders (a pattern that will continue in each subsequent year) while engaging in a one-time increase of 20 students in each of the existing Grades 7-9 student cohorts. The experience in CP Hartford and CP Harbor (CP Harlem does not yet have Grade 9) has proven that filling this many new seats in these upper grades in year 3 does not present a challenge. Grade 9, the first year of high school, is a natural entry point for new students to the school. And while Grade 8 may not be a natural entry point for new students to join a school community, the fact CP Bronx is a middle school through high school model mitigates any reluctance on the part of parents to have their children complete their final middle school year at CP Bronx. The experience at CP Harlem this past year has borne out the contention that parents will seek admission for their rising 8th graders in CP Bronx in order to get them into a strong high school program early.

As a middle/high school, CP Bronx does not intend to apply for a full-day universal pre-K program.

NOTE: Current applications for CP Harlem: 1064 applicants for 160 seats. 426 applications were for the 9th grade with only 25 open seats. 63% of the total applications were from the Bronx.



Charter Schools Institute
The State University of New York

GENERAL INSTRUCTIONS FOR COMPLETING THE STATISTICAL OVERVIEW FORM

Applicants with currently operating public or private schools should complete this form.

1- General Information

Complete the form on the following tab for all academic years in the current charter term.

Complete a separate form for each school in the education corporation (or network) for replicated schools.

2- Enrollment

All students who received mandated services at some point of enrollment in the school should be included in the Students with Disabilities count even if they no longer receive services.

Any student identified as an English language learner at any point of enrollment in the school should be included in the English Language Learners count regardless of their current English language proficiency status.

3- Retention

All retention data should reflect students enrolled in school on previous BEDS day who remained in the school the following BEDS day.

4- Discipline

Distinguish the total number of suspensions (occurrences) from the total number of students that were suspended at least once (unique students).

SCHOOL STATISTICAL OVERVIEW

Capital Prep Harbor School

| | 2012-13 | 2013-14 | 2014-15 | 2015-16 | 2016-17 |
|---|---------|---------|---------|---------|---------|
| Enrollment^[1] | | | | | |
| Total Enrollment | | | | 250 | 251 |
| Number of Students with Disabilities | | | | 32 | 35 |
| Number of English language learners | | | | 10 | 10 |
| Number of Economically Disadvantaged Students | | | | 170 | 166 |
| Retention^[2] | | | | | |
| Total Number of Students Eligible to Return from Previous Year ^[3] | | | | * | 239 |
| Total Number of Eligible Students Who Returned from Previous Year | | | | * | 189 |
| Number of Students with Disabilities Eligible to Return from Previous Year ^[4] | | | | * | 32 |
| Number of Students with Disabilities Who Returned from Previous Year | | | | * | 26 |
| Number of English language learners Eligible to Return from Previous Year ^[5] | | | | * | 10 |
| Number of English language learners Who Returned from Previous Year | | | | * | 10 |
| Number of Economically Disadvantaged Students Eligible to Return from Previous Year | | | | * | 160 |
| Number of Economically Disadvantaged Students Who Returned from Previous Year | | | | * | 128 |
| Average Daily Attendance Rate | | | | 95% | 95% |
| Discipline | | | | | |
| Number of In-School Suspensions (Occurrences) | | | | 0 | 0 |
| Number of Out of School Suspensions (Occurrences) | | | | 98 | 141 |
| Number of In-School Suspensions (unique students) | | | | 0 | 0 |
| Number of Out of School Suspensions (unique students) | | | | 53 | 68 |
| Number of Expulsions | | | | 2 | 0 |

SCHOOL STATISTICAL OVERVIEW

Capital Prep Harlem School

| | 2012-13 | 2013-14 | 2014-15 | 2015-16 | 2016-17 |
|---|---------|---------|---------|---------|---------|
| Enrollment^[1] | | | | | |
| Total Enrollment | | | | | 160 |
| Number of Students with Disabilities | | | | | 38 |
| Number of English language learners | | | | | 20 |
| Number of Economically Disadvantaged Students | | | | | 110 |
| Retention^[2] | | | | | |
| Total Number of Students Eligible to Return from Previous Year ^[3] | | | | | * |
| Total Number of Eligible Students Who Returned from Previous Year | | | | | * |
| Number of Students with Disabilities Eligible to Return from Previous Year ^[4] | | | | | * |
| Number of Students with Disabilities Who Returned from Previous Year | | | | | * |
| Number of English language learners Eligible to Return from Previous Year ^[5] | | | | | * |
| Number of English language learners Who Returned from Previous Year | | | | | * |
| Number of Economically Disadvantaged Students Eligible to Return from Previous Year | | | | | * |
| Number of Economically Disadvantaged Students Who Returned from Previous Year | | | | | * |
| Average Daily Attendance Rate | | | | | 95% |
| Discipline | | | | | |
| Number of In-School Suspensions (Occurrences) | | | | | 0 |
| Number of Out of School Suspensions (Occurrences) | | | | | 117 |
| Number of In-School Suspensions (unique students) | | | | | 0 |
| Number of Out of School Suspensions (unique students) | | | | | 59 |
| Number of Expulsions | | | | | 0 |

Curriculum and Instruction

(a) Curriculum Selection and Processes

CP Bronx's curriculum is aligned to the NYS Learning Standards, inclusive of the CCSS. In accordance with the CCSS, CP Bronx has set high learning standards and has chosen curricula to prepare students to master the skills and understandings required for college and career readiness. All staff will have ongoing PD to understand how the standards are aligned with CCSS and include rigorous content and application of knowledge through high-order skills.

Throughout the school year, the creation and revision of curriculum documents, including curriculum maps, scope and sequencing and lesson plans at CP Bronx are the direct responsibility of the Curriculum Design Team, supervised by the Academic Dean and led by each Curriculum Lead, with oversight by CPS to assure fidelity to the CP model. The architects of the curriculum from CPS will educate the instructional leaders at the school as well as the classroom teachers on proper implementation and progress monitoring. Regular professional development and training will allow members from the CPS network to collaborate and revise curriculum when necessary.

Unit Planning: CP Bronx will utilize the curriculum developed by CPS and currently in use at CP Harlem. It is a unique curriculum that has been created by the founders of CPS and will be implemented, monitored and measured by CPS. The CP model curriculum was designed using the Understanding by Design (UbD) framework developed by Grant Wiggins and Jay McTighe. The UbD framework offers a planning process and structure to guide curriculum, assessment and instruction. The three stages of backwards design involve identifying desired results, determining the assessment evidence, and planning learning experiences and instruction. Use of the UbD framework meets the needs of students by helping to plan for coherent, developmental and in-depth instruction. The curriculum supports high student achievement by allowing for the curriculum to spiral and by centering teacher instruction on the cognitive and developmental needs of students.

During Stage 1 of the framework, curriculum experts identify the appropriate NYS CCLS and discipline-related national standards, enduring understandings, essential questions and skills to be taught during each unit of study. Stages 2 and 3 of the UbD curriculum development process are both on-going and collaborative endeavors. During stage 2, departmental and grade-level data teams determine the evidence needed to evaluate a student's mastery of the learning objectives for the unit and/or lesson. Teachers create formal and informal assessments to guide individual lessons and to ensure student success. Through the analysis of data from common formative assessments and standardized tests, such as the NYS assessments, NYS Regents exams, SAT, and NWEA MAP assessment, department data teams identify subject-specific strengths and weaknesses for students, both as individuals and as a group, to modify instruction. During stage 3, based on these professional discussions, subject-area teachers design and implement instruction and assessment strategies for their specific groups of students. Ongoing revision of subject-specific units occurs throughout stages 2 and 3, ensuring

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the needs of all students are being met. This collaborative effort continues through the development of scope and sequence with each curriculum.

Units of instruction are created using thoughtful design, as described above, centered on the theme of social justice, as described in the school’s mission statement. In their senior year, students complete a capstone Social Justice Project (SJP). The school is designed such that these Essential Questions, along with the Learner Expectations, become the lens through which teachers design and implement units of study as is illustrated in the following organizational framework:

| | Quint 1 | Quint 2 | Quint 3 | Quint 4 | Quint 5 |
|------------------------------|---|--|---|--|---|
| Grade 12 | Senior Social Justice Project | | | | |
| Grade 11 | How Do Social Injustices Affect Communities? What Can I/We Do About It? | | | | |
| Grade 10 | What Are The External Factors Affecting Perceptions Of Social Differentiation? | | | | |
| Grade 9 | How Does Social Differentiation Affect The Relationship Among Social Institutions? | | | | |
| Grade 8 | How Does The Study Of Other Social Institutions Help You Understand The Communities With Which You Identify? | | | | |
| Grade 7 | What Social Institutions Do You Identify With? | | | | |
| Grade 6 | Who Am I? | | | | |
| Learner Expectations | Collaborator | Researcher/Info Processor | Empathetic Citizen | Problem Solver | Communicator/ Knowledgeable Person |
| Social Justice Content Theme | Human diversity <ul style="list-style-type: none"> • Age • Race/ Ethnicity • Religion • Sexual Orientation • Gender • Ability | Globalization <ul style="list-style-type: none"> • Environmental Design • Population • Science, Technology • War, Conflict | Equity/ Power <ul style="list-style-type: none"> • Class • Poverty • Work/ Employment • Access to Education • Urbanization | Problems of Well-Being <ul style="list-style-type: none"> • Personal Health, Illness/Disease, Health Care • Alcohol/ Substance Abuse • Crime, Violence, Justice system • Family Issues | Presentation/Answering the Essential Question |

A tangible example of how this organizational matrix is reflected in the units of study of core courses and, thus the themes of social justice intimately integrated in each course, is in the 10th grade at CP Harbor this past school year; a math teacher studying statistics in the fourth quint shared an article on racial profiling in Ohio where the police chief said that his officers did not racially profile but instead randomly pulled vehicles over and it was just “chance” that more minority drivers were pulled over than white. The class answered the 10th grade essential question of “how do external factors ...” by creating a mathematical model with jellybeans that represented the number of white and minority populations in the community. The class did a random selection experiment and proved that it was impossible to be “chance.” These types of assignments and relation to the matrix help students develop a deeper understanding of social justice while simultaneously bring real world applications to the study at hand.

Lesson Planning: It is the department chair’s responsibility to ensure the curriculum’s integrity to the NYS CCLS, subject specific national standards and the school’s mission. CPS will work to

train department chairs to monitor and evaluate lesson plans using the rubric for lesson plan development. Within the school, each department chair has the responsibility of working with staff to adjust the scope and sequence of instruction based on the needs of all students, monitor and review data as it relates to the curriculum, and work with teachers to create and review lesson plans. Lesson plans will be completed by staff and assessed against the CPS rubric for lesson plan development. This will occur at least one week prior to instruction to ensure fidelity to the curriculum, adherence to standards, and the implementation of necessary supports and accommodations so that all students can achieve at the highest level of mastery.

Teaching Training and Support: The CPS President and Instructional Coach will meet with the Academic Dean and department chairs to support improvements in teaching and learning utilizing the CP model. CPS has developed effective strategies for teachers to collaborate on curriculum development and instruction. CP Bronx's teachers will be trained in the strategies of collaboration on curriculum development and implementation that have proven to be successful for the past decade for CP Hartford. Unit development discussions occur throughout the school year during bi-weekly departmental meetings as well as during grade-level meetings. The department curriculum team discusses content and method of instruction, continually revising stage 2 and 3 unit plans. During grade level meetings, teachers collaborate to revise methodology and continue to create interdisciplinary learning activities relating to the school Learner Expectations as well as the expected performances outlined in NYS CCLS. The planned units are designed to increase the depth of understanding students possess related to specific topics, as well as to increase the skills necessary for them to become productive members of society.

Mathematics Curriculum: CP Bronx's mathematics curriculum is driven by NYS CCLS and the school's Learner Expectations and uses Eureka Math as its foundation. The math curriculum prioritizes depth of knowledge over breadth of topics. With an emphasis on the mastery of skills rather than their repetition, the department values academic rigor within the discipline. The school's description of the habits of an effective learner directly corresponds with the Common Core Standards Mathematical Practices. These Learner Expectations operationalize the Common Core Practices described as processes "mathematics educators at all levels should seek to develop in their students." This alignment is:

- Collaborator: MP 3 - Construct viable arguments and critique the reasoning of others;
- Problem Solver: MP 1 - Make sense of problems and persevere in them; and
- Researchers, Knowledgeable People: MP 2 - Reason abstractly and quantitatively.

CP Bronx high school students are required to earn at least 3 units of credit in mathematics to graduate. All students will work towards and demonstrate mastery in all NYS CCLS for Mathematics. Instruction will prepare them to pass the NYS Regents Exams in Algebra 1, Geometry and Algebra 2/Trigonometry. It is the mathematics department's goal that at least 75% of middle schools students (two-year cohorts) earn a satisfactory score on their grade level New York State Mathematics Assessment, and at least 60% of CP Bronx students meet requirements needed for a Regents Diploma with Advanced Designation.

Mathematics classes at CP Bronx include the following features:

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- Higher-ordered thinking: Classes are designed with the understanding that higher ordered thinking questions framed with the words “why” and “how” require students to naturally demonstrate this mastery rather than those posed with “what.” This paradigm in practice allows for daily inquiry and investigation of math concepts;
- Use of online programs: Students have access to online programs as a supplement to the curriculum and an alternative means for instruction, remediation and assessment of skills outlined in the Common Core. IXL is an example of a standards-based resource used for this purpose; and
- Technology focus: Teachers are able to make use of technology such as SmartBoards, N-Spire calculators and Geometer’s Sketchpad. These are integral resources for mathematics instruction at the school.

Science Curriculum: CPS schools use Activate Learning, an inquiry and lab based science curriculum for grades 6-8. For high school we use Pearson for Biology, Physics, Chemistry and Earth Science. The science curriculum embodies the ideology that all students can become agents of change through development of skills necessary to thrive in a 21st century society. The intermediate science curriculum for students enrolled in grades 6–8 prepares students for the state science examination, which assesses student achievement of Standards 1, 2, 4, 6, and 7 of the MST. The curriculum prepares students for the expectations of the exam, including content knowledge, student’s ability to apply, analyze and evaluate material, and the application of scientific concepts to formulate hypotheses, use scientific inquiry techniques and address real-world situations.

CP Bronx high school students are required to earn at least 3 units of credit in science to graduate. In order to accomplish this goal, as well as the goal of having 60% earning an Regents Diploma with Advanced Designation, CP Bronx has created a rigorous, relevant science curriculum that is connected to NYS CCLS, New York State Learning Standards for Mathematics, Science and Technology (MST) and the Next Generation Science Standards (NGSS). The NGSS has allowed for cross-curricular connections between science, mathematics and social studies content. CP Bronx believes that interdisciplinary units and culminating projects engage students in the application of inquiry, problem solving and research. The high school science core curriculum for CP Bronx includes the following: Earth Science, The Living Environment, Chemistry and Physics.

Using the NYS CCLS, MST and the NGSS as guiding forces of the science curriculum, teachers create opportunities for students to engage in the skills defined by the school’s Learner Expectations: collaboration, problem solving, research, developing feelings of empathy and acting as knowledgeable persons. Within each curricular unit teachers will provide students with opportunities to demonstrate mastery of scientific inquiry, project-based and kinesthetic learning, collaborative learning, and expansive and insightful thinking. Inquired based instruction and project based learning are major components of the science curriculum and it allows students to answer an over-arching essential question through the application of inquiry, active learning and the application of technology.

Science classes at CP Bronx include the following features:

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- Close reading and literacy-based activities: Students read and annotate scientific articles, articulating main ideas and details and providing summarization of the research shared that informs the acquisition of content knowledge;
- Experiential learning: Students conduct laboratory activities that will allow for the application of inquiry skills;
- Data analysis: Students analyze data, looking for patterns, trends or relationships, in order to develop or support an answer to essential questions; and
- Reflection and self-assessment activities: Students discuss their findings, ultimately answer the essential questions that have guided the investigation. Students evaluate their data and findings, discussing sources of error and variables that have decreased the reliability in results. Students problem solve in efforts to propose changes that allow for improved experimental designs for future lab experiences.

English Language Arts Curriculum (ELA): The ELA curriculum for grades 6-8 adopts resources and protocols aligned with CP Bronx’s social justice framework and from Engage New York’s Expeditionary Learning curriculum, which are reorganized and aligned to school themes each year. Research and writing are also key components of the ELA curriculum. Students practice the research process beginning with writing essential and sub-questions, locating relevant and credible sources, and finally citing sources correctly. Students work through the writing process of prewriting, drafting, revision, and editing to produce polished narrative, informative, and argumentative essays.

CP Bronx high school students are required to earn at least 4 units of credit in ELA to graduate. The ELA curriculum designed by CPS focuses on literacy instruction through careful examination of texts. The major shifts in ELA, as outlined in the NYS CCLS, require students to apply the close reading strategy to draw evidence and knowledge from the text. As a result of successful implementation of the close reading strategy, students are able to read texts of increasing complexity as they progress in the school model. The ELA curriculum exposes students to a wide variety of texts, fiction and non-fiction, classic and contemporary, to help students uncover a host of social justice themes and concepts. The culminating experience of students enrolled at CP Bronx is the Senior SJP.

ELA classes at CP Bronx include the following features:

- Guided practice: Students engage in guided practice of specific reading, writing, or research skills;
- Interactive classroom environment: Students engage in regular discussions of texts as well as student presentations;
- Lessons from texts: Students study roots, prefixes, suffixes, and vocabulary from texts; and
- Emphasis on mechanics: Students study and practice grammar, usage, and mechanics

Social Studies and History Curriculum: The purpose of social studies/history at CP Bronx is to create skilled, informed, college-ready, responsible, agents of change. It is our goal to foster

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empathetic values through solving problems: locally, nationally, and in a culturally diverse and globally interdependent world. We emphasize experiential learning within the community and exploration outside the confines of the classroom. Our curriculum takes a thematic approach in order to allow students to create personal relevance and make connections across the content. Students study historical topics as well as controversial social issues through a multiple perspectives approach and use historical, research, and civic-based skills to draw their own conclusions.

CP Bronx students are required to earn at least 4 units of credit in high school social studies to graduate. It is the goal of the social sciences department to prepare students so that least 60% earn a Regents Diploma with Advanced Designation. Skills taught by teachers in the department are based on the National Council for the Social Studies C3 Frameworks of College, Career, and Civic Life. The C3 Framework is organized into four Dimensions, which support a robust social studies program entrenched in inquiry. These four Dimensions as prescribed by the C3 Frameworks are: 1) developing questions and planning inquiries; 2) applying disciplinary concepts and tools; 3) evaluating sources and using evidence; and 4) communicating conclusions and taking informed action. These frameworks are directly aligned with the school's Learner Expectations and social justice foundation.

Social Studies classes at CP Bronx include the following features:

- Culture of Learning: Teachers foster a learning environment that is student-directed and is safe for students to collaborate, debate, experiment, take risks, and learn from their mistakes and others' ideas;
- Primary source experiences: Lessons include locale and culturally rich opportunities to experience history in the first person; and
- Empathic citizens: Students investigate history through the lens of empathy to understand the impact of historical events on society

Language Other Than English Curriculum (LOTE): The LOTE curriculum for grades 6-8 provides opportunities for students to expand their communication ability at the novice and intermediate proficiency levels through vocabulary acquisition and comparisons between the target language and their native language to understand how language works. The LOTE curriculum for grades 9-12 provides students with the opportunity to reach the intermediate and advanced proficiency levels in the areas of verbal and written communication. Students in grades 9-12 continue to learn to manipulate the target language for more sophisticated verbal and written expression of their ideas through interpretive communication, comparisons and reflections on the products and perspectives of the target cultures, cross-curricular connections and acquisition and evaluation of information only available through the target language and its cultures. The LOTE curriculum also exposes students to a wide variety of knowledge regarding the people, products and perspectives of Spanish-speaking cultures worldwide.

CP Bronx students are required to earn at least 1 unit of credit in LOTE to graduate high school. The LOTE curriculum designed by CPS focuses on oral and written communication in Spanish and supports the ELA curriculum based on the alignment of the NYS CCLS with the National Standards for Learning Languages. The National Standards for Learning Languages supports the

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Reading, Writing, Speaking/Listening and Language strands of NYS CCLS for ELA. The National Standards for Learning Languages goal areas for learning languages, Cultures, Connections, Comparisons and Communities, are also aligned with the standards to support growth of expectations to ensure students are college, career and world-ready.

College Preparedness and Early College Exposure: When academically capable, or by the beginning of the second semester of their junior year, students enter into learning communities. These communities enlist the coordinated efforts of the community college's faculty and school staff, who together plan and implement a strategy to effectively expose students to and prepare them for the rigors of college. Students take courses at local colleges, earning college credit and high school course credit. Each student is advised on selecting a "concentration" within the field of social justice, similar to selecting a major. CP Bronx students take a significant number of courses with most earning as many as 15 credits before they graduate from high school (75% of the students generally take up to 7 classes, with 20% completing their freshman year before they graduate high school), which position them well for acceptance and scholarships to some of America's top colleges and universities.

Senior Social Justice Project (SJP): As discussed throughout this document the CP model requires a capstone action-research project, the SJP, as a school graduation requirement. Beginning in students' junior year, the SJP requires students to identify a social justice problem; research the problem; write a literature review that provides background information and synthesizes the research; and create an action plan to address the problem. Through an advocacy approach, students reach out to the community for resources, including connecting with community members and organizations. In addition, students gather data on the impact of their plan on the social justice issue in order to present their results. At the end of implementing their action plan, they measure their project's success using qualitative and quantitative data, write a final paper reflecting on the effectiveness of their social justice action project, create a series of presentations to a wide variety of audiences throughout the process and defend their final project before a panel of staff. (See Response 23b Supplemental Attachments for an example of an SJP.)

Wellness: The CP model holds that it is imperative for students to gain a life-long health consciousness to realize their physical, emotional, as well as mental potential. As students develop plans of actions to increase their levels of CPREP skills they also create a Wellness Plan describing their path toward a healthier lifestyle; setting in motion better habits of health. In addition, rooted in the expectations of traditional preparatory schools, high school students at CP Bronx are expected to participate in at least two sports per year for the duration of the project and/or season. Ours schools have offered Football, Basketball, Indoor and Outdoor Track, Golf, Skiing, Snowboarding, and Cheer. Our experience has shown that daily participation after-school activities displays personal commitment, hard work and the ability to be a member of a group, all demonstrable traits that students need to compete successfully for seats at four-year colleges or universities.

Enrichment: CP Bronx's enrichment activities enhance students' daily academic experiences. During a one-hour seminar block at the end of each school day, students in grades 6-8 may participate in active study halls where students engage in subject-specific focus groups for

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academic practice, extra-curricular activities such as Robotics, Journalism, Yearbook, Drama, Art, Chess, Moralistic Teaching, and World Languages, to name a few. This time can also be used for students to seek further academic support or for seniors to execute their action plans.

Public Service: Public Service is a class period students use to learn about their community and work with their teacher to find ways in which to interact in positive ways. Interactions can include but are not restricted to Red Cross blood donation organization, community clean up, volunteerism at local shelters and retirement facilities.

(b) Assessment System

The purpose of assessment at CP Bronx is to gather accurate and timely information so that informed decisions and actions may be taken to maximize student learning. CP Bronx's charter agreement with SUNY is a performance contract; thus, the school will be held accountable for achieving high, measurable goals. CP Bronx, therefore, will implement an assessment system that provides school leadership and staff with timely information with which to measure student progress and ensure the school's academic program is successful in preparing all students for the demands of four-year colleges and universities.

CPS has developed a carefully planned assessment system that includes the administration of diagnostic, formative, benchmark and summative assessments; protocols to ensure rigorous analysis of data and valid and reliable results; and procedures for using results to inform instructional planning, program evaluation and accountability. CPS and the charter schools it manages are learning organizations dedicated to continuous improvement based on measurable indicators of performance and growth. The following table delineates CP Bronx's assessment schedule:

CP Bronx Assessments

| Assessment | Purpose | Grades | When¹ |
|-----------------------------------|---|---|-----------------------------|
| Home Language Questionnaire (HLQ) | Identify those students who may be eligible for ENL (English as a New Language) programs as identified by home language | Only new students in Grades 6-12 who are new to New York State or the country who have not previously been administered the HLQ in NYS. | Upon enrollment in CP Bronx |

¹ Dates provided for New York State assessments will be adjusted as necessary to conform to the NYS test administration in any given year.

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| | | | |
|---|--|------|--|
| NYS Identification Test for ELLs (NYSITELL) | To measure English language proficiency; to determine entitlement to ENL/Bilingual programs for students whose home language is not English | 6-12 | Once in Sept. (or upon admission to the school if student enters during school year) if required by the HLQ (see previous entry in assessment table) |
| NWEA MAP Assessments | Assessments for progress to benchmark monitoring in Reading and Math and RTI intervention planning. | 6-12 | Three times per year beginning in August. |
| Unit Tests | Unit tests align to the curriculum to determine mastery of skills and content knowledge. To “drive” daily lessons to provide relevance and alignment. | 6-12 | Varies given the length of the unit of study. |
| Interim Assessments | Monthly assessments that assess the previous 4 weeks of study in each content area. To determine student mastery of the targeted standards addressed in the prior month’s lesson plans | 6-12 | Monthly |
| Teacher-generated Benchmark Assessments | To evaluate student mastery of content in each subject. | 6-12 | As determined by the teacher. |
| Student-Led Conferences | Allow students to reflect on their learning and evaluate their progress in relation to the school’s CPREP skills, Social Justice Themes and the Essential Question for each grade. | 6-12 | Twice per year |
| NYS ELA Assessments | Identify students’ ability to meet or exceed grade level standards in reading, reading comprehension and writing | 6-8 | April |
| NYS Mathematics Assessments | Identify students’ ability to meet or exceed grade level standards in mathematical computation, | 6-8 | April |

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| | | | |
|--|---|--|-----------------------|
| | mathematical reasoning and problem-solving | | |
| Grade 8 NYS Science Assessment | Identify students' ability to meet or exceed grade level standards in science content and use of scientific tools | 8 | May/June |
| New York State English as a Second Language Achievement Test (NYSESLAT) | To measure student progress in developing English language proficiency and to determine if an ELL's proficiency has been met to be removed from ENL services. | ELLs in Grades 6-12 | May |
| New York State Alternate Assessment | To assess progress toward NYS standards (inclusive of CCSS) in alternate learning methods. | 6-12 Special Education students whose IEPs recommend alternate assessments | May |
| NYS Regents Exams (ELA, Science, Math, Global History and Geography, US History and Government) | Assess Mastery of NYS Learning Standards (inclusive of CCSS) as a Requirement for High School Graduation. | 8-12 | January, June, August |
| Regents Competency Exams (ELA, Science, Math, Global History and Geography, US History and Government) | Assess Mastery of NYS Learning Standards for Students with IEPs or Section 504 Accommodation Plans as necessary to earn a Local Diploma | 9-12 | January, June, August |
| Preliminary SAT (PSAT) | Assess Student Verbal and Math Skills, Qualifying exam for National Merit Scholarships | 10-11 | When Given |
| SAT/SAT II/ACT | Assesses Student Verbal and Math Skills for College Admission | 11-12 | When Given |

Diagnostic Assessments: CP Bronx leaders and teachers use previous grades, assessment results and other data to identify the needs of incoming students and plan curriculum and instruction to meet those needs. The Home Language Questionnaire (HLQ) is used to identify students who may need ENL services and the NYSITELL to determine those students who are in fact eligible

for services. The NWEA MAP assessment is administered once in the beginning of the year to inform instructional planning and provide baseline data from which to measure progress.

Formative Assessments: CP Bronx places emphasis on formative assessment practices as a method to inform daily instruction. Teachers are expected to identify formative assessments in their lesson plans and conduct regular checks for understanding during instruction. Students will receive coaching on how to use the formative feedback provided by teachers to maximize their academic success in the Standards Based Grading (SBG) system. The SBG system allows for teachers to gain baseline data for each student on the standards that will be assessed. With instruction and direct practice, students build their capacities in each standard throughout the school year. SBG allows for students to continually work towards mastery on standards, whereas traditional grading models limit student mastery to designated marking periods. For the students who are struggling to meet mastery, interventions and supports are put in place. Tier II and Tier III interventions are coordinated through a collaborative effort of parents, teachers and the Student Assistance Team (SAT).

- *Questioning:* Teachers are trained to use appropriately rigorous levels of questioning based on Bloom's Taxonomy and Webb's Depth of Knowledge to ascertain students' content knowledge and conceptual understanding.
- *Common Formative Assessments (CFAs):* Teachers work collaboratively to create CFAs that directly assess students' skills in relation to the NYS CCLS. CFAs are given frequently and data is used to plan for individualized instruction and support. Data are also an indicator of curriculum and instructional quality.
- *Rubrics:* With assistance from instructional leaders, teachers develop grade-wide and common skill rubrics to evaluate student work, especially for reading and writing in the content area, as well as for projects that assess multiple standards.

Benchmark Assessments: Teachers administer benchmark assessments to measure progress towards goals. In particular, the NWEA MAP uses computer-based adaptive assessments to evaluate individual student proficiency levels. Students' scores are generated immediately, and full performance data with detailed information about specific concepts is available within 24 hours. The MAP assessment uses an equal interval RIT scale, which provides student performance levels regardless of grade level and allows evaluation of growth over time. In addition to serving as a baseline assessment, it is administered in winter and spring to measure progress towards goals and determines the ability of staff to meet the Student Learning Objectives (SLOs) set at the beginning of the academic year. In other subjects and based on CP Bronx's curriculum maps and scope and sequences, teachers create benchmark assessments to evaluate student mastery of content in each subject.

Interim Assessments: Interim Assessments (IAs) are created by curriculum leads. The IAs are an assessment of the previous four weeks of lesson plans and are focused on determining the level of students' mastery of the standards targeted in those lessons. These frequent assessments allow teachers to provide more timely interventions to students whose performance does not meet expectation. In addition, it provides information to instructional leadership of timely interventions required by teachers in addressing instructional gaps or

classroom management challenges that prevented student progress. Thus, through the administration of monthly IAs, leaders and teachers do not have to wait until the end of the marking period to find out a student "does not get it" and is failing or that a teacher's classroom management issues are holding students back from working to their potential. The IAs are comprised of questions from item banks that CP Bronx will have access to through Illuminate—the integrated student information and data and assessment platform that is utilized by the CPS school network. Each of the questions has been vetted by the curriculum leads who make the determination that it is appropriate for determining standard comprehension. IAs are administered online to students through Illuminate. After IAs are administered, the principal, dean, and curriculum leads review data and discuss trends and strategies to discuss and share with teachers in order to drive improvement.

Summative Assessments: CPS has developed summative performance assessments to be used at the end of units of study in a variety of forms, including written exams, laboratory reports, presentations, and other standards-aligned, project-based performance tasks. Using these culminating projects, students are regularly evaluated on their mastery of skills and knowledge as defined by NYS CCLS.

CP Bronx will also utilize summative capstone projects in 8th and 12th grade. All 8th grade students are required to complete an end-of-year capstone project that is designed specifically by their team teachers and is tied to community issues. In addition, all high school seniors must complete a Social Justice Project and pass a culminating SJP presentation using the SJP Presentation Rubric created by CPS to an audience of peers, staff and community members.

New York State Assessments: To ensure that grade-level and/or subject standards are met, CP Bronx students will participate in all state-mandated testing, including the NYS grade 6-8 ELA and mathematics exams, the grade 8 science exam, and all high school Regents-level assessments. CP Bronx will meet or exceed its Adequate Yearly Progress (AYP) target growth each year and students will be expected to obtain a minimum of one year's academic growth in each school year.

Data Collection and Analysis: In addition to the continuous data analysis engaged in by teachers at the classroom level, the Data Team, comprised of the Principal, Academic Deans, Curriculum Leads and Lead Teachers, works closely with CPS instructional leadership to analyze standardized testing data and, in collaboration with department leaders, to identify areas of strength and areas for growth related to each standard assessed. When areas for growth are identified, the Data Team proposes a series of interventions to help strengthen instruction.

The proposed interventions may range from changes in whole-class instruction to small group instruction to individual support. If standardized testing data indicates the majority of a specific cohort has failed to master a specific standard or skill, whole group intervention is necessary. The teachers of the struggling cohort are paired with a master teacher who provides support and coaching related to best practices.

Smaller, grade level teams of teachers perform on-going analysis of classroom and CFA data. As a result of these grade level data discussions, modifications to instruction and in-class interventions are made to help all students reach their maximum academic potential. In

addition, data teams work collaboratively with the CPS President and CP Bronx Principal and Deans to create rubrics for each skill or content area that is assessed. They work in collaboration to determine what is considered mastery for each skill and content area. When mastery has been determined, exceeding mastery and approaching mastery categories can be described in detail so that a comprehensive rubric can be created. By standardizing rubrics, classroom assessment data becomes a much more valuable tool when assessing instruction to determine if all of the students' needs have been met.

In addition, matched cohort analysis is completed to determine if students received an "added value" educational year. One of the explicit educational goals of the school is that as a result of the curriculum and innovative instruction, all students will show longitudinal growth. Data is shared with the teaching staff so that adjustments can be made to the scope and sequence of the curriculum or the instructional delivery when necessary. Multiple standardized assessments occur during the academic year and therefore, triangulation of data occurs. After triangulation, the teaching team, Data Team, Content Curriculum Leads and SAT meet to determine necessary interventions for students who have struggled to meet mastery of the standards outlined in the curriculum.

Use of Results: Our plan for use of assessment results includes:

Teachers: (1) Identify students' specific learning challenges early by assessing their mastery of specific standards and objectives; (2) Create lesson plans designed specifically to strengthen areas of need and accelerate learning; (3) Organize and rearrange flexible small group instruction to meet students' needs; (4) Facilitate communication between advisors, team teachers and parents; (5) Monitor progress of struggling students in RTI process and revise intervention plans; (6) Enhance collaboration among teachers.

Administrators/Leaders: (1) Evaluate and hold accountable teachers and other staff; (2) Evaluate and improve programs including curriculum, instruction and assessment; (3) Monitor the RTI process and ensure students are placed in appropriate interventions; (4) Enable the SAT to identify SWD and ELLs; (5) Identify school and individual teacher's needs and guide implementation of staff development program; and (6) Facilitate communication with parents, the school board and the public.

Board: (1) Evaluate the performance of the school leader; (2) Monitor and report on progress towards meeting accountability goals; (3) Monitor effective implementation of key design elements; (4) Review and approve budget to determine optimum allocation of resources; and (5) Evaluate school policies and procedures and revise to ensure achievement of mission and accountability goals.

Parents: (1) Monitor child's performance using progress reports that are at least quarterly if not monthly or weekly, standards-based reports; (2) Access grades and performance online to monitor student performance; and (3) Identify area in which they can help their child learn.

Students: (1) Use teacher feedback to identify strengths and weaknesses and develop plans for improvement; (2) Demonstrate growth over time; and (3) Reflect on data via artifacts.

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Unique to the school is the Student-Led Conferences (SLCs), which supports the school's mission to develop students into independent and reflective learners. Student portfolios and SLCs are integral to the advisory component of the assessment system. The conferences, led by students in collaboration with advisors and parents, require students to reflect on their learning and evaluate their progress in relation to the school's CPREP skills, Social Justice Themes and the Essential Question for each grade. Students review their progress by completing weekly Goal Sheets & Self-Assessments and creating a portfolio of artifacts that demonstrate their mastery of the skills related to Learner Expectations. The collection and organization of artifacts into a portfolio provide the evidence for student-led presentations on learning and growth in two conferences throughout the year. In the final assessment, students select the artifacts that demonstrate their mastery of each Learner Expectation as well as how the students have answered the Essential Question for the grade. These meta-cognitive experiences prepare all students for successful completion of the Social Justice Project, college-level work, and careers for the 21st century. It is also during the SLCs that students set academic goals for the upcoming semester and reflect on their current academic progress. Students support their reflection with evidence from the SBG system, formative and summative assessments as well as standardized assessment data.

We are confident that the CP Bronx instructional program will support the academic growth and achievement of our students so that we can accomplish our mission and meet the goals in our Accountability Plan. To ensure that all students are meeting state performance standards and performing at or above grade level, CP Bronx' comprehensive assessment and evaluation program will identify potential problems early on in the child's academic career. To ensure student work products resulting from instruction indicate student preparation for success on state assessments, CP Bronx will implement an assessment system that tracks the learning of CCSS benchmarks, performance indicators and key ideas in the months and years leading up to the NYS examinations. The careful analysis of assessment data by teachers and administrators, facilitated through academic progress monitoring, allows for continually assessing students' attainment of the standards throughout the course of the school year and assessment of student performance at the end of the school year. This means CP Bronx's teachers and administrators can continually measure the "effect" of the CP Bronx educational program on students and monitor student progress towards meeting performance expectations on the state assessments.

(c) Instructional Methods

CPS is dedicated to giving historically underserved students access to an academic program that will prepare them for success in higher education and their chosen careers. Its program combines elements of academic models successful in supporting students from historically disadvantaged populations with those of elite private schools that have traditionally sent high rates of students to four-year colleges. The following core beliefs have shaped the innovative CP model and reflect the founders' philosophy about education and child development:

- Every student can learn and excel given the right conditions and learning environment;

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- We will intentionally promote and establish a learning environment that is filled with love, respect, empathy, accountability, and responsibility necessary for the academic, personal and social growth of every student;
- Consistent, positive interactions between students and adults in a loving environment and ongoing, supportive relationships with their families will enable student achievement at the highest levels; and
- Parent and community engagement are vital to student success.

For the students we seek to serve, these core beliefs are critical in helping them escape the paradigms society has created that hold them back. For children born into lower socio-economic classes, they perceive their life chances and outcomes in the context of the communities in which they live. Those communities are, more often than not, characterized as unsafe, lacking in employment opportunities and resources, as food deserts, containing underperforming public schools, experiencing excessive policing and marred by low expectations of those who live there. Social structural elements like economic class, stratification and systemic racism are overwhelming enough to make young people feel powerless in changing what feels like a predetermined destiny. We firmly believe it is our responsibility to give our students agency to think for themselves and act in ways that shape their experiences and life trajectories.

It is for this reason we call teachers in our school Illuminators. The term accurately describes the role our teachers play not just in students' growth as metacognitive learners but also just importantly the role they play in illuminating the parts of a student's mind that has been darkened by disenfranchisement. Only through providing a path to enlightenment, can students break through pre-conceived social constructs that hold them back, become self-aware and take ownership of their learning, their life experiences and their life fulfillment. It is for this reason social justice is a central theme of the CP educational model. It is critical that students are developed to become agents of change for themselves and for their communities.

Thus, we make education meaningful for our students: instruction in the CP model is not just about transferring knowledge, it is about providing a meaningful context for that knowledge so that students value knowledge and understand how knowledge influences their individual life and the greater society. In this way students are engaged. We define engagement as a sustained connection a learner has towards an aspect of his learning and his education. By building that connection between the learner and his work, the learner will be attracted to the work, persist through obstacles and challenges and gain satisfaction from the process of learning and the completion of work products.

To be meaningful, however, engagement must go hand in hand with rigor. At CP Bronx, academic rigor is defined by educational expectations, classroom instruction, assignments and learning experiences that are academically, intellectually and personally challenging. Rigorous instruction and learning experiences help students to (1) access knowledge and concepts that are complex, (2) question their assumptions, (3) motivate them to learn more and learn and think more deeply and (4) acquire skills that can be applied in a variety of educational, career and community contexts throughout their lives.

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CP Bronx utilizes the Gradual Release of Responsibility instructional model, more commonly known as the workshop model, in each of the core curriculum areas. The workshop model shifts the cognitive load slowly and purposefully from teacher to students so students gradually assume increasing responsibility for their learning and become competent, independent learners supporting both greater student engagement in the classroom and metacognitive skills. The peer learning aspect of these methodologies is highly effective in working with classrooms of heterogeneous students, including SWD and ELLs. The workshop model allows teachers to differentiate instruction by using comprehensive and ongoing formal and informal assessment data to identify students' needs, tailor instruction and determine flexible small group composition. Within each core subject area, each class also works towards a culminating project through which students can demonstrate mastery of a subject by creating and presenting a research-based project. An example is the middle school science fair that students present in a community forum each year.

As an extension of the classroom-based instructional methods used at CP Bronx, instruction will be available via online courses as part of a distance learning program, as well as offline in alternative campus settings. Programs of study provided by local community colleges will be used to enhance a student's academic experience. In addition, extracurricular activities, such as sports and students clubs, as well as community activities, such as internships and service projects, further enhance the school's academic program by providing a balanced, well-rounded educational experience.

(d) Course or Subject Overview

The course descriptions below come from the Capital Prep Course Catalog. High school courses are presented first, followed by middle school courses.

English

The Capital Prep English courses are designed in order to build mastery of skills in reading, writing, speaking and listening, and language. Our courses integrate technology and the exploration of real-world, social justice issues, in both literature and informational text.

| Grade 9 | Course Code | Course Title |
|---|-------------|--------------|
| | 9-English | English 9 |
| English 9 is designed to develop skills in reading, writing, speaking and listening, and language. Students study various genres of literature and informational text, which will be used as a springboard for various writing assignments and presentations. | | |

| Grade 10 | Course Code | Course Title |
|----------|-------------|--------------|
| | 10-English | English 10 |

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English 10 is designed to build up the reading, writing, speaking and listening and language standards taught in English 9. Students will experience a balanced focus on composition, literature and informational text. Writing will focus on differing styles, including argumentative and informational. Students will engage in discourse through Socratic seminar and will complete guided research projects.

| | | |
|---|---------------------------|--|
| Grade 11 | Course Code Lit Comp 1 | Course Title Literature and Composition I |
| Literature and Composition I is designed to enable students to understand and appreciate various genres of literature and informational text. Students continue to develop their writing, speaking and listening skills, and language skills. They will produce evidence-based writing in which they have analyzed, critiqued and synthesized multiple sources of research. | | |

| | | |
|---|-------------------------------|---|
| Grade 12 | Course Code Eng Lit Comp 2 | Course Title Literature and Composition II |
| Literature and Composition II is designed to build students' understanding and appreciation of various genres of literature and informational text. Students continue to develop their writing, speaking and listening skills, and language skills. They will produce evidence-based writing in which they have analyzed, critiqued and synthesized multiple sources of research. | | |

| | | |
|--|--------------------------------|----------------------------------|
| Grade 12 | Course Code Eng – World Lit | Course Title World Literature |
| Students read and respond to historically and culturally significant works of literature that reflect and enhance their studies of social justice. Students conduct in-depth analyses of recurrent themes and write about these themes and societal issues in papers and presentations that they defend to a panel of staff and peers. | | |

Mathematics

The Capital Prep mathematics curriculum is aligned to the Common Core State Standards with a focus in problem solving and critical thinking. The curriculum prioritizes conceptual understanding, as well as numerical fluency and application.

| | | |
|--------|-------------|--------------|
| Grades | Course Code | Course Title |
|--------|-------------|--------------|

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| | | |
|--|-----------|-----------|
| 8/9 | Algebra 1 | Algebra I |
| <p>Students develop fluency writing, interpreting and translating between various forms of linear equations and inequalities to solve problems. Students learn function notation and interpret functions given graphically, symbolically and verbally. Students are able to compare and contrast linear and exponential functions and additive and multiplicative change. Students create and solve equations, inequalities, and systems of equations involving linear, quadratic and exponential expressions.</p> | | |

| | | |
|--|-------------|--------------|
| Grades | Course Code | Course Title |
| 9/10 | Geometry | Geometry |
| <p>Students establish congruence criteria. They use triangle congruence as a familiar foundation for the development of formal proof. Students identify criteria for similarity of triangles, use similarity to solve problems, and apply similarity in right triangles to understand right triangle trigonometry using special right triangles and Pythagorean Theorem. Students prove basic theorems about circles and use the Cartesian coordinate system to write the equation of a circle when given the radius and coordinates of its center. Given an equation of a circle, they draw the graph in the coordinate plane, and apply techniques for solving quadratic equations to determine intersections between lines and circles.</p> | | |

| | | |
|---|-------------|--------------|
| Grades | Course Code | Course Title |
| 10/11 | Algebra 2 | Algebra II |
| <p>Students draw on analogies between polynomial arithmetic and base-ten computation, focusing on properties of operations, particularly the distributive property. Students connect multiplication of polynomials with multiplication of multi-digit integers, and division of polynomials. Students extend their work with exponential functions to include solving exponential equations with logarithms. They explore and understand that transformations on a graph always have the same effect regardless of the type of the underlying function.</p> | | |

| | | |
|--|--------------|--------------|
| Grades | Course Code | Course Title |
| 11/12 | Pre-Calculus | Pre-Calculus |
| <p>Students build upon their understanding of the different representations of polynomial, exponential, logarithmic, and power functions. Students develop the understanding of functions by focusing on end behavior and critical points. Students will also investigate trigonometry, matrices, vectors, conic sections and an introduction to limits and differential calculus.</p> | | |

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| Grade 12 | Course Code | Course Title |
|--|-------------|--------------|
| | Calc 1 | Calculus I |
| <p>The course prepares students for college-level mathematics courses. Concepts explored in calculus are based on the idea of a limit. Students will use limits in their study of both differential and integral calculus. Students will differentiate and integrate polynomial functions. Applications of derivatives will include tangent and normal lines, velocity, acceleration, maximums and minimums of a function and related rates.</p> | | |

Science

The Capital Prep science curriculum provides students a rigorous, interdisciplinary learning environment focused on science, technology and engineering. Capital Prep Harbor School is currently in the process of transitioning from the Connecticut Science Frameworks to the newly adopted Next Generation Science Standards. Scientific inquiry activities and learning opportunities will foster creativity, collaboration and innovation amongst students.

| Grade | Course Code | Course Title |
|--|-------------|------------------|
| 9 | Sci - Phy | Physical Science |
| <p>Physical science involves the study of the structures and states of matter. The course includes topics such as: atoms and matter, periodic table and chemical bonding; carbon chemistry and polymers; fossil fuels; carbon cycle; thermal energy and heat transformation; electricity; and environmental and global issues.</p> | | |

| Grade | Course Code | Course Title |
|---|-------------|--------------|
| 10 | Sci - Bio | Biology |
| <p>Biology is explored through information and inquiry lab activities, with a specific focus on life and life processes. The course includes investigations on the chemistry of life, ecology and population dynamics, cell structure and function, Mendelian genetics, molecular genetics, evolution and bacteria and viruses.</p> | | |

| Grades | Course Code | Course Title |
|---|-------------|--------------|
| 11/12 | Sci – Chem | Chemistry |
| <p>Chemistry involves studying and investigating the composition, properties and reactions of substances. This course explores concepts such as periodicity, chemical bonding, molecular formulas</p> | | |

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and naming of compounds, organic chemistry, chemical reactions and equations, molarity and stoichiometry, gases and solutions.

| Grades | Course Code | Course Title |
|--|-------------|-----------------------|
| 11/12 | Sci –Env | Environmental Science |
| Environmental science involves the integration of biology, chemistry and physics as they interact in our environment. Students will focus on human population growth, natural resources and ecosystem dynamics. Students will increase their knowledge of the environment by identifying environmental issues and proposing solutions. Students will evaluate governmental approaches to environmental regulation and improvement as they continue to grow as critical thinkers and agents of change in science. | | |

Social Studies and History

The Capital Prep Social Studies and History curriculum is structured around the Common Core State Standards in reading informational text, writing, and speaking and listening. Students explore history, geography, economics, political science and more. A unique component of the Capital Prep Harbor School Social Studies department is its offering of social justice courses and its Senior Social Justice capstone project. Students will explore a social justice issue and create an action plan to address the inequalities or issues within their community.

| Grades | Course Code | Course Title |
|---|-------------|--------------|
| 9 | His – US | US History |
| US History provides the study of United States history. Geography, economics, government, humanities, sociology, religions, philosophy and technological advances are some themes examined in US history. Students will explore the American experience from the turn of the 20 th century up through contemporary American happenings. Students will utilize the Common Core State Standards in reading, writing and speaking and listening throughout the course to engage in dialogue with classmates, conduct research and present their findings. | | |

| Grade | Course Code | Course Title |
|-------|-------------|--------------|
| 10 | His – Civ | Civics |

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Civics is founded on the belief that to become an informed, active citizen, an understanding of government is essential. The course will focus on the structure of government and the function of politics. In-depth investigations will include: foundations of the United States government, institutions and policy making, principles of the United States Constitution, roles and responsibilities of the citizen, and political culture. Students will utilize the Common Core State Standards in reading, writing and speaking and listening throughout the course to engage in dialogue with classmates, conduct research and present their findings.

| Grade | Course Code | Course Title |
|---|-----------------|---------------|
| 12 | His – World His | World History |
| <p>World history will allow students to broaden their knowledge of the world through studies of globalization, immigration and migration, global trade, cultural clashes and conflict, human rights and social justice. Students will read and analyze historical and contemporary primary and secondary source documents, write argumentative and informative pieces, as well as create multimedia artifacts that demonstrate content knowledge and the Common Core State Standard skills.</p> | | |

| Grade | Course Code | Course Title |
|---|------------------------------------|------------------|
| 9 | 9 – Social Justice 2 (X09SOC – 01) | Social Justice 9 |
| <p>This course provide students with an opportunity to study and investigate historical and current social justice issues within local and global societies. Topics within the course include race, ethnicity, gender, sexual orientation, class and religion. Students will be able to analyze how social issues have evolved and how they affect society and social behavior. A heavy emphasis is placed on the analysis of informational text and different styles of writing. Students will create multiple presentations and participate in Socratic seminars and student-led discussions.</p> | | |

| Grade | Course Code | Course Title |
|--|-----------------------------------|-------------------|
| 10 | 10 – Social Justice (X10SOC – 01) | Social Justice 10 |
| <p>This course provides students with an opportunity to study and investigate historical and current social justice issues within local and global societies. Topics within the course include race, ethnicity, gender, sexual orientation, class and religion. Students will be able to analyze how social issues have evolved and how they affect society and social behavior, paying particular attention to possible solutions to identified social issues. When confronting current issues, students will propose solutions and critique solutions. A heavy emphasis is placed on the analysis of informational text and different styles of writing. Students will create multiple presentations and participate in panel discussions.</p> | | |

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| Grade | Course Code | Course Title |
|---|-------------|-------------------|
| 11 | 11 - SJP | Social Justice 11 |
| <p>This course is the first year of a student-driven capstone project. The Social Justice Project is a multi-year investigation of a social justice issue that has been identified by the student. Through research and work with consultants in the community, students will create an action plan that raises awareness and proposes possible solutions to the social justice issue addressed in the project. This course will serve as an introduction to research with a focus on how to design, conduct and report the results of social research. Students will learn how to conduct research and analyze multiple sources. Students will learn how to synthesize evidence to support a thesis statement or claim. Students will gain an understanding of research methodologies and techniques, collection and analysis of data and drawing conclusions.</p> | | |

| Grade | Course Code | Course Title |
|---|------------------------|-------------------------|
| 12 | Social Justice Project | Social Justice 12/SJP 2 |
| <p>This course is the second year of the student-driven capstone. Building on the foundational skills taught in Social Justice 11, students will complete a full literature review on their social justice topic, create and implement an action plan to raise awareness of the social justice topic, and collect and analyze the data from their action plan and associated events. Students will compile their data and research into a presentation that will answer the essential question of their project. The final component of the Social Justice Project is successful presentation and defense of the research conducted and associated findings. This is done through the creation of a multi-media presentation and formal research paper.</p> | | |

World Languages

The Capital Prep offers courses in Spanish and a world language of student choice through Rosetta Stone. A proficiency oriented approach to instruction promotes speaking, listening, reading and writing skills. Students will be able to understand and appreciate the cultures associated with their language of study. Students will successfully complete at least two years of a world language while enrolled at Capital Prep Harbor.

| Grades | Course Code | Course Title |
|---|-------------|--------------|
| 9/10 | Spa - 01 | Spanish I |
| <p>This introductory course is designed for students with little or no previous study of Spanish. This course teaches basic language patterns and vocabulary. Repetition and comprehensible input are important components of this course. Focus is on all four language skills listening, speaking, reading and writing. Culture is an integral part of the course and is introduced through the use of media,</p> | | |

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games, adapted readings and class discussions. In addition to written tests and quizzes, students may also be assessed by means of aural activities.

| Grades | Course Code | Course Title |
|--|-------------|--------------|
| 10/11/12 | Spa - 02 | Spanish II |
| <p>Students continue to further develop and improve listening, speaking, reading and writing skills. Emphasis is placed on comprehension of Spanish, as well as, reading and writing practice in the target language using a variety of activities incorporating familiar vocabulary and structures. Supplementary materials are introduced to enhance language use. Aspects of contemporary Spanish culture are introduced through the use of media, games, and adapted readings and in small or large group discussions. In addition to written/oral tests and quizzes, students are assessed using a variety of formats: oral dialogues, presentations, written compositions and other means.</p> | | |

| Grades | Course Code | Course Title |
|--|-------------|------------------|
| 10/11/12 | LangFor | Foreign Language |
| <p>Students enrolled in Foreign Language will complete an independent study of a language of their choice. Students will use Rosetta Stone to build fundamental reading, writing and speaking skills through this program. Students are required to complete a specified number of hours and complete specified modules for credit to be received.</p> | | |

Wellness

The Capital Prep holds that it is imperative for students to gain a life-long health consciousness to realize their physical, emotional and mental potentials. Students enrolled in grades 9 – 12 will participate in at least two co-curricular activities each year, in lieu of traditional physical education courses. The required student participation in sports is based on the “sports education model”, a curriculum model designed to make physical education more meaningful for unmotivated students.

| Grades | Course Code | Course Title |
|---|-------------|--------------|
| 9/10/11/12 | Skiing | Skiing |
| <p>Students participating in skiing work with their coach on strength and conditioning, techniques used in skiing and participate in downhill skiing events. Students learn about proper nutrition, hydration and stretching.</p> | | |

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| | | |
|---|--------------|--------------|
| Grades | Course Code | Course Title |
| 9/10/11/12 | Cheerleading | Cheerleading |
| Students participating in cheerleading work with their coach on strength and conditioning, they create and perform cheers and cheer routines during football and basketball games. Students learn about proper nutrition, hydration and stretching. | | |

| | | |
|--|-------------|--------------|
| Grades | Course Code | Course Title |
| 9/10/11/12 | Fall Golf | Fall Golf |
| Students participating in fall golf work with their coach on strength and conditioning, learn the rules and technique of golf, and practice and play 9 and 18-hole games. Students learn about proper nutrition, hydration and stretching. | | |

| | | |
|--|---------------|---------------|
| Grades | Course Code | Course Title |
| 9/10/11/12 | Cross Country | Cross Country |
| Students participating in cross country work with their coach on strength and conditioning. Students improve their endurance and distance running by participating in time trial runs, local cross country meets and cross country festivals. Students learn about proper nutrition, hydration and stretching. | | |

| | | |
|---|--------------|--------------|
| Grades | Course Code | Course Title |
| 9/10/11/12 | Indoor Track | Indoor Track |
| Students participating in indoor track work with their coach on strength and conditioning. Students practice for sprints, mid-distance, and distance length races, as well as throwing and jumping events. Students learn about proper nutrition, hydration and stretching. | | |

| | | |
|--|---------------|---------------|
| Grades | Course Code | Course Title |
| 9/10/11/12 | Outdoor Track | Outdoor Track |
| Students participating in outdoor track work with their coach on strength and conditioning. Students practice for sprints, mid-distance, and distance length races, as well as throwing and jumping events. Students learn about proper nutrition, hydration and stretching. | | |

| | | |
|--------|-------------|--------------|
| Grades | Course Code | Course Title |
| | | |

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| | | |
|--|----------|----------|
| 9/10/11/12 | Football | Football |
| Students participating in football work with the coaching staff on strength and conditioning, learning and executing plays, and participate in a number of games throughout the season. Students learn about proper nutrition, hydration and stretching. | | |

| | | |
|--|-------------|------------------|
| Grades | Course Code | Course Title |
| 9/10/11/12 | GBB - 1 | Girls Basketball |
| Students participating in basketball work with the coaching staff on strength and conditioning, learning and executing plays, and participate in a number of games throughout the season. Students learn about proper nutrition, hydration and stretching. | | |

| | | |
|--|-------------|-----------------|
| Grades | Course Code | Course Title |
| 9/10/11/12 | BBB - 1 | Boys Basketball |
| Students participating in basketball work with the coaching staff on strength and conditioning, learning and executing plays, and participate in a number of games throughout the season. Students learn about proper nutrition, hydration and stretching. | | |

| | | |
|---|-------------|--------------|
| Grades | Course Code | Course Title |
| 9/10/11/12 | Golf | Golf |
| Students participating in golf work with their coach on strength and conditioning, learn the rules and technique of golf, and practice and play 9 and 18-hole games. Students learn about proper nutrition, hydration and stretching. | | |

Advisory

The main purpose of the advisory program at Capital Prep is to foster personalization, strengthening the relationship between each student and their learning environment. It is the responsibility of the advisor to monitor both social and academic development of each of their advisees throughout their experience at the school, while fostering a positive school culture

| | | |
|------------|-------------|--------------|
| Grades | Course Code | Course Title |
| 9/10/11/12 | ADV - 01 | Advisory |

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In advisory, students will develop the skills needed to become an agent of change. Each week students will set academic goals that they will strive to meet by weeks end. Students will create artifacts and reflections on their growth and development in both academics and in each of the five learner expectations (Collaboration, Problem Solving, Research, Empathy, and Pillars of Knowledge). Students will showcase their growth during two student-led conferences annually. Students will also participate in at least 3 hours of public service annually.

College Courses

Capital Prep Harbor students have the opportunity to take college-level courses while still enrolled in high school. Through the partnership with Housatonic Community College (Bridgeport, Connecticut), students can in mathematics, English, science and social sciences courses to earn college credit.

Middle School

English

The Capital Prep English courses are designed in order to build mastery of skills in reading, writing, speaking and listening, and language. Our courses integrate technology and the exploration of real-world, social justice issues, in both literature and informational text.

| Grade 6 | Course Code | Course Title |
|---------|-------------|--------------|
| | 6-English | English 6 |

A multi-leveled approach will focus on fluent reading, understanding, and responding to literary works across multiple genres including: informational, literature, poetry and drama. Emphasis will be placed on comprehension and making connections among ideas and between texts. Close reading will be practiced in order to critically analyze works and cite textual evidence. Mastery in these areas should result in the ability to integrate knowledge and ideas into an effective written or oral response. The writing process is taught with emphasis given to narrative, informative, persuasive/argumentative, and creative writings. A process approach is used to develop students' writing; drafting, rewriting, conferencing, revising, editing and publishing become the method to polished compositions. Open-ended responses to literary and informational texts will be examined and evaluated thoroughly via text-dependent analysis.

Students' writing conventions will be augmented through analysis and peer and teacher editing.

Grammar is taught as a means to produce effective writing; emphasis is placed on function rather than terminology. In addition, students will develop and improve their listening and speaking skills through multi-task and discussion based activities.

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| Grade 7 | Course Code | Course Title |
|---|-------------|--------------|
| | 7-English | English 7 |
| <p>Students continue their understanding of the academic relationship between reading and writing. Novels, along with other short literary works, will aid the students in their mastery of comprehension, vocabulary acquisition, and making connections among ideas and between texts with a concentration on textual evidence. The writing process is taught with emphasis given to text-dependent analysis writing. As in the previous year, open-ended responses to literary and informational texts will be examined and evaluated thoroughly. Grammar is practiced daily as a means to enhance effective writing. Vocabulary using Greek and Latin roots is studied.</p> | | |

| Grade 8 | Course Code | Course Title |
|---|-------------|--------------|
| | 8-English | English 8 |
| <p>Students learn to read, interpret, and analyze different types of texts and make connections. Activities and multimodal materials involve listening, reading, speaking and writing. Work in classic and contemporary fiction and non-fiction help students review basic reading skills and develop critical thinking and evaluation skills through activities, written responses, discussions, projects, and presentations. Analysis and application are at the heart of class activities. A process approach is used to develop students' writing; drafting, rewriting, conferencing, revising, editing and publishing become the artist's method to polished compositions. The writing process is taught with emphasis given to narrative, argumentative, informative/explanatory, and creative writings. Grammar is taught as a means to produce effective writing; emphasis is placed on function rather than terminology.</p> | | |

Mathematics

The Capital Prep mathematics curriculum is aligned to the Common Core State Standards with a focus in problem solving and critical thinking. The curriculum prioritizes conceptual understanding, as well as numerical fluency and application.

| Grades | Course Code | Course Title |
|--|-------------|--------------|
| 6 | 6-Math | Math 6 |
| <p>Students in this course will develop both procedural skills and conceptual understanding leading to the application of mathematical concepts. The course curriculum will focus on the strands of Ratios and Proportional Relationships, The Number System, Expressions and Equations, Geometry, and Statistics and Probability all framed around the Standards of Mathematical Practice. Course work will involve high level thinking where students will engage in the 8 Standards of Mathematical Practice: make sense of problems and persevere in solving them, construct viable arguments and critique the reasoning of others, use appropriate tools strategically, look for and make use of structure, reason abstractly and quantitatively, model with mathematics, attend to precision, and look for and express regularity in repeated reasoning.</p> | | |

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| Grades | Course Code | Course Title |
|---|-------------|--------------|
| 7 | 7-Math | Math 7 |
| <p>The primary focal is using algebraic thinking to describe how a change in one quantity in a relationship results in a change in the other; connecting verbal, numeric, graphic, and symbolic representations of relationships, including equation and inequalities; developing an understanding of functional relationships; using geometric properties and relationships to model and analyze situations and solve problems; and using statistics, representations of data, and reasoning to draw conclusions, evaluate arguments, and make recommendations. The emphasis on algebra readiness skills necessitates the implementation of graphing technology, specifically the graphing calculator.</p> | | |

| Grades | Course Code | Course Title |
|---|-------------|--------------|
| 8 | 8-Math | Math 8 |
| <p>Pre-Algebra is an introduction to Algebra I. This course is designed to expand understanding of integer operations to include all forms of signed, rational numbers while introducing key algebraic concepts such as writing and simplifying expressions, solving and graphing equations and inequalities, and using and evaluating formulas. Students will continue to explore ratios, rates, unit rates, and proportions and their use in graphs, statistics, and probability. In addition, other seventh grade skills will be incorporated into daily lessons such as measurement and comparison of geometric figures, probability analysis, and data distribution.</p> | | |

Science

The Capital Prep science curriculum provides students a rigorous, interdisciplinary learning environment focused on science, technology and engineering. Capital Prep Harbor School is currently in the process of transitioning from the Connecticut Science Frameworks to the newly adopted Next Generation Science Standards. Scientific inquiry activities and learning opportunities will foster creativity, collaboration and innovation amongst students.

| Grade | Course Code | Course Title |
|---|-------------|--------------|
| 6 | 6-Science | Science 6 |
| <p>Lessons are organized into thematic units that support students as they build understanding of core ideas in science as well as understanding and use of scientific practices. Students also pursue their own original questions in units that integrate the fundamentals of Physical Sciences, Life Science, and Earth & Space Science.</p> | | |

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|---------------------|--|
| Physical Science: | Light, its role in sight and its interaction with matter |
| Life Science: | Organisms and ecosystems |
| Intro to Chemistry: | Particle nature of matter |
| Earth Science: | Water and rock cycles |

| Grade | Course Code | Course Title |
|---|-------------|--------------|
| 7 | 7-Science | Science 7 |
| <p>Lessons are organized into thematic units that support students as they build understanding of core ideas in science as well as understanding and use of scientific practices. Students also pursue their own original questions in units that integrate the fundamentals of Physical Sciences, Life Science, and Earth & Space Science.</p> <p>Physical Science: Transformation and conservation of energy</p> <p>Life Science: Body systems and cellular processes</p> <p>Intro to Chemistry: Chemical reactions and conservation of matter</p> <p>Earth Science: Atmospheric processes in weather and climate</p> | | |

| Grades | Course Code | Course Title |
|---|-------------|--------------|
| 8 | 8-Science | Science 8 |
| <p>Lessons are organized into thematic units that support students as they build understanding of core ideas in science as well as understanding and use of scientific practices. Students also pursue their own original questions in units that integrate the fundamentals of Physical Sciences, Life Science, and Earth & Space Science.</p> <p>Physical Science: Force and motion</p> <p>Life Science: Heredity and natural selection</p> <p>Intro to Chemistry: Chemical reactions in living things</p> <p>Earth Science: Geological processes</p> | | |

Social Studies and History

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The Capital Prep integrated Social Studies, History and Social Justice curriculum is structured around the Common Core State Standards in reading informational text, writing, and speaking and listening. Students explore history, geography, economics, political science, social justice and more.

| Grades | Course Code | Course Title |
|---|--------------------------|--------------------------|
| 6 | 6-History/Social Justice | History/Social Justice 6 |
| <p>Students enrolled in sixth grade World Geography will focus on the 5 geographic themes Location, Character, Region, Movement, and Human-Environmental Interaction. After mastering the five themes and how they can be identified and applied, students will apply the themes while examining countries from around the world. The curriculum will cover countries in both the Eastern and Western Hemispheres. Students will also be able to compare and contrast countries and be able to solve and predict the geographic problems and conditions that exist within these countries. The ultimate goal is for students to gain a sense of empathy for other races, ethnicities, religions, and peoples of varying socio-economic backgrounds. Assessments will include mapping activities, quizzes and tests, writing prompts, lab simulations, and projects.</p> | | |

| Grade | Course Code | Course Title |
|--|--------------------------|--------------------------|
| 7 | 7-History/Social Justice | History/Social Justice 6 |
| <p>To understand today's world, students must learn about its past since many ancient civilizations laid strong foundations for modern cultures. In this course, students will learn how ideas, events, and people of those early ages have shaped our lives. We will study their culture and the impact it had on their civilization, their beliefs and gods, and how the geography of the land influenced their way of life. The course will include the use of primary documents, videos, ancient world atlases, literature, and writing, students will learn, analyze, and apply information from the past in order to live in the present and plan for the future. Students will be expected to apply what they have learned to compare and contrast, show cause and effect, and use higher level skills to infer, state and support opinions, show connections, and draw conclusions. We will cover the Stone Age, Mesopotamia, Egypt, India, China, Greece, and Rome.</p> | | |

| Grade | Course Code | Course Title |
|---|--------------------------|--------------------------|
| 8 | 8-History/Social Justice | History/Social Justice 6 |
| <p>Students in this course will investigate, analyze, and interpret concepts and events that shaped the early history of the United States of America. The course curriculum will focus on eight distinct units of study: Unit 1 – Foundations of Historical Analysis, Unit 2 – European Colonization of the Americas, Unit 3 – The 13 Colonies, Unit 4 – The American Revolution, Unit 5 – The Constitution and Bill of Rights, Unit 6 – The Early Republic, Unit 7 – Expansion and Division, and Unit 8 – The Civil War. Course work will include higher level reading and writing assignments, evaluating the credibility of sources of information, examining multiple perspectives through primary/secondary source analysis, and utilizing the historical inquiry approach to develop critical thinking and problem-solving skills.</p> | | |

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Specials

In addition to the Capital Prep Sport Program, elective offerings allow students to explore and apply skills from their other primary academic course offerings.

| Grades | Course Code | Course Title |
|--|-----------------|---------------|
| 6 | 6-Advanced Math | Advanced Math |
| <p>This is a supplemental class to where students use online and personalized curriculum to receive additional support or extensions in the application math standards. Students are provided with a suite of online programs that re-teach and enrich personalized paths and project-based activities. The goal of Advance Math is to provide students with the assistance and time they may need to be more successful learners.</p> | | |

| Grade | Course Code | Course Title |
|--|-------------|--------------|
| 7 | 7-Music | Music |
| <p>General Music 7 includes an interactive approach to learning music history. Students will explore music of the Baroque Era through the Impressionist Period. Topics also studied and discussed are the development of the orchestra and keyboard, as well as the lives & works of great composers. These events are paralleled with important international events, relating music to the development of western civilization. The introduction of guitars and drums into the classroom gives the students the opportunity to facilitate music in a way, which allows for a demonstration of expression and competency.</p> | | |

| Grade | Course Code | Course Title |
|--|-------------|--------------|
| 8 | 8-Robotics | Robotics |
| <p>Students will engage in a problem-solving format for which they must create robots for a particular need. Student engineers will set goals by establishing objectives, developing a plan, and identifying with a team. Teams will then gain knowledge of science and math to ultimately develop, build, and test their proposed designs. Once engineer teams have built their prototypes, they will use the scientific method to complete</p> | | |

performance tests. Lastly, groups will present their prototypes to representatives for final review of success as well as compete locally and nationally in robotics competitions.

(e) Promotion and Graduation Policy

To attain promotion from one grade to the next, CP Bronx students are required to meet grade-level appropriate standards. Promotion criteria will include attendance; standards-based grades based on comprehensive classroom assessments that include work samples, capstone projects, teacher assessments and observations; benchmark assessments; and extracurricular requirements.

For each of the core courses, students will be required to have a minimal average standards based grade of 2.0 per course, which converts to a “C” in order to receive one credit for the course. A student who fails more than two core courses will repeat the grade. CP Bronx students in grades 6-8 will take the NYS Assessments annually for math and ELA. Additionally, students will participate in the NYS Science Assessment in grade 8. CP Bronx students should be well prepared for these assessments; therefore, it is expected that students will earn a minimal score of performance level 2 on each of these assessments. Students scoring performance level 2 are partially proficient but are on track to meet current NYS graduation requirements. For students not scoring at or above level 2, mandatory interventions will be provided in addition to the completion and passing of a CPS created assessment that assesses mastery of skills and processes on the NYS exam. A student must also satisfactorily lead two Student Led Conferences (SLC) presentations to demonstrate their mastery over the school’s Five Learner Expectations, Social Justice Themes and Essential Questions.

Beyond the standard academic, state assessments and SLC requirements, additional promotional requirements (both academic and non-academic) also vary by grade level to reflect differences in growth and development based on skills and knowledge attained in prior grade levels. For example, 8th grade students are required to complete an end-of-year capstone project that is designed specifically by their team teachers and is tied to community issues addressed by 8th graders. This project will allow students to answer the Essential Question outlined in the Social Justice Matrix and demonstrate mastery of the Five Learner Expectations. By meeting or surpassing CPS’ promotional requirements at each grade level, CP Bronx students are prepared to engage in the next grade level’s educational program.

For all grades, promotional requirements are clearly documented and made transparent to teachers, students, families, and other relevant stakeholders through the student handbook and learning portfolio materials, orientation sessions, and conferences with students and parents. Each student’s progress in meeting promotional requirements is consistently monitored by her/his advisor. When a student strays from making adequate progress toward

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meeting these requirements, her/his advisor follows an established protocol in providing necessary support to get the student back on track.

The following table summarizes the general promotion requirements by grade for each grade level served in the first charter term:

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Promotion Policy

| Grade | Attendance | Teacher Recommendation – Standards Based Grading Mastery of Skills and Processes ² | Benchmark Testing ³ or Minimum Units of Accumulate Credit (HS) | Extracurricular Requirements ⁴ |
|-------|------------|---|---|--|
| 6 | 90% | 2.0 | NYS ELA and Math Level 2 and above | Participation in one club or sports team |
| 7 | 90% | 2.0 | NYS ELA and Math Level 2 and above | Participation in one club or sports team |
| 8 | 90% | 2.0 | NYS ELA, Math, Science and Social Studies Level 2 and above | Participation in one club or sports team |
| 9 | 90% | 2.0 | 5 units of credit | Completion of 2 sports 6 hours of community service |
| 10 | 90% | 2.0 | 11 units of credit | Completion of 2 sports 6 hours of community service |
| 11 | 90% | 2.0 | 17 units of credit | Completion of 2 sports 6 hours of community service |

² The Standards Based Grading (SBG) assesses students’ mastery of skills, processes and content knowledge. Using CPS created rubrics, each student is expected to have an average of 2.0 for the standards assessed in each course. On the SBG continuum, 1 is below basic, 2 is proficient, 3 is mastery and 4 exceeds mastery.

³ For students not meeting performance level 2 or above on the NYS, mandated interventions will be put in place in order to strengthen the skills in the deficient testing area. Students will be given an alternative assessment created by CPS that assesses the skills and processes on the NYS examinations. Students who can demonstrate proficiency on this assessment and have passed four of six core classes will be recommended for promotion.

⁴ For high school students not completing the two-sport requirement, students will sign a contract agreeing to participate in 3 sports the following academic year. Students will be considered to be on “probationary period” and participation will be monitored by coaches and academic advisors until students have fulfilled requirement.

Diploma Requirements for High School Graduation: Although in CP Bronx’s first five year charter term, its highest grade will be Grade 11, because it will eventually serve Grade 12 in its second charter term should it be authorized and subsequently renewed, the requirements for high school graduation are included in this application. To graduate, all CP Bronx students must meet or surpass the following academic and co-curricular requirements:

1. Meet the standards for the Regents Diploma⁵ as delineated on the NYSED website (<http://www.p12.nysed.gov/part100/pages/1005.html#regentsdiploma>), recognizing that some of the requisite courses may be satisfied by completion of dual enrollment college courses taken in their junior and senior years. Such courses will be vetted for approval by NYSED in advance of student enrollment as per regulation 100.2(f) of the General School Requirements (<http://emsc32.nysed.gov/part100/pages/1002.html>).
2. Complete a minimum of two college-level courses, which may include college level courses offered online and approved by CP Bronx’s faculty, or courses offered at a local university (including free courses offered via the College Now program). A student deemed unable to meet the requirement to complete two college level courses will be assigned an alternate, albeit relatively comparable requirement, such as the completion of a scaffolded independent study created by CPS overseen by a CP Bronx faculty member.
3. Conduct and implement a Social Justice Project (SJP) that positively contributes to the local community. In turn the senior will pass a culminating SJP presentation using the SJP Presentation Rubric created by CPS to an audience of peers, staff and community members, which illustrates the student’s learning and accomplishments throughout her/his time at CP Bronx.
4. Earn 4 units of credit in Health & Sports (physical education-2 sports per academic year)
5. Complete three hours of volunteer work per semester.

⁵ Students with disabilities with an IEP or section 504 Accommodation Plan are eligible to graduate from CP Bronx by meeting the standards for a Local Diploma as set forth by the NYS Board of Regents (<http://www.p12.nysed.gov/part100/pages/1005.html#assessment> and <http://www.p12.nysed.gov/ciai/gradreq/diploma-credential-summary.pdf>).

Programmatic Audit

CP Bronx will use a variety of data points to monitor program implementation and effectiveness, including formal program evaluation, staff evaluation, family and student survey results, and measures of progress towards meeting Accountability Plan goals.

A major benefit of CP Bronx's affiliation with Capital Preparatory Schools (CPS) is access to academic and operational expertise. Besides ongoing support and assistance, CPS leadership will regularly visit the school to evaluate program performance and provide feedback and guidance to school leadership. CPS will report to the Board on a monthly basis and share all relevant findings with the school's Board to inform its oversight functions. Evaluation of educational programs focus on two areas: quality of implementation and results. The Principal and Academic Dean monitor implementation of curriculum programs, interventions and assessments through planning meetings and direct observation, with the support and oversight of CPS. Teachers are expected to annotate lessons after they have been taught and that information is used at the end of the year to evaluate implementation of curriculum and pedagogy. Once the Principal and CPS have ascertained that our programs have been implemented with fidelity, analysis of student performance data is the primary method for evaluating efficacy. We disaggregate data and look for trends in sub-groups.

CPS will also conduct a thorough school evaluation bi-annually, on behalf of the BOT. The evaluation will be designed as a comprehensive school inspection by a team of both CPS and outside evaluators. The team will engage in some or all of the following activities in connection with the evaluation: observe classes and other school operations, analyze a wide variety of data, review student work samples, meet with parents, students, and teachers, among other activities designed to obtain a detailed picture of school and student success in preparation for charter renewal. Furthermore, CPS, on behalf of the BOT, conducts an annual evaluation of the Principal focused heavily on academic achievement, operational effectiveness and financial stability, which is used to determine renewal of the Principal's annual contract.

In addition, CP Bronx will submit an Annual Report by August 1 each year, which will include a Progress Report that evaluates the school's progress in meeting its approved Accountability Plan goals. School leaders with assistance from CPS will produce the Annual Report and share it with the Board and school community. The Board will review the results to monitor progress towards accomplishing the school's mission and goals.

CP Bronx gauges family and student satisfaction both directly and indirectly. We administer annual NYCDOE School Surveys to assess parent and student satisfaction in areas such as instruction, school culture, and communication (see II.G. School Culture and Climate). We also infer satisfaction based on our enrollment numbers and retention of students from year to year. We believe our attention to parents through regular communication from teachers and advisors, parent engagement efforts, and parent workshops will keep parents engaged in the life of the school and their children's academic progress.

We will also seek to participate in inter-visitation with other high performing "no excuses" schools that result in critical feedback. We also expect to have regular oversight visits by our

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authorizer and will use any constructive feedback to make necessary changes to the academic program. Finally, CP Bronx expects it may also undergo programmatic audits related to any federal entitlement grants and competitive public grants it receives.

Calendar and Schedules

School Calendar: CP Bronx will have an extended school year (201 days of instruction), 21 more days of school than that in the traditional public schools. The proposed first year school calendar can be found on the next page.

- This calendar reflects 201 school days for students
- The first day of school for students will be Monday, August 3, 2019.
- The first day of school for teachers will be Monday, July 29, 2019 and they will be engaged in 5 days of pre-opening professional development.
- The last day of school for students and teachers will be Friday, June 19, 2020.
- The last day of school for teachers will be Wednesday, July 1, 2020.
- Teachers will be engaged in professional development on a regular basis throughout the year. Five days of pre-opening professional development will take place from July 30 to August 3, with an additional three days for staff new to the organization. In addition, there will be 40 Friday half-day professional development sessions where students are dismissed after lunch and the teachers are engaged in school-wide professional development in the afternoon hours. Three of the 40 half days will be designated for network-wide PD where CP Harbor, CP Harlem and CP Bronx instructional staff come together to engage in professional learning.
- The school year will be broken into five marking periods (quints):
 - The first marking period ending on or about September 27, 2019
 - The second marking period ending on or about December 6, 2019
 - The third marking period ending on or about February 14, 2020
 - The fourth marking period ending on or about April 17, 2020
 - The fifth marking period ending on the last day of school, June 19, 2020.
- The conclusion of the first two quints provides the staff and students with data to use for the first Student-Led Conferences (SLCs). The conclusion of Quint 4 gives staff and students two more marking periods of artifacts to use in documenting growth over the school year (and more specifically since the last SLC).
- Two Student Led Conferences will be held annually. They will take place over a five-day period after the conclusion of the 2nd and 4th quints.

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| July | | | | | <p>Codes</p> <p>LD – Labor Day Sept. 2 SB – School Break VD – Veterans Day Nov. 11 TB – Thanksgiving Break Nov. 28-29 WR – Winter Recess Dec. 23-Jan. 1 MLK – MLK Day Jan. 20 PRE – Presidents Day Feb. 17 SB – Spring Break Mar. 9-13 GF – Good Friday Apr. 10 MD – Memorial Day May 25</p> <p>PD – Professional Development</p> <p>In addition to PD days on July 29- August 2, there will be 40 Friday half-day sessions during the school year where students are dismissed after lunch teachers are engaged in afternoon PD.</p> <p>Marking Periods</p> <p>I. Aug. 3 – Sept. 27 II. Sept. 30 – Dec. 6 III. Dec. 9 – Feb. 14 IV. Feb. 10 – Apr. 17 V. April 20 – Jun. 19</p> | January | | | | |
|-----------|----|----|----|----|---|----------|----|----|----|----|
| M | T | W | Th | F | | M | T | W | Th | F |
| 1 | 2 | 3 | 4 | 5 | | | | WR | 2 | 3 |
| 8 | 9 | 10 | 11 | 12 | | 6 | 7 | 8 | 9 | 10 |
| 15 | 16 | 17 | 18 | 19 | | 13 | 14 | 15 | 16 | 17 |
| 22 | 23 | 24 | 25 | 26 | | MLK | 21 | 22 | 23 | 24 |
| PD | PD | PD | | | | 27 | 28 | 29 | 30 | 31 |
| August | | | | | | February | | | | |
| M | T | W | Th | F | | M | T | W | Th | F |
| | | | PD | PD | | 3 | 4 | 5 | 6 | 7 |
| 3 | 4 | 5 | 8 | 9 | | 10 | 11 | 12 | 13 | 14 |
| 10 | 11 | 12 | 15 | 16 | | PRE | 18 | 19 | 20 | 21 |
| 17 | 18 | 19 | 22 | 23 | | 24 | 25 | 26 | 27 | 28 |
| 24 | 25 | 26 | 29 | 30 | | | | | | |
| September | | | | | | March | | | | |
| M | T | W | Th | F | | M | T | W | Th | F |
| LD | 3 | 4 | 5 | 6 | | 2 | 3 | 4 | 5 | 6 |
| 9 | 10 | 11 | 12 | 13 | | SB | SB | SB | SB | SB |
| 16 | 17 | 18 | 19 | 20 | | 16 | 17 | 18 | 19 | 20 |
| 23 | 24 | 25 | 26 | 27 | | 23 | 24 | 25 | 26 | 27 |
| 30 | | | | | | 30 | 31 | | | |
| October | | | | | | April | | | | |
| M | T | W | Th | F | | M | T | W | Th | F |
| | 1 | 2 | 3 | 4 | | | | 1 | 2 | 3 |
| SB | SB | SB | SB | SB | | 6 | 7 | 8 | 9 | GF |
| 14 | 15 | 16 | 17 | 18 | 13 | 14 | 15 | 16 | 17 | |
| 21 | 22 | 23 | 24 | 25 | 20 | 21 | 22 | 23 | 24 | |
| 28 | 29 | 30 | 31 | | 27 | 28 | 29 | 30 | | |
| November | | | | | May | | | | | |
| M | T | W | Th | F | M | T | W | Th | F | |
| | | | | 1 | | | | | 1 | |
| 4 | 5 | 6 | 7 | 8 | 4 | 5 | 6 | 7 | 8 | |
| VD | 12 | 13 | 14 | 15 | 11 | 12 | 13 | 14 | 15 | |
| 18 | 19 | 20 | 21 | 22 | 18 | 19 | 20 | 21 | 22 | |
| 25 | 26 | 27 | TB | TB | MD | 26 | 27 | 28 | 29 | |
| December | | | | | June | | | | | |
| M | T | W | Th | F | M | T | W | Th | F | |
| 2 | 3 | 4 | 5 | 6 | 1 | 2 | 3 | 4 | 5 | |
| 9 | 10 | 11 | 12 | 13 | 8 | 9 | 10 | 11 | 12 | |
| 16 | 17 | 18 | 19 | 20 | 15 | 16 | 17 | 18 | 19 | |
| WR | WR | WR | WR | WR | 22 | 23 | 24 | 25 | 26 | |
| WR | WR | | | | 29 | 30 | | | | |

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Student Schedule: (Copies of student schedules for 6th, 7th/8th and High School students are provided in Response R06 – Sample Schedules.) Students arrive at school at 7:00 am for a 30-minute breakfast available for all students after which instruction begins at 7:30 am according to the student schedule below. The school day ends at 3:30 pm. The school day will be constituted in longer instructional blocks of 50 minutes and 100 minutes in duration in an extended school day of 485 minutes in length, inclusive of a 30-minute arrival/breakfast period and a 27-minute lunch period. Students are engaged in 7.13 hours of daily instruction (with the exception of Fridays when there is an early student dismissal for teacher professional development). Teachers begin the school year with a two-week Professional Learning period prior to the first day of school for students. They will have an average daily teaching load of 240 minutes. They will have a minimum of one 75 minute prep period per day, with the exception of Fridays where they have a longer afternoon block, for planning, assessment, home/parent contact, peer coaching/observation sessions, instructional/child study teams, and grade level/departmental curriculum design and data analysis teams.

- **6th Grade:** In 6th grade, students will attend four 50-minute class periods (Math, History, English, Science) from 8:20-11:44. All 6th grade students will share the same four content teachers and be placed in classes that the staff feel is most appropriate given ability and behavior strengths and weaknesses. After attending their core subject classes, students attend advisory with their 7-12 peers. Students eat lunch and then attend their “special” for the day. Students will rotate through six “specials” over the course of the year and spend 67 days in each class for 31 100-minute class periods. The courses that 6th grade students will take are World Language Enrichment, Gym, Art, Music, Technology, and Math Enrichment. After the last academic period, students will attend an enrichment period that will consist of non-academic learning opportunities as well as an academic Seminar, which is a period for teachers and students to work together in providing the most opportune groupings. Students can meet with their core class teachers for re-teaching and enrichment during this time period. Non-academic Enrichment is a time during the day that can provide students with opportunities to “try new things” by attending “classes” taught by staff, parents, community members/organizations. Each Friday, students will participate in two 50-minute classes, advisory and lunch before being dismissed so teachers can participate in Professional Development opportunities.
- **7th/8th Grade:** Students in 7th/8th grade make a change in their schedule from 6th grade to help prepare them for their high school schedule by adding an academic class and replacing a period of “specials” and beginning their modified A/B block schedule. All students in 7th/8th grade will take five core classes (History, Math, English, Science, World Language) and one “special,” which will meet for a semester (101 days and 52 100-minute classes). 7th/8th grade students will take half a year of Art and half a year of Health/PE. Students in 7th/8th grade will take three academic classes Monday-Thursday. Students will take the same three classes on Mon/Wed and the same three classes on Tues/Thurs. Each period is 100 minutes long and each student has the same teachers for their core classes. Advisory and Enrichment are the same for 7th/8th grade students as 6th grade students.

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- **High School:** High school students are scheduled for six academic core classes (Math, History, English, Science, World Language, Social Justice) as well as Community Service. When students become eligible, they will take college classes and will initially use the period reserved for Public Service to enroll in classes. Students in high school will take three academic classes Monday-Thursday. Students will take the same three classes on Mon/Wed and the same three classes on Tues/Thurs. Each period is 100 minutes long providing students more time to learn content in core classes. After the last academic period of the day Mon-Thurs, students will attend an academic Seminar that is a structured study hall by each “team” of teachers. This block of time allows students to receive “extra help” as well as opportunities to extend learning through Enrichment opportunities. Advisory is the same for high school students as it is for the 6th through 8th grade students.

Teacher Schedules: Teachers at CP Bronx will be provided with ample time for teaching, planning, preparation and professional development. Sample schedules are provided below.

- **6th Grade:** 6th grade teachers teach on a Team and share the entire cohort of students among themselves. Each teacher will instruct for four consecutive 50-minute periods, moving all students through their core academic classes Monday through Thursday. After the fourth block, teachers will meet with their advisory. After lunch, the Team will have a 30-minute personal plan, or “prep” period. Once a month, this time will be used to meet with their evaluating administrator to discuss their Individualized Teaching Plan (ITP). The 30-minute planning block is followed by a 70-minute Team meeting where the teachers meet to discuss Team issues and concerns. Team teachers will bring documentation of student achievement to the meeting to identify student strengths and weaknesses. Parent meetings will be conducted during this time to keep families informed of the observations of the Team and the recommended plan for implementation. Interdisciplinary units will be planned and assessed during this time. Common Formative Assessments will be planned in addition to reviewing standardized test scores and creating testing preparation plans when the time arises. Once a month, the Team will meet with their administrator to provide data documenting academic progress. Twice a week, the Team will meet with their assigned Special Education teacher to discuss concerns, progress, interventions, and differentiation. After the meeting, the team of teachers supervises the Enrichment period for their students. After Enrichment, teachers will assist with student dismissal. Once a week, each teacher will stay after school to provide students and families with Academic Center, or “office hours”. Each Team member will be assigned a different day Mon-Thursday so that a 6th grade teacher is available after school every day. On Friday, teachers will teach two 100-minute periods and will not switch their class periods after 50 minutes as they do during the week. This extended period provides the students with the preparation for longer periods the following year as well as gives the teacher time to create learning opportunities of longer duration such as lab experiments, classroom debates and performances. Advisory, Lunch and bus duty occur as they do during Mon-Thursday. After school on Friday, teachers will rotate among Professional Development activities:

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department meetings, PLC meetings and PD workshops that are conducted by departments and PLC groups.

- **7th/8th Grade:** 7th/8th grade teachers teach on a Team and share the entire cohort of students among themselves. Each teacher will teach five different 100-minute classes. On T/Th, the 7th/8th grade Team teachers will teach two consecutive 100-minute periods and then transition to advisory. Teacher schedules on M/W are similar and differ in the fact that teachers will teach three 100-minute blocks and will have their Team Plan period during the time slot used for Enrichment on T/Th. The number of minutes for personal plan and Team plan are 30 minutes for personal plan and 33 minutes for Team plan. On Friday, teachers will teach two 100-minute periods. Enrichment, team planning and advisory responsibilities and explanations are the same in 7th and 8th grade as they are in the 6th.
- **9th-12th Grade:** 9th-12th grade teachers teach on a Team and share as much of the cohort of students as possible. As students get older, their exceptionalities will need to be addressed and learning must occur at the most challenging level. While some exceptionalities will exist in the middle school, more students in the high school will demonstrate a need for classes that may cause them to be “off-team” for one or more classes. Each teacher will teach five different 100-minute classes. On T/Th, 9th-12th grade Team teachers will teach two consecutive 100-minute periods and then transition to advisory. After the full period planning period, teachers will organize and supervise a structured seminar for their “team” of students. This block of time allows students to receive “extra help” as well as opportunities to extend learning through Enrichment opportunities. Advisory is the same for high school students as it is for the middle school students. Teacher schedules on M/W are similar and differ in the fact that teachers will teach three 100-minute blocks and will have their Team Plan period during the time slot used for Seminar on T/Th (time slot at the end of the day). The number of minutes for personal plan and Team plan are 30 minutes for personal plan and 33 minutes for Team Plan. On Friday, teachers will teach two 100-minute periods. Team planning and advisory responsibilities and explanations are the same in high school as they are in the middle school.

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6th grade Sample Schedule

| Period | Class |
|------------|------------|
| 1 | Math |
| 2 | English |
| 3 | Special |
| 4 | History |
| 5 | Science |
| 6 | Special |
| Advisory | Advisory |
| Enrichment | Enrichment |

- Meets 163 times for 50 minutes and 13 times for 100 minutes equaling 157.5 hours over course of year
- Meets 163 times for 50 minutes and 13 times for 100 minutes equaling 157.5 hours over course of year
- Each special will meet 31 times for 100 minutes equaling 52 hours over course of year
- Meets 163 times for 50 minutes and 13 times for 100 minutes equaling 157.5 hours over course of year
- Meets 163 times for 50 minutes and 13 times for 100 minutes equaling 157.5 hours over course of year
- Each special will meet 31 times for 100 minutes equaling 52 hours over course of year
- Advisory meets 201 days per year for 54 minutes equaling 181.8 hours over course of year
- Enrichment meets 163 days per year for 53 minutes equaling 144 hours over course of year

| Monday/Wednesday | |
|------------------|---|
| 820-910 | Math |
| 910-1000 | |
| 1004-1054 | English |
| 1054-1144 | |
| 1148-1242 | Advisory |
| 1242-109 | Lunch |
| 113-253 | Special: T1-Art T2-Music T3- Language |
| 257-350 | Enrichment |

| Tuesday/Thursday | |
|------------------|--|
| 820-910 | History |
| 910-1000 | |
| 1004-1054 | Science |
| 1054-1144 | |
| 1148-1242 | Advisory |
| 1242-109 | Lunch |
| 113-253 | Special: T1- Technology T2-PE T3-Math Enrich. |
| 257-350 | Enrichment |

| Friday periods 1,2 | |
|--------------------|----------|
| 820-1000 | Math |
| 1004-1144 | English |
| 1148-1242 | Advisory |
| 1242-109 | Lunch |

| Friday periods 3,4 | |
|--------------------|----------|
| 820-1000 | Special |
| 1004-1144 | History |
| 1148-1242 | Advisory |
| 1242-109 | Lunch |

| Friday periods 5,6 | |
|--------------------|----------|
| 820-1000 | Science |
| 1004-1144 | Special |
| 1148-1242 | Advisory |
| 1242-109 | Lunch |

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| 7/8th grade Sample Schedule | |
|---|-----------------------------|
| Period | Class |
| 1 | Math |
| 2 | English |
| 3 | Language |
| 4 | History |
| 5 | Science |
| 6 | Special |
| Advisory | Advisory |
| Enrichment | Enrichment |
| <ul style="list-style-type: none"> - Meets 93 times for 100 minutes equaling 155 hours over course of year - Meets 93 times for 100 minutes equaling 155 hours over course of year - Meets 93 times for 100 minutes equaling 155 hours over course of year - Meets 93 times for 100 minutes equaling 155 hours over course of year - Meets 93 times for 100 minutes equaling 155 hours over course of year - Meets 52 times for 100 minutes equaling 87 hours over course of year - Advisory meets 201 days per year for 54 minutes equaling 181.8 hours over course of year - Enrichment meets 163 days per year for 53 minutes equaling 144 hours over course of year | |
| Monday/Wednesday | |
| 820-1000 | Math |
| 1004-1144 | English |
| 1148-1242 | Advisory |
| 1242-109 | Lunch |
| 113-253 | Language |
| 257-350 | Enrichment |
| Tuesday/Thursday | |
| 820-1000 | History |
| 1004-1144 | Science |
| 1148-1242 | Advisory |
| 1242-109 | Lunch |
| 113-253 | Special: T1-Art T2-PE |
| 257-350 | Enrichment |
| Friday periods 1,2 | |
| 820-1000 | Math |
| 1004-1144 | English |
| 1148-1242 | Advisory |
| 1242-109 | Lunch |
| Friday periods 3,4 | |
| 820-1000 | Language |
| 1004-1144 | History |
| 1148-1242 | Advisory |
| 1242-109 | Lunch |
| Friday periods 5,6 | |
| 820-1000 | Science |
| 1004-1144 | Special |
| 1148-1242 | Advisory |
| 1242-109 | Lunch |

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9th-12th grade Sample Schedule

| Period | Class | |
|----------|---------------------|--|
| 1 | Math | - Meets 93 times for 100 minutes equaling 155 hours over course of year |
| 2 | English | - Meets 93 times for 100 minutes equaling 155 hours over course of year |
| 3 | Language | - Meets 93 times for 100 minutes equaling 155 hours over course of year |
| 4 | History | - Meets 93 times for 100 minutes equaling 155 hours over course of year |
| 5 | Science | - Meets 93 times for 100 minutes equaling 155 hours over course of year |
| 6 | Pub. Serv./ College | - Meets 93 times for 100 mins equaling 155 hrs over course of year or earns 3 college credits per sem. |
| Advisory | Advisory | - Advisory meets 201 days per year for 54 minutes equaling 181.8 hours over course of year |
| Seminar | Seminar | - Seminar meets 163 days per year for 53 minutes equaling 144 hours over course of year |

| Monday/Wednesday | Tuesday/Thursday | Friday periods 1,2 | Friday periods 3,4 | Friday periods 5,6 |
|--------------------|---------------------------------------|--------------------|--------------------|--------------------|
| 820-1000 Math | 820-1000 History | 820-1000 Math | 820-1000 Language | 820-1000 Science |
| 1004-1144 English | 1004-1144 Science | 1004-1144 English | 1004-1144 History | 1004-1144 College |
| 1148-1242 Advisory | 1148-1242 Advisory | 1148-1242 Advisory | 1148-1242 Advisory | 1148-1242 Advisory |
| 1242-109 Lunch | 1242-109 Lunch | 1242-109 Lunch | 1242-109 Lunch | 1242-109 Lunch |
| 113-253 Language | 113-253 Public Service/ College Class | | | |
| 257-350 Seminar | 257-350 Seminar | | | |

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| 7th/8th grade Teacher Schedule | |
|---------------------------------------|---|
| M/W | |
| 820-1000 | - Period one content subject instruction |
| 1004-1144 | - Period two content subject instruction |
| 1148-1242 | - Advisory: check-in, goal setting, activities, check out |
| 1242-109 | - Lunch |
| 113-253 | - Period three content subject instruction |
| 257-350 | - Plan/Team meeting: academics, behavior, SPED |
| 350-410 | - Dismissal Duty |
| 410-500 | - One day a week-Office Hours (M-Th) |
| T/Th | |
| 820-1000 | - Period four content subject instruction |
| 1004-1144 | - Period five content subject instruction |
| 1148-1242 | - Advisory: check-in, goal setting, activities, check out |
| 1242-109 | - Lunch |
| 113-253 | - Plan/Team meeting: academics, behavior, SPED |
| 257-350 | - Enrichment: non-academic activity |
| 350-410 | - Dismissal Duty |
| 410-500 | - One day a week-Office Hours (M-Th) |
| F (1-2) | |
| 820-1000 | - Period one content subject instruction |
| 1004-1144 | - Period two content subject instruction |
| 1148-1242 | - Advisory: check-in, goal setting, activities, check out |
| 1242-109 | - Lunch |
| 109-130 | - Dismissal duty |
| 130-330 | - Professional Development: Department Meeting |
| F (3-4) | |
| 820-1000 | - Period three plan period |
| 1004-1144 | - Period four content subject instruction |
| 1148-1242 | - Advisory: check-in, goal setting, activities, check out |
| 1242-109 | - Lunch |
| 109-130 | - Dismissal duty |
| 130-330 | - Professional Development: PLC Groups |
| F (5-6) | |
| 820-1000 | - Period five content subject instruction |
| 1004-1144 | - Period six plan period |
| 1148-1242 | - Advisory: check-in, goal setting, activities, check out |

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- | | |
|----------|---------------------------------------|
| 1242-109 | - Lunch |
| 109-130 | - Dismissal duty |
| 130-330 | - Professional Development: Workshops |

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| 9th-12th grade Teacher Schedule | |
|--|---|
| M/W | |
| 820-1000 | - Period one content subject instruction |
| 1004-1144 | - Period two content subject instruction |
| 1148-1242 | - Advisory: check-in, goal setting, activities, check out |
| 1242-109 | - Lunch |
| 113-253 | - Period three content subject instruction |
| 257-350 | - Plan/Team meeting: academics, behavior, SPED |
| 350-410 | - Dismissal Duty |
| 410-500 | - One day a week-Office Hours (M-Th) |
| T/Th | |
| 820-1000 | - Period four content subject instruction |
| 1004-1144 | - Period five content subject instruction |
| 1148-1242 | - Advisory: check-in, goal setting, activities, check out |
| 1242-109 | - Lunch |
| 113-253 | - Plan/Team meeting: academics, behavior, SPED |
| 257-350 | - Seminar: Structured work period |
| 350-410 | - Dismissal Duty |
| 410-500 | - One day a week-Office Hours (M-Th) |
| F (1-2) | |
| 820-1000 | - Period one content subject instruction |
| 1004-1144 | - Period two content subject instruction |
| 1148-1242 | - Advisory: check-in, goal setting, activities, check out |
| 1242-109 | - Lunch |
| 109-130 | - Dismissal duty |
| 130-330 | - Professional Development: Department Meeting |
| F (3-4) | |
| | Period three plan |
| 820-1000 | - period |
| 1004-1144 | - Period four content subject instruction |
| 1148-1242 | - Advisory: check-in, goal setting, activities, check out |
| 1242-109 | - Lunch |
| 109-130 | - Dismissal duty |
| 130-330 | - Professional Development: PLC Groups |
| F (5-6) | |
| 820-1000 | - Period five content subject instruction |
| 1004-1144 | - Period six plan period |
| 1148-1242 | - Advisory: check-in, goal setting, activities, check out |
| 1242-109 | - Lunch |
| 109-130 | - Dismissal duty |
| 130-330 | - Professional Development: Workshops |

Specific Populations

CP Bronx is committed to serving all students, including SWD, ELLs, at-risk students (behavioral and academic) and accelerated students through the use of its Response to Intervention (RTI) framework academic/behavioral plans, facilitated by the Student Assistance Team (SAT). The SAT and RTI framework are underpinned by CP Bronx's robust intervention programs and staffing, which have the capacity to implement recommendations of tiered interventions. CP Bronx's staffing includes special education teachers, a special education coordinator, ELL teachers, math and reading intervention specialists and social workers. Related service supports (such as counseling, speech and language, OT/PT) for students who experience social emotional issues, language difficulties or other non-academic concerns will be provided by qualified staff, including from qualified outside related service providers. In addition, CP Bronx receives support from the CPS Chief of Student Services in the coordination of its special education program as well as coordination and compliance with its ELL and Title I programs. It is the expectation that all students will learn from highly qualified teachers who provide differentiated individualized instruction using a rigorous curriculum in a supportive environment that has high expectations of all students, including those representing these special populations. CP Bronx will achieve student success for all students through the differentiation of its curriculum to assist students who may have challenges in their learning environment.

CP Bronx's school culture is also a critical factor in ensuring the success and achievement of all students, including those at risk. CP Bronx promotes a community where all students, especially those students most in need of support and intervention to succeed, feel safe to take the risks necessary to thrive. CP Bronx provides assurances that any after school and extra-curricular programming offered will be accessible to all students, including special student populations. Information on any CP Bronx after school and extra-curricular programming will be provided to all parents, including in the languages spoken by non-English speaking parents, so that all parents are given the opportunity to have their children participate in any or all of these offerings.

Academically/Behaviorally Struggling Students: CP Bronx identifies academically struggling students through their performance in class and on assessments. Academically struggling students are identified as those performing below grade level or significantly behind their peers. CP Bronx provides additional interventions for these students through the RTI process for academics and Positive Behavioral Interventions and Supports (PBIS) for behavioral needs.

- **Tier I:** All students in RTI receive Tier I interventions through the high quality instruction received in the classroom utilizing assessment and performance data, including interventions delivered by a certified Reading and/or Math Interventionist on staff. CPS schools use a variety of intervention programs and resources, including iReady, IXL, NewsELA, Khan Academy, Advanced Math, Enrichment (After School Tutoring), and Saturday School. In addition, Interventionists serve as internal resources for all teachers providing content knowledge and resources to instructional staff regarding strategies to support learning and literacy of struggling learners. All students benefit from Tier I

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supports. The PBIS program will include recognizing and reinforcing positive behaviors through tokens and providing and supporting positive behavioral expectations and models. Data will be maintained and reviewed regularly during the prescribed 6-9 week intervention cycles. Students who are not making progress in their current intervention cycle will then be moved within the Tiers for more intensive interventions (Tier II or Tier III).

- **Tier II:** Tier II interventions include additional support within the general classroom or pull out for specific instruction based on students' specific needs. PBIS interventions may utilize additional programs, such as check-in and checkout/point sheets for behavior. These interventions are implemented for 6-9 weeks, with progress-monitoring and review occurring throughout the intervention process. Interventions are changed, continued or moved to Tier III.
- **Tier III:** Tier III students receive additional intensive supports. These supports are for students who are at risk academically and/or behaviorally, not responding to Tier I and II supports and/or are making minimal progress. Tier III supports may include, but are not limited to, intensive reading /math supports for 30 minutes three to four times weekly, behavioral supports may include counseling, and participation in social skills groups minimally once a week and monitored for success.

Students who are unsuccessful in Tier III will be referred for evaluation through the special education process. If a student through RTI/PBIS and the SAT has been deemed in possible need of special education services, the school submits a referral and supporting data to the district's Committees on Special Education (CSE) to initiate the process. It is the responsibility of the school to provide all the data, including any school-based assessments, interventions and responses to intervention prior to the meeting to assist with the determination of eligibility. Further discussion of the CSE Referral Process continues below.

Special Education/504 students: CP Bronx will educate SWD in the least restrictive environment with their non-disabled peers to the extent appropriate and allowed by the Individualized Education Program (IEP) prepared by the CSE of the students' district of residence and all applicable federal laws, including the Individuals with Disabilities Education Act (IDEA) and Section 504 of the Rehabilitation Act of 1973. CP Bronx will not discriminate in admission and enrollment practices on the basis of a student having or being suspected of having a disability. All special education programs and services at the School will be provided in accordance with Education Law 2853(4)(a) and applicable federal laws and regulations and in accordance with the IEP recommended by the CSE of the students' district of residence. SWD will be expected to participate in, and receive credit for, nonacademic, extracurricular and ancillary programs and activities with other students to the extent allowed by the IEP. SWD will receive all notices concerning school sponsored programs, activities and services.

- **Identification of SWD:** Once students have been selected through the lottery process, the school will immediately contact districts to request all student educational records, including IEPs, 504s, ELL status, and health records. In addition, communication will be made with families to request information regarding student educational status and any pertinent medical/health information. The school will immediately review information

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as it arrives to ensure appropriate services. CP Bronx will comply with the federal Child Find requirements (34 CFR §300.125). Students enrolling for the first time in a NY public school will be screened by the CP Bronx SAT to identify any possible indication that the child may need referral to the CSE of the district of residence. The school maintains a secure process to check-in records as they arrive and follow up on any missing documentation.

- **Referral to the CSE:** If there is no improvement in the student's areas of concern following implementation of appropriate strategies, an official meeting will be called with the family and a referral may be developed. The referral is made by the Special Education Coordinator (SEC) in writing to the Chairperson of the CSE of the NYCDOE for an individual evaluation and determination of eligibility for special education programs and services. A copy of the referral, along with the procedural safeguards notice described in 34 CFR §300.504, will be sent to the student's parents/guardians. A student's parent or guardian, physician, judicial officer or representative of a public agency, as well a professional staff member, may make a referral. Regulations identify specific requirements for referrals initiated by professional staff members, directing that such a referral must state the reasons for the referral and include any test results, records, or reports upon which the referral is based; describe attempts to remediate the student's performance prior to referral, including any supplementary aids or support services or the reasons why no such attempts were made, and describe the extent of parental contact or involvement prior to the referral. Initial evaluations, re-evaluations, and revisions of IEPs, and the procedures relating thereto, are the responsibility of the CSE of the school district of residence (see 34 CFR §§300.22, 300.312 and 300.340 et al). CP Bronx will implement the IEP developed by the CSE and will cooperate with the district of residence to ensure that all services recommended in the IEP are provided. Appropriate core subject teachers of the student will be involved in the development and implementation of the IEP. CP Bronx will provide substitute coverage for teachers as necessary to ensure they are able to attend CSE meetings.
- **Provision of Services:** CP Bronx will hire an appropriately certified SEC who will have oversight responsibilities to ensure compliance of the school's Special Education Program. The SEC will be responsible for managing IEP record-keeping, ensuring compliance with all IEP requirements and regulations, managing the review and referral process, ensuring provision of services as mandated on IEPs, progress monitoring, and submitting all required reports in compliance with 34 CFR §300.750. The SEC works with staff to provide teachers with copies of the appropriate classroom adaptations in accordance with the IEP and 504 plans. The teams review the accommodations and modifications prior to the beginning of school to ensure they are in place for students at the beginning of the school year. The SEC oversees the security and distribution of information related to students IEPs and 504 plans to necessary staff. Only staff working with these students will receive the information. CP Bronx will establish a SAT, comprised of the classroom teacher(s), intervention specialist, ELL teacher (as necessary), administrator, parent, and sending district (if they would like to participate) with the purpose of monitoring each special education student's progress. The SEC will

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provide teachers with ongoing professional development and support on the implementation of IEP requirements on differentiation, assessment, appropriate modifications, accommodations that align with the NYS CCLS and confidentiality. Staff will also participate in curriculum development, and state mandated training, including, but not limited to NYC Administration for Children's Services mandated reporting, bullying/sexual harassment and Title IX.

Services under the IEP and/or 504 plans address the individual needs of the identified child. Special needs students are serviced in the least restrictive environment within the continuum of services, in accordance to their IEP. To serve special education students, CP Bronx's certified special education teachers will provide services including Special Education Teacher Support Services (SETSS) in both a push-in and pull-out setting, in accordance with the IEP. CP Bronx will also provide related services through a contract with the district for students with IEPs mandated to receive related services that may include, but are not limited to, psychological services; physical and occupational therapy; speech and language therapy, recreation, including therapeutic recreation; early rehabilitation counseling; orientation and mobility services; and diagnostic and/or evaluative medical services. Service providers current in use include Mt. Sinai Adolescent Clinic, Legendary Therapy for Counseling, City Sounds for Speech, and our audiologist is provided by the DOE (Ms. Anglin). Paraprofessionals are handled through OMNI Rehab and PT/OT is through the RSA voucher system. In any event that CP Bronx is unable to provide services in accordance with the student's IEP, it relies on the school district of the student's residence to provide services. All appropriate accommodations and modifications for school, state testing, and for access to the academic environment are implemented in accordance to the IEP. These accommodations may include, but are not limited to, assistive technology, preferential seating, modified assignments and homework.

ELL Students: Students entering CP Bronx from a previous New York State or New York City public school setting will have already been classified as ELL or English Proficient based on the completion of the Home Language Identification Survey (HLIS) and, if applicable, the NYS Identification Test for ELLs (NYSITELL) in their previous NY public school setting. Any student whose previous school records indicate he or she is currently designated ELL will receive ENL support and services at CP Bronx. Any student whose previous school records indicate he or she is a former ELL who tested English proficient within two years of his or her enrollment in CP Bronx will continue to have access to ENL services and testing accommodations at CP Bronx for up to two years after they were determined to be English proficient.

- **Identification:** The parents of any student entering CP Bronx who is new to New York State or new to the country will, upon enrollment, receive and complete a HLIS in a language or format the parent or guardian best understands. This instrument helps the school to identify students who may be ELL and therefore, require further screening. Any student whose home language or whose first language is not English is then interviewed by the school to make an assessment of the student's oral proficiency in English. Once this initial screening process is completed, the school will conduct a formal assessment of any student who speaks little or no English to determine the student's

level of English language proficiency by administering the NYS Identification Test for ELLs (NYSITELL). Future assessments of the student's English language proficiency are conducted in the Spring using the NYS English as a Second Language Achievement Test (NYSESLAT). The NYSESLAT is no longer the only assessment used to determine ELA proficiency and exit from ELL status. Beginning in 2015-16, guidelines provided multiple ways for students to test proficient and no longer be considered ELLs as delineated in <http://schools.nyc.gov/NR/rdonlyres/3A4AEC4C-14BD-49C4-B2E6-8EDF5D873BE4/213766/201516DemographicReportv5FINAL.pdf> that included a Commanding score on the NYSESLAT or a combination of an Expanding score on the NYSESLAT and either a Level 3 on the Grade 3-8 NYS ELA exam or a 65 on the NYS ELA Regents Exam. The parents of any student who is entitled to a bilingual program will be informed in writing of their right to have the student placed in a bilingual program. If the parent chooses to have the student remain at CP Bronx, they will receive an explanation as to how ELL services will be provided at the school. The student will be provided a special language instructional program that is designed to teach English, as well as the general curriculum as outlined in the ENL standards.

- **Services for ELLs:** Within its inclusive classrooms, and utilizing the six approaches to co-teaching, CP Bronx will implement a research-based ELL program model. Research of English as a New Language (ENL) programs indicates successful performance on English examinations is based upon the development of both oral (social language) proficiency and cognitive academic language proficiency. Academic language proficiency includes the language skills required for literacy and complex thinking such as reading comprehension, writing mechanics, critical thinking skills, study skills, and academic vocabulary. Strategies that promote the acquisition of cognitive academic language proficiency include sheltered instruction (Cummins, 1999). The goal of the CP Bronx program is to develop English language and academic skills among ELL students. Content instruction is provided in English with instructional methods to make content comprehensible.

Teachers will utilize special instructional strategies sometimes referred to nationally as Sheltered English Techniques (SET) or Specially Designed Academic Instruction in English (SDAIE) for delivering content for ELLs in English. At CP Bronx, ELLs will receive instruction from their classroom teachers and, as needed, discrete ENL instruction from the highly qualified ELL Teacher on staff. CP Bronx will use the ESL standards document entitled, *The Teaching of Language Arts to Limited English Proficient/English Language Learners: Learning Standards for English as a Second Language* as a guide to ensure that ELLs meet the same standards as the general student population. Professional development for teachers and administrators in instruction methodology appropriate for ELLs (particularly in the use of SDAIE and SET) will ensure that the materials and facilities available to ELLs are equal to those of the general population.

CP Bronx ensures that ELLs will not be excluded from curricular activities based on an inability to speak and understand the language of instruction. Additionally, ELLs will not be assigned to special education solely because of their lack of English proficiency. Parents whose English

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proficiency is limited will receive notices and other information from the School in their native language to encourage participation in the School. Semi-annually, the Academic Dean or his/her designee will conduct a comprehensive review of ELL participation in extracurricular activities to identify any impediment to their full participation. The results of this review, along with recommendations for improvement, if necessary, will be presented to the Academic Committee of the Board of Trustees.

CPS will train CP Bronx's teachers who are directly involved with ELL students. This training will become a standard part of the CP Bronx annual professional development plan. The staff development program will enhance staff appreciation for ELLs' native languages and cultures, and provide information on the techniques, methods, and strategies appropriate for instructional and support services for ELLs. In addition, CP Bronx has an ELL teacher on staff.

CP Bronx will administer the NYS ELA assessment to ELLs who have been enrolled in school in the United States (excluding Puerto Rico) for one year or more. ELLs who meet exit criteria on the NYSESLAT and/or combination of NYSESLAT and NYS ELA Grade 3-8 assessment or NYS ELA Regents Exam will exit ELL status, but be entitled to 2 years of Former ELL services and testing accommodations on NYS assessments (including IEP accommodations if also a SWD).

CP Bronx will continually assess academic programs and services for ELLs at all levels using multiple, fair, and equitable measures. CP Bronx will use this information to determine student academic progress, as well as the level of English language acquisition. This information will also be used to modify program services to ELLs, where necessary, determine if exit criteria has been met, and to report outcomes.

Gifted and Advanced Students: The use of differentiation strategies provide a variety of opportunities for advanced students, including leveled curriculum materials, assignments, projects, homework, and assessment items. Gradual release of responsibility instructional methods allow for varied pacing so that accelerated students can begin peer and independent student more quickly. In addition, the use of performance-based assessments, including culminating projects provide students with opportunities for choice and self-paced instruction. Finally, high school students will have the opportunity to attend dual-enrollment programs, giving them access to college level courses.

Evaluation of Programs for Special Populations: CP Bronx, with support from the CPS President, will engage in a consistent process for the evaluation of its programs and services for all students, including those programs and services specifically for its special populations. The process for monitoring student academic progress enables CP Bronx to make adjustments and revisit goals and expectations of its programs for these special student populations. These programs and services will be assessed on an ongoing basis using disaggregated student performance data. For SWD and ELLs, CP Bronx will use this information to determine student progress against not only IEP goals or level of English language acquisition but against CP Bronx's overall accountability goals and will modify programs and services accordingly. The SEC will provide a report to the Principal twice a year on the academic progress of SWD. Progress will be compared to their goals set forth on their IEPs.

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For students at risk of academic failure and for students who are academically advanced, CP Bronx will use this information to determine student progress against CP Bronx's overall accountability goals and will modify academic intervention programs and services, and its programs and supports for advanced students, respectively, where necessary. This information will be shared with the CP Bronx Board Academic Committee. Efficacy measures of special programs and services will be a part of the academic dashboard that the Board will review at its meetings. These performance indicators will indicate whether student data is aligned with expected goals, which the Board will use to review a report of performance indicators that aligns specific data with expected goals. In addition, semi-annually, the Principal with support from the SEC and other intervention staff, will conduct a comprehensive review of the participation of special student populations in extracurricular activities to identify any impediments to their full participation. The results of this review along with recommendation for improvement if necessary will be presented to the Board Academic Committee.

Instructional Leadership

(a) Instructional Leadership Roles

Principal: The Principal reports to the Board of Trustees and CPS and will lead a school that is committed to the on-going development and well-being of its students, teachers and staff. The Principal will provide strategic and instructional leadership and will oversee management of the day-to-day operations of the school.

The Principal is accountable for:

- Providing strategic leadership for school improvement and development
- Ensuring high standards of achievement for all students
- Ensuring loving, rigorous culture, infused with the highest expectations, and a strong school community where teaching and learning and positive relationships can thrive
- Ensuring responsive and effective systems of management of people and systems such that all students, parents, teachers and staff are well supported

Major areas of responsibility:

- School development
- Learning and teaching
- School culture and behavior
- Management and development of people, systems and resources
- Student recruitment and admissions
- Parent and community relations

Learning and Teaching (with CPS)

- High levels of student achievement and learning through rigorous and engaging classes in a college preparatory environment, in adherence with the school's objectives and learner expectations, with a focus on social justice and global citizenship
- A shared vision among all teachers of skillful instruction and high expectations for all students
- On-going improvement of teaching for all staff through a variety of strategies, including:
 - Lesson observations
 - Individual teaching plans
 - Regular use of data
 - Collaborative planning and enquiry
 - Regular professional development, including professional learning communities
 - Leadership development
 - Support strategies including coaching and mentoring

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- Systematic use of formative assessment data to guide learning support and drive instruction, curriculum, and professional development
- Curriculum that is
 - Aligned with the Common Core State Standards and New York state standards
 - Structured in a manner supports the highest levels of achievement for all students, is centered around the school's learner expectations and essential questions, utilizes principles of applied learning, and address the academic and affective needs of each student
- A program of responsive support in English and Math for students who are below expected levels in these subjects
- Strong and responsive special education programming to ensure success in school for students with special needs, including compliance with special education laws
- A comprehensive network of affective supports to ensure the social-emotional well-being of each student
- A school day and extra-curricular enrichment program that provides a rich and high quality offering in teach sports, the arts, music and theatre

School Culture and Behavior

- High expectations for student achievement and behavior
- Alignment of students, teachers, staff, and parents around the school's values and approach
- Experiences that culture the School's values of empathy, collaboration, problem-solving, communication and information processing
- Emphasis on college preparation and early-college exposure
- Support of students' development into informed, global citizens who are inspired to discover and fulfill their social, academic and civic responsibilities and work toward social justice in their communities
- Parent engagement through consistent communication and involvement in the life of the school and its students
- Community partnerships and engagement that enrich the culture of the school through service opportunities, internships, engagement in Social Justice Capstone Projects, and other resources
- Student support system which addresses the affective and academic needs of each student, in order to support the whole child

Academic Dean: The Academic Dean reports to the Principal and, with support of the Principal and CPS, has the primary responsibility to ensure that the faculty's instruction is enabling all

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students to meet the school's rigorous standards. The Academic Dean oversees curriculum planning, student assessment, the professional development of all teachers, including coaching and teacher supervision and evaluation.

The Academic Dean is accountable for:

- Providing instructional leadership for school improvement and development
- Ensuring high standards of achievement for all students
- Ensuring loving, rigorous culture, infused with the highest expectations, and a strong school community where teaching and learning and positive relationships can thrive
- Ensuring compelling curricula such that all students, parents, teachers and staff are well engaged

Major areas of responsibility:

- Learning and teaching
- Curricular development
- Management and development of people, systems and resources
- Faculty professional development
- Parent and community relations

School Development (with CPS)

- Management of instruction, including:
 - Annual school review, including analysis of student achievement data
 - Development, implementation and periodic monitoring of curricula and instruction
 - Weekly lesson Plan reviews
- Ethical and motivational leadership appropriate to the cultural and political context in which the school operates
- Adherence to State of New York academic requirements

Learning and Teaching (with CPS)

- High levels of student achievement and learning through rigorous and engaging classes in a college preparatory environment, in adherence with the school's objectives and learner expectations, with a focus on social justice and global citizenship
- A shared vision among all teachers of skillful instruction and high expectations for all students
- On-going improvement of teaching for all staff through a variety of strategies, including:
 - Lesson observations

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- Individual teaching plans
- Regular use of data
- Collaborative planning and enquiry
- Regular professional development, including professional learning communities
- Leadership development
- Support strategies including coaching and mentoring
- Systematic use of formative assessment data to guide learning support and drive instruction, curriculum, and professional development
- Curriculum that is
 - Aligned with the Common Core State Standards and New York state standards
 - Structured in a manner supports the highest levels of achievement for all students, is centered around the school's learner expectations and essential questions, utilizes principles of applied learning, and address the academic and affective needs of each student
- A program of responsive support in English and Math for students who are below expected levels in these subjects
- Strong and responsive special education programming to ensure success in school for students with special needs, including compliance with special education laws
- A comprehensive network of affective supports to ensure the social-emotional well-being of each student
- A school day and extra-curricular enrichment program that provides a rich and high quality offering in teach sports, the arts, music and theatre

School Culture and Behavior

- High expectations for student achievement and behavior
- Alignment of students, teachers, staff, and parents around the school's values and approach
- Experiences that culture the School's values of empathy, collaboration, problem-solving, communication and information processing
- Emphasis on college preparation and early-college exposure
- Support of students' development into informed, global citizens who are inspired to discover and fulfill their social, academic and civic responsibilities and work toward social justice in their communities
- Parent engagement through consistent communication and involvement in the life of the school and its students

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- Community partnerships and engagement that enrich the culture of the school through service opportunities, internships, engagement in Social Justice Capstone Projects, and other resources
- Student support system which addresses the affective and academic needs of each student, in order to support the whole child

Dean of Students: The Dean of Students reports to the Principal and his or her focus is on the role that teachers play as Advisors. The Dean of Students is also responsible for overseeing the SAT, student assistance team, which is comprised of support staff including, but not limited to social workers, special education and ELL teachers, and contracted related services providers. Finally, the Dean of Students oversees the extracurricular experiences of students, which range from traditional athletics to community-based enrichments.

The Dean of Students is accountable for:

- Providing leadership in social and emotional support for students
- Ensuring high standards of achievement for all students
- Ensuring loving, rigorous culture, infused with the highest expectations, and a strong school community where teaching and learning and positive relationships can thrive
- Ensuring individualized academic experiences such that all students, parents, teachers and staff are well engaged

Major areas of responsibility:

- Social and emotional support
- Extracurricular development
- Management and development of people, systems and resources
- Student Assistance Team's professional development
- Parent and community relations

School Development (with CPS)

- Management of instruction, including:
 - Annual school review, including analysis of student achievement data
 - Development, implementation and periodic monitoring of affective support systems
 - Weekly reviews of student data on progress towards social and emotional development goals
- Ethical and motivational leadership appropriate to the cultural and political context in which the school operates

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- Adherence to State of New York academic requirements for children with identified and yet diagnosed academic, social and emotional challenges

Learning and Teaching (with CPS)

- High levels of student achievement and learning through rigorous and engaging classes in a college preparatory environment, in adherence with the school's objectives and learner expectations, with a focus on social justice and global citizenship
- A shared vision among all support staff of skillful academic enrichment and high expectations for all students
- On-going improvement of teaching for all staff through a variety of strategies, including:
 - Classroom observations
 - Individualized Education and 504 Plans
 - Regular use of data
 - Collaborative planning and enquiry
 - Regular professional development, including professional learning communities
 - Leadership development
 - Support strategies including coaching and mentoring
- Systematic use of formative assessment data to guide learning support and drive instruction, curriculum, and professional development
- Affective support that is
 - Aligned with the Common Core State Standards and New York state standards
 - Structured in a manner supports the highest levels of achievement for all students, is centered around the school's learner expectations and essential questions, utilizes principles of applied learning, and address the academic and affective needs of each student
- A program of responsive support in English and Math for students who are below expected levels in these subjects
- Strong and responsive special education programming to ensure success in school for students with special needs, including compliance with special education laws
- A comprehensive network of affective supports to ensure the social-emotional well-being of each student
- A school day and extra-curricular enrichment program that provides a rich and high quality offering in teach sports, the arts, music and theatre

School Culture and Behavior

- High expectations for student achievement and behavior

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- Alignment of students, teachers, staff, and parents around the school's values and approach
- Experiences that culture the School's values of empathy, collaboration, problem-solving, communication and information processing
- Emphasis on college preparation and early-college exposure
- Support of students' development into informed, global citizens who are inspired to discover and fulfill their social, academic and civic responsibilities and work toward social justice in their communities
- Parent engagement through consistent communication and involvement in the life of the school and its students
- Community partnerships and engagement that enrich the culture of the school through service opportunities, internships, engagement in Social Justice Capstone Projects, and other resources
- Student support system which addresses the affective and academic needs of each student, in order to support the whole child

Special Education Coordinator: The Special Education Coordinator oversees special education and related programs under the guidance of the Dean of Students. Responsibilities include:

- Oversee special education and related services, programs and grants, and ensure CP Bronx compliance with state and federal laws and regulations related to the implementation of IDEA.
- Support implementation of NCLB and attainment of State standards.
- Remain current regarding laws, policies, trends and best practices related to education in general and special education programs specifically, and share this knowledge with administrators and staff on a regular basis.
- Interpret, explain, and apply district, State and Federal laws, guidelines, policies and procedures for staff, students, parents, and others in a timely and accurate manner.
- Develop systems, tools and policies/procedures for effective implementation of special education services, and testing accommodations as needed.
- Expand learning opportunities for students in an on-going effort to update opportunities, improve services and programs, offer instructional pathways based on best practices, and maximize progress.
- Provide support with complex individualized education plans including facilitating meetings and advising principals for more involved IEP processes.
- Supervise and evaluate classified and certified special education staff, providing support; opportunities, coaching, mentoring, and guidance for professional growth; and

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assist with timely performance evaluation in a manner that promotes team development and effective work.

- Align program development and coordination with the goals of the school and in collaboration with administrators, special education staff and other school staff to ensure the best use of resources in providing services for students.
- Assist in the development of the special needs program budget and planned management of resources to support learning goals.
- Assist with recruiting, screening, hiring, assigning and provide leadership in training special needs staff.
- Apply high-quality problem-solving skills and exercise expert judgment to resolve issues for parents, students and/or staff.
- Serve as a resource and/or consultant to school administrators and personnel on the nature, causes, and solutions to the learning difficulties of children.
- Provide thorough and timely reports, data, and information as requested.
- Participation in Student Assistance Team

(b) Teacher Support and Supervision & (c) Professional Development

Our staff development program has three components: explicit training, coaching and mentoring. To articulate clear expectations and hold staff accountable, we believe staff development and evaluation should be organized around explicit standards for teaching performance. Therefore, the Principal utilizes the CPS teacher performance rubric, which describes four levels of practice—beginning, developing, proficient, advanced—and addresses the following domains: planning, instructional delivery, assessment, classroom management, school-wide contributions, and professionalism. Similar to the Danielson Framework for Effective Teaching, Marshal Teacher Evaluation Rubric and Marzano Teacher Practice Rubric, the CPS teacher performance rubric sets clear expectations in areas such as instructional rigor, student engagement and classroom management, and will also address the school theme of Social Justice, as well as our Learner Expectations and Essential Questions.

Prior to the opening of school, all staff participates in a two-week professional learning period for training and planning. In our first year, training topics for instructional staff will include: the school mission and vision; Core Knowledge, curriculum programs and unit and lesson design; Advisory; school culture, routines, procedures and discipline; assessment and data analysis protocols; Response to Intervention (RTI) program; differentiation; and co-teaching and mentoring. CPS will conduct trainings explaining the referral process for special education, RTI, IEP development and implementation, evaluation and reporting of the student's progress toward meeting IEP goals and objectives, confidentiality of student records, sheltered English instruction and discipline of SWD.

Also at the start of the year, all staff develop Individualized Teacher Plans (ITPs) that include measurable goals for the year based on domains in the teacher performance rubric as well as

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school-wide metrics, leadership development goals and an action-research project. School leaders work with staff to ensure goals are reasonably ambitious and align with school needs, PD priorities and mission. ITPs provide teacher and supervisor the opportunity to craft a PD strategy that builds upon the teacher's identified strengths and weaknesses.

During the school year teachers meet with their supervisors regularly to monitor their ITP. Frequent reference and review of the ITP ensures that the teacher reaches the goal of improved teaching quality and improved student outcomes as it informs the need of targeted professional development for the individual teacher and for teachers as a whole. As is evident from the comprehensive support that teachers will receive at CP Bronx, the CP model professional development approach clearly provides numerous opportunities for differentiated PD to address the needs of teachers with varying degrees of teaching experience as well as experience with the CP model. This model ensures that all teachers will be prepared to address the needs of all students, including those students identified as at-risk of academic failure, students with disabilities, and English language learners.

Teachers receive PD in a variety of forms throughout the school year to ensure that the needs identified by their ITPs are met, including:

- **Friday PD:** During the school year, students are released early on Fridays to provide extended time for staff development and planning for upcoming workshops. The weekly agenda is determined by school leaders based on ongoing observation of instructional practice, review of student performance data, and staff input. Professional Development may be delivered to the whole staff, grade level teams or by department, i.e., learning supports or operations staff. These Friday sessions also provide important opportunities for collaboration and sharing of effective practices, especially between general education teachers and intervention staff.
- **Coaching:** Teachers receive regular coaching from the Academic Dean. Coaching may include review of and feedback on curriculum and lesson plans, modeling instruction, co-teaching, observation of classroom practices, facilitation of collaborative activities, as well as critical feedback.
- **Prep Periods:** To maximize the use of prep periods, we build teacher schedules that provide regular common planning time for collaborative work. CP Bronx teachers are trained to use protocols to evaluate student work to norm expectations, review assessment data to inform action plans, and discuss students' achievement and behavior to develop re-directing strategies. School leaders facilitate and then observe meetings as teachers become familiar with the protocols.
- **Network and External Trainings:** CPS also pursues partnerships with local school districts, area community colleges, and business organizations in order to provide exceptional opportunities for CP Bronx teachers, administrators and other educational professionals to engage in a variety of external PD activities, including the following: full day PD sessions focused on instruction, curriculum, and best practices; participating in district sponsored PD sessions; visiting other schools to observe and learn from their instructional strategies; and access to current educational research through community

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college's library databases. Staff members are required to attend at least one conference and/or seminar, either within the network or externally, in the area of their research question from their Creativity Symposium project and share their findings through team or department meetings, their PLC or the Creativity Symposium.

- **Professional Learning Communities:** As the CP Bronx professional development plan succeeds in building the leadership skills of its teachers and as teachers become experts in particular areas of instruction, it is the goal for the school to incorporate Professional Learning Communities within its professional development program. At that time, all staff members at CP Bronx will participate in collaborative PLCs centered on school improvement goals. Each group provides leadership for the rest of the staff on a particular school improvement initiative while also participating in each of the initiatives. Groups are comprised of all staff and focus on topic areas essential to the culture and climate of the school: Standards Based Grading, CORE/PBIS, Differentiation, Advisory, Innovative Instruction, Data/Testing and New Teacher Orientation. These groups collaborate on an ongoing basis using electronic communication (email, threaded discussions, collaborative workspaces) as well as in person meeting times. In accordance with the schedule below, PLCs organize and facilitate a staff professional development session.
- **Coaching: Observation: Meetings with Administrators and Department Head:** The Principal (and Academic Dean) hold one-to-one meetings with co-teaching teams each week and individually once per month in a regularly scheduled ITP meeting. Similarly, the Dean of Students meets regularly with learning support staff. Department heads also meet on a regular basis with teachers in their department for coaching and oversight. The Leadership Cohort, a group comprised of administrators and department heads, meets monthly to discuss teacher performance and identify any needs for more targeted and intensive coaching.
- **Peer Support:** Teachers have the opportunity to engage in peer coaching through collaborative initiatives built into the school culture. Best practices are shared through "sister advisories" and "team meetings." Team meetings allow for teachers and support staff to discuss academic growth and improvement of students, data analysis, interventions, and enrichment opportunities.
- **Mentoring:** Our Professionals As Collaborators Program has two purposes: to (1) properly indoctrinate and mentor new staff into CP Bronx teaching and learning expectations and (2) provide a venue, or informal network for staff to reflect on work-related issues such as school policy, best practices, and community outreach strategies to name a few. All faculty members are assigned to a *Peer Pair*. Peer Pairs meet during common planning times. The Peer Pairs discuss student progress in academics and social and emotional development, interdisciplinary teaching strategies, the implementation of specific SJPs, home-school partnerships, timelines for upcoming assessments, school functions, and strategies for completing teacher responsibilities. Although these meetings are informal by nature, each Peer Pair submits a completed Professional as Collaborators Weekly Overview. Overviews are read for themes of conversations and

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may be used to dictate future professional developments, school programs and/or faculty discussions.

- **Creativity Symposium:** The culmination of each year's ITP is called the Creativity Symposium, where CP Bronx faculty will present an action-research project to their colleagues and the community based on the goals of their ITP. The focus of these projects will be to enhance the culture and climate of the school and improve their capacity to practice. The ITP process allows for individual teacher development that is tied to and aligned with school-wide goals and metrics, in a framework that is "high touch" and collaborative, and fosters leadership development, individual mastery, and development of the faculty as a whole. The impact of this process is magnified by the sharing of best practices through the CPS network.

CPS is the driving force behind staff development and, with the support of the Academic Dean, works closely with the Principal and the Dean of Students to ensure adequate resources, including dedicated time in the schedule, trainers with relevant expertise, and technology such as video cameras and data analysis software. The school is connected with other teachers in the CPS network as well as external resources. Faculty may request funds for external training that is aligned with the school program and can be turn-keyed for the benefit of others.

The CP model's professional development plan develops strong leadership skills in its teachers, many of whom become experts in various areas of instruction. These in-house experts who have both strong knowledge of their content and good rapport with their colleagues take a leadership role in the design and delivery of the school's professional development. Ultimately, this comprehensive professional development approach will result in the development of a leadership cohort of potential administrators for schools in the CPS network. Developing such career pathways for teachers will support teacher retention by providing opportunities for high quality teaching staff to grow within the school and providing mentorship opportunities for less experienced staff.

Formative program evaluation will be used to modify and/or improve the PD program and will take place at intervals during the year. Instructional staff will be asked for feedback and comments through surveys. CP Bronx's process of monitoring student academic progress will provide student data that will inform the need for mid-course corrections and fine-tuning by the instructional leaders and teachers. CP Bronx can implement these modifications on a real time basis.

Summative program evaluation is used to determine the overall effectiveness of the PD program and will be conducted at the end of the year. The two different levels of data to conduct a summative evaluation are: teacher instructional practice and student outcomes. Summative evaluation is used to assess the changes in teachers as a result of participating in the PD program. Through questionnaires, observations, self-assessment instruments and analysis of teacher evaluation records, instructional leaders will analyze how the PD programs have improved teacher and student practices. This process involves teachers describing changes in how they think, what they believe, and what they do in the classroom. They describe their own professional growth and evaluate the program in meeting their personal and professional goals.

Summative evaluation is also used to determine the effect of the PD process on student outcomes. CPS will work with the instructional leadership to analyze student assessment data, including standardized assessments, interim assessments and teacher-generated summative and formative assessments. Student assessment data will be evaluated in the aggregate as well as broken down into disaggregated groups. Evaluation of student assessment data is fundamental to determining if the school has met or is making progress towards meeting its annual goals. CPS and the CP Bronx Principal, Academic Dean and Dean of Students will draw conclusions regarding the efficacy of the PD program data and make recommendations for program modifications to improve teacher practice and student outcomes. These recommendations will be presented by CPS and the Principal to the Board's Academic Committee, which will present a report to the full Board.

(d) Teacher Evaluation and Accountability

Evaluation is considered part and parcel of professional development as a means to support, build and strengthen the instructional capacity of individual teachers. As such, it effectively addresses the needs of teachers by providing individualized support, thus ensuring their implementation of high quality instruction in the classroom.

Evaluation encompasses cumulative evidence collected over the school year from observation of classroom practice and professional responsibilities, student performance data, self-reflection and peer and parent input. While Teachers are observed regularly throughout the year; there are a number of formal observations annually. The Principal, Dean of Students and Academic Dean visit classrooms and attend grade team meetings, either for quick pop-ins or extended periods. CPS staff may also participate in these observations from time to time. These instructional leaders use these opportunities to collect evidence related to each teacher's professional growth goals and evaluate the implementation of staff development training into practice. Feedback may be verbal or written, and is aligned with the teacher performance rubric.

At least twice per year instructional leaders meet with teachers to review their ITPs and evaluate progress towards goals. Goals may be modified based on teacher performance and teachers who are not on track to meet their goals may be specific benchmarks and strategies to follow. Teachers that fail to progress may be given warnings that their retention is in jeopardy if they do not make adequate improvements. Teachers that fail to meet their goals may be let go either during the school year or will not be asked to return the following year.

Culture and Discipline

CP Bronx's educational approach and teaching methods are designed to produce a "high-touch" experience to reinforce with each student that multiple adults in the school care about them and believe in them. Examples of these multiple "touches" are the Advisory System; regular communication between parents, student and school; the Student Assistance Team (SAT); the mandatory two sport requirement; and, consistently high expectations of every student, which is particularly loving for students from disadvantaged populations who may not have experienced this in other contexts. Research supports this approach, demonstrating that the quality of relationships between staff and students and between staff and families most strongly defines safe schools. Establishing positive, supportive, caring relationships, and creating a loving, nurturing learning environment for students and staff, are foundational elements of school culture in the CPS model.

Safe School Climate Plan: CP Bronx will adopt a Safe School Climate Plan, the CORE Plan, which stands for Culture Of Respect and Empathy. CP Bronx is committed to creating and maintaining a physically, emotionally, and intellectually safe educational environment free from bullying, harassment and discrimination. This plan represents a comprehensive approach to addressing bullying and cyber bullying and sets forth the school's goals for creating a positive school climate and thus preventing, intervening, and responding to incidents of bullying. CP Bronx is committed to the requirements of Dignity for All Students Act (DASA), which gives public school students an educational environment free from discrimination and harassment, particularly from harassment based on a student's actual or perceived race, color, weight, national origin, ethnic group, religion, religious practice, disability, sexual orientation, gender or sex. DASA will prohibit activities that create a hostile environment at school and school-sponsored events. CP Bronx will follow all DASA guidelines. All staff will receive training on DASA and the school's discipline policies and procedures during pre-opening PD that focuses on CP Bronx's framework for promoting a positive school culture. CP Bronx's social worker will be the designated contact for handling violations of the DASA, especially bullying. The social worker will receive appropriate training to recognize and respond effectively to harassment and bullying and implement strategies to prevent it.

School Culture: The CP Bronx school culture is developed through deliberate opportunities for faculty, families and children to collaborate to create a rigorous nurturing environment. PTO, extra curricular booster clubs, student government and the SJP operate to enhance children's school experience. Clear lines of communication between family and school foster trust through transparency. For example, expectations regarding staff and student conduct are clearly communicated, widely disseminated and posted throughout classrooms and common spaces in the school, consistently reinforced, and easily accessible through our school website. The school has required uniforms, which research has shown leads to fewer distractions and increased self-esteem. In addition, the CPS model's educational approach is based on a curriculum that promotes social, emotional and civic competencies along with content-area competencies. Moreover, school-wide efforts to maintain a strong, positive school climate emphasize students' unique strengths and use diverse approaches to support students'

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academic and non-academic abilities. These approaches have all been identified as important strategies to creating a safe, positive and secure school environment.

Advisory: CP Bronx features a daily advisory program designed to provide a small group, nurturing forum for addressing both the academic and affective needs of students. Each teacher is assigned a small group of students with whom they meet daily and are with through graduation. These advisories range in size from 12-15 students. The main purpose of the advisory program at CP Bronx is to foster personalization, strengthening the relationship between each student and his/her learning environment.

Student Government: Capital Prep has modeled the structure of its Student Government in the tradition of the English prep school model found predominantly in the Caribbean. The student leaders who are elected by their peers run for office by announcing their candidacy and running a campaign for two weeks. Students are elected to the position of Head Boy and Head Girl who lead the Student Government consisting of Deputy Head Boy and Deputy Head Girl, Prefects, and House Captains.

Unlike many traditional student governments, CP's model plays an important school role in creating and maintaining school culture. Student Government helps with hallway management, mentoring, and student behavior. The most important function of Student Government is the planning and delivery of the weekly Friday All School Morning Meeting (Community Meetings). Here they address issues that impact the student body, celebrate individual and group success (shout outs for staff and students) recognizing the excellence in one another, share social justice topics and issues, bring in speakers, and connect with the other CPS schools through video conferencing. Student Government also uses this time to speak about issues that impact culture, such as the condition of the bathrooms or language decorum. Each All School ends with a competition among the Four Houses to earn points in a quest to win the House Cup, which is awarded to the House with the most points at the end of the year. Some of the activities are fashioned as House Feud's, which simulates Family Feud and lip sync competitions involving staff and students. These games help students come closer and build community.

Staff and student relationships are critical to the development of a positive school culture. Equally important is the relationships between students and developing students as leaders. The underlying goal is for the Capital Prep students is to have the skills to solve their own problems, create a school that is safe, caring and pushes them to become active and engaged citizens of the future.

Student Behavior Management and Discipline: At CP Bronx, the expectation is that students are behaved and exhibit proper school behavior. In the unfortunate case a student chooses to misbehave, the teacher will address minor misbehaviors and the teacher will inform the parent/guardian. In the event that the student repeats the violation, the administrator may assign a more serious consequence. In extreme cases of more serious misbehavior (fighting, theft, etc.), the designated administrator will immediately address the behavior, and parents/guardians will be informed of such serious misbehaviors and their consequences. Without limiting the above statement, rules and procedures by which students may be disciplined, including but not limited to expulsion or suspension from the school, and examples of expectations regarding student conduct, are found in Student Discipline Policy and conform

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with applicable due process requirements and DASA. Appropriate discipline measures for students with IEPs/Section 504 Plans will be followed in accordance with their plans, and state and federal mandates. To ensure staff, students and parents are aware of all expected standards of behavior; the discipline code will be distributed at the beginning of every school year.

Strong Family Involvement and Communication: CP Bronx's educational philosophy holds that parent engagement is critical to ensuring the school's connection with the whole child, which enhances the school's ability to support each student's specific needs. The CPS model's framework for parent involvement is aligned with the six elements of school-family partnerships (parents, communication, volunteering, learning at home, decision-making and collaborating with the community) promoted by Joyce Epstein of Johns Hopkins University to help all students succeed in school. The CPS model is designed to promote and facilitate a high level of parent engagement both at the individual student level and in the governance and operation of the school. As discussed throughout this application, fundamental to the CPS model being implemented in the school are structures that promote parental involvement and communication to further student achievement. Such structures include the Advisory system that promotes bi-weekly communication with parents about student progress, parent participation in Student-Led Conferences, and engagement of parents in SAT meetings. In addition, teachers are encouraged to have regular and consistent communication with parents and each teacher's Academic Center schedule is disseminated both to students and their parents to allow families to plan according to students' needs. School sponsored parent/student activities, including opportunities for parents to volunteer at the school, are shared and posted on the school website and parents will be encouraged to attend at least five school-sponsored events annually. Staff also collaborates with the Parent Teacher Organization and administration to provide informational sessions and activities to address parent areas of concern and provide school-based information. The school will distribute to parents and students a Parent and Student Handbook that details the rules, guidelines, and expectations for students at the school. The Handbook will also be available on the school's website. CP Bronx will also hold open houses and a new parent orientation to welcome new families into our community.

Community Connections: The vision of the CPS model is to function as a hub through which existing community resources are coordinated to create a wrap-around network of services to support the school's educational program and meet the needs of its students and families. In support of this vision, the priority is to cultivate deep roots in the community the school serves through parent and community outreach efforts, community mapping and the development of meaningful relationships with service providers, academic supports and enrichment partners in the area. In addition, because of the CPS model's social justice theme, there is a substantial effort on the part of CPS and the school to establish relationships with a range of organizations that will serve as potential SJP placements for students, including non-profit organizations, for-profit corporations and government. Moreover, in order to allow CP Bronx students early-access to college level courses and exposure to post-secondary culture, CPS and the founding team will diligently pursue a strong relationship with a local community college.

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The process of deepening and expanding the school's relationships with service providers, academic supports and enrichment partners in the area will be continuous throughout the life of the school. In furtherance of the mission and vision of the school, the depth and breadth of community partnerships provide opportunities for the type of real-world experiences CP Bronx students will be expected to pursue, such as internships, community service and action-research projects. As such, CP Bronx students themselves will contribute greatly in the process of deepening the school's ties in the community.

Gauging Satisfaction with School Climate: CP Bronx will formally evaluate its stakeholders' perception of the school climate annually through the NYCDOE School Survey distributed to parents, school staff and students. The survey asks for feedback from these stakeholders in six categories including Trust, Strong Family-Community Ties and Supportive Environment. CP Bronx will comply with VADIR data collection requirements and disciplinary data reported to NYSED will become a part of the school's Annual Report Card. The Social Worker will keep a record of all student disciplinary incidents. In addition, discipline data is analyzed, including disaggregating by gender and ethnicity to look for patterns of disparate impact, to determine consistency across teachers and grades and identify topics for staff development. The school also meets regularly to analyze school-wide behavioral and disciplinary data and evaluate the school environment to ensure it is safe and conducive to learning.

CAPITAL PREPARATORY BRONX CHARTER SCHOOL

STUDENT CODE OF CONDUCT AND DISCIPLINE POLICY

To ensure that an environment is created where teaching and learning can thrive, the Capital Preparatory Bronx Charter School (“CPB” or the “School”) has developed a series of rules that address proper student behavior, maintenance of order within the School and while people are engaged in school activities, and a statement of student rights and responsibilities (the “Discipline Policy”).

School staff will ensure that parents and students are well informed of these policies before enrollment, at the time that students’ sign up for entry into the School, and as changes are made throughout the school year. As such, students will not be surprised about what type of behavior is expected from them, and parents will be reassured about the type of classroom environment that will be maintained in CPB.

It is critical that students, faculty and staff have a full understanding of the School’s discipline policy, are clear on recognizing situations in which students’ behavior is in proper accordance with the policy and when the policy has been violated, and are versed in the various procedures and policies surrounding varying degrees of infractions of the policy. All staff will be provided with professional development on school discipline issues, in particular implementing the discipline policy as well as implementing overall consistent and effective behavior management and discipline strategies in the classroom and in the greater School community. Staff will be provided with training in this area as close to the start of the school year as possible or shortly upon their engagement with the School, if they are hired during the school year. Follow-up training throughout the year will be provided if deemed necessary.

The Discipline Policy sets forth the CPB’s policy regarding how students are expected to behave when participating in School activities- on and off School grounds- and how the School will respond when students fail to behave in accordance with these rules.

In all disciplinary matters, students will be given notice and will have the opportunity to present their version of the facts and circumstances leading to the imposition of disciplinary sanctions to the staff member imposing such sanctions. Depending on the severity of the infraction, disciplinary responses include, but are not limited to, suspension (short or long term), detention, exclusion from extracurricular activities, and expulsion. Where appropriate, School officials also will contact law enforcement agencies.

CODE OF CONDUCT

CPB's Code of Conduct states that all students, staff and community members are expected to:

- Speak and act honestly and openly, with kindness and respect for others;
- Support each other's learning and creativity;
- Solve for problems cooperatively within the community;
- Take care of one another's property, including their own;
- Avoid reckless behavior, especially any that might endanger members in the school community; and
- Attend school regularly and be on time for classes and school events.

CPB recognizes that the best way for the community to support students to make safe, positive choices when handling conflicts is to model the correct behavior. All members of the CPB community are expected to be respectful in our interactions with each other. Families are encouraged to schedule a meeting with their child's classroom teacher in the event of a problem or disagreement. If the problem persists, the Principal may contact the family. The Principal is ultimately responsible to resolve any issue that cannot be addressed by other staff members. If you wish to discuss a matter with the Principal, you should schedule an appointment with him or her through the appropriate process.

I. Student Responsibility:

CPB believes that disciplinary issues are learning opportunities for students. CPB's goal is to teach students to learn how to be responsible for the well-being of themselves and others, based on the following expectations:

- Students are respectful to all members of the community;
- Students take responsibility for their choices and actions;
- Students accept the rewards/consequences of their choices and actions;
- Students work to make amends for breaking school rules and any actions that contradict the School's Discipline Policies and core values; and
- Students reflect on their experiences and learn lessons from poor choices or actions.

II. Conflict Resolution:

CPB's conflict resolution program is intended to support students as they are taught to deal with their own emotions and the emotions of others. CPB works to ensure that students have the necessary skills to solve conflicts in a nonviolent way. This approach to discipline helps students recognize that they have obligations to their own learning and the CPB community.

III. Dignity For All Students Act Policy:

CPB and its Board of Trustees (the "Board") are committed to providing a safe and productive learning environment within the School. In accordance with New York State's Dignity for All Students Act ("DASA"), CPB is committed to promptly addressing incidents of harassment and/or discrimination of students that impede students' ability to learn. This includes bullying, taunting, or intimidation in all their myriad forms.

Students' Rights

No student shall be subjected to harassment by staff or students on School property or at a School function. Nor shall any student be subjected to discrimination based on the student's actual or perceived race, color, weight, national origin, ethnic group, religion, religious practice, disability, sexual orientation, gender, or sex by CPB employees or students on School property or at School functions.

In addition, CPB reserves the right to discipline students, consistent with the Discipline Policy, who engage in harassment of students off School property under circumstances where such off-campus conduct: 1) affects the educative process; 2) actually endangers the health and safety of CPB students within the educational system; or 3) is reasonably believed to pose a danger to the health and safety of CPB students. This includes written and/or verbal harassment which materially and substantially disrupts the work and discipline of CPB and/or which CPB officials reasonably foresee as being likely to materially and substantially disrupt the work and discipline of CPB.

Dignity Act Coordinator

CPB designates the School's Social Worker as the Dignity Act Coordinator (the "DAC"). The DAC is trained to handle human relations in the areas of race, color, weight, national origin, ethnic group, religion, religious practice, disability, sexual orientation, gender, and sex. The DAC will be accessible to students and other employees for consultation and advice.

Reporting and Investigating

Personnel at all levels are responsible for reporting harassment of which they have been made aware to their immediate supervisor. Any student who believes that he or she is being subjected to harassment, as well as any other person who has knowledge of or witnesses any possible occurrence of harassment, shall report the harassment to any staff member or to the DAC. A staff member who witnesses harassment or who receives a report of harassment shall inform the DAC. The DAC, or their designee, shall promptly investigate the complaint and take appropriate action to include, as necessary referral to the next level of supervisory authority and/or other official designated by CPB to investigate allegations of harassment. Follow-up inquiries and/or appropriate monitoring of the alleged harasser and victim shall be made to ensure that harassment has not resumed and that those involved in the investigation of the allegations of harassment have not suffered retaliation.

Material incidents of discrimination and harassment on School grounds or at a School function will be reported to the State Education Department as required by law.

No Retaliation

CPB and its Board prohibit any retaliatory behavior directed against complainants, victims, witnesses, and/or any other individuals who participate in the investigation of allegations of harassment. All complainants and those who participate in the investigation of a complaint in conformity with state law and CPB policies, who have acted reasonably and in good faith, have the right to be free from retaliation of any kind.

DISCIPLINE POLICY

I. Infractions and Range of Possible Disciplinary Responses

| Level #1 Infractions (Insubordinate Behavior) | Range of Possible Disciplinary Responses |
|---|---|
| <ol style="list-style-type: none">1. Being late to school2. Bringing prohibited equipment to school without authorization (cell phones, mp3 players, toys, electronic devices)3. Failing to be in one's assigned place on school premises (staying within your classroom/in your assigned spot).4. Behaving in a manner which disturbs the education process (e.g., making excessive noise verbally and physically, singing when inappropriate, interruptions, calling-out, humming, in the classroom and in the hallway, etc.)5. Engaging in verbally rude or disrespectful behavior (to both teachers and peers: talking back when given a direction, name-calling, mimicking, harassing, teasing, taunting, etc.)6. Wearing clothing or other items that are unsafe or disruptive to the educational process (not wearing uniform, wearing non-school regulated street clothes, not wearing closed-toed shoes, etc.)7. Posting or distributing material on school premises in violation of written School rules.8. Using school computers, faxes, telephones, or other electronic equipment without permission.9. Using or touching other people's property without permission (both teachers' and peers' property, belongings, equipment, supplies, etc.) | <ol style="list-style-type: none">1. Admonishment by school staff2. Student/teacher conference3. Reprimand by appropriate supervisor (e.g., Principal, teacher)4. Parent conference5. In-school disciplinary action (e.g., exclusion from extracurricular activities, recess, or communal lunchtime)6. Removal from classroom by teacher (After a student is removed from a classroom by any teacher three (3) times during a semester, Principal's suspension must be sought if the student engages in subsequent behavior that would otherwise result in removal by a teacher) |

| Level #2 Infractions (Disorderly, Disruptive Behaviors) | Range of Possible Disciplinary Responses |
|--|---|
| <ol style="list-style-type: none"> 1. Smoking 2. Gambling 3. Using profane, obscene, vulgar, lewd, or abusive, language or gestures 4. Lying, or giving false information to school personnel 5. Misusing property belonging to others (including breaking, destroying, ripping, etc.). 6. Engaging in or causing in disruptive behavior on the school bus, causing safety issues to the driver, students, and self. 7. Leaving class or school premises without permission of supervising school personnel. 8. Engaging in inappropriate or unwanted physical contact (poking, pinching, tapping, throwing of objects, etc.). 9. Violating CPB's Internet use policy, e.g., use of the school's system for non-educational purposes, security/privacy violations 10. Engaging in scholastic dishonesty which includes: cheating, plagiarizing, colluding, copying, etc. 11. Plagiarizing (appropriating someone's work and using it as one's own for credit without required citation and attribution.) 12. Colluding (engaging in fraudulent collaboration with another person in preparing written work for credit.) 13. Engaging in a pattern of persistent Level 1 behavior (whenever possible and appropriate, prior to imposing a Level 2 disciplinary response, School should have exhausted the disciplinary responses in Level 1 infractions) | <ol style="list-style-type: none"> 1. Admonishment by school staff 2. Student/teacher conference 3. Reprimand by appropriate supervisor (e.g., Principal, teacher) 4. Parent conference 5. In-school disciplinary action (e.g., exclusion from extracurricular activities, recess, or communal lunchtime) 6. Removal from classroom by teacher (After a student is removed from a classroom by any teacher three times during a semester, Principal's suspension must be sought if the student engages in subsequent behavior that would otherwise result in removal by a teacher) 7. Short term suspension (1-5 days) |

| <p align="center">Level #3 Infractions (Seriously Disruptive or Dangerous Behaviors)</p> | <p align="center">Range of Possible Disciplinary Responses</p> |
|---|---|
| <ol style="list-style-type: none"> 1. Being insubordinate; defying or disobeying the lawful authority of school personnel or school safety agents. 2. Using slurs based upon race, ethnicity, color, national origin, religion, gender, sexual orientation, or disability. 3. Fighting/engaging in physical aggressive behavior (hitting, punching, spitting, kicking, hitting with an object, etc.). 4. Bringing unauthorized visitors to school or allowing unauthorized visitors to enter school in violation of written school rules. 5. Engaging in theft or knowingly possessing property belongings to another without authorization. 6. Engaging in inappropriate or unwanted physical contact* 7. Tampering with, changing or altering a record or document of a school by any method, including, but not limited to, computer access or any electronic means. 8. Posting or distributing libelous or defamatory material or literature or material containing a threat of violence, injury or harm. (Disciplinary responses 3-8 only) 9. Engaging in vandalism or other intentional damage to school property, staff property, or others; including student bathrooms. (Disciplinary responses 3-8 only) 10. Falsely activating a fire alarm or other disaster alarm or making a bomb threat. (Disciplinary responses 3-8 only) 11. Engaging in gang related behavior** (e.g., wearing gang apparel, writing graffiti, making gestures or signs) (Disciplinary responses 4-8 only) | <ol style="list-style-type: none"> 1. Admonishment by school staff 2. Student/teacher conference 3. Reprimand by appropriate supervisor (e.g., Principal) 4. Parent conference 5. In-school disciplinary action (e.g., exclusion from extracurricular activities, recess or communal lunchtime) 6. Removal from classroom by teacher(After a student is removed from any classroom by any teacher three times during a semester, a Principal’s suspension must be sought if the student engages in subsequent behavior that would otherwise result in removal by a teacher) 7. Short term suspension (1-5 days) 8. Long term suspension (6-10 days) |

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| <p>12. Engaging in a pattern of persistent Level 2 behavior (Whenever possible and appropriate, prior to imposing a Level 3 disciplinary response, school officials should have exhausted the disciplinary responses in Level 2. Further, repeated Level 2 infractions are limited to Level 3 disciplinary responses.) (Disciplinary responses 4-8 only)</p> | <p>*The school will offer appropriate counseling to students engaging in this behavior **In determining whether the behavior is gang related, school officials may consult with the New York City’s Office of School Safety and Planning’s Gang Unit or the New York Police Department</p> |
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| Level #4 Infractions (Dangerous or Violent Behavior) | Range of Possible Disciplinary Responses |
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| <ol style="list-style-type: none"> 1. Engaging in intimidation, coercion or extortion or threatening violence, injury, harm or retaliation to another or others. 2. Engaging in behavior that creates a substantial risk of or results in injury. 3. Engaging in intimidating and bullying behavior-threatening, stalking or seeking to coerce or compel a student or staff member to do something; engaging in verbal or physical conduct that threatens another with harm, including intimidation through the use of epithets or slurs involving race, ethnicity, national origin, religion, religious practice, gender, sexual orientation or disability. 4. Engaging in sexual harassment* (to peers or school staff). 5. Possessing illegal drugs, alcohol or controlled substances without appropriate authorization.* 6. Engaging in threatening, dangerous or violent behavior that is gang-related. (Disciplinary responses 4-6 only) 7. Participating in an incident of group violence. (Disciplinary responses 4-6 only) 8. Threatening while on school property, to use any instrument that appears capable of causing physical injury. (Disciplinary responses 4-6 only) 9. Engaging in behavior on the school bus that creates a substantial risk of injury or results in injury. (Disciplinary responses 4-6 only) | <ol style="list-style-type: none"> 1. Parent conference 2. In-school disciplinary actions (e.g., exclusion for extracurricular activities, recess or communal lunchtime) 3. Removal from classroom by any teacher. (After a student is removed from any classroom by any teacher three times during a semester or twice in a trimester, a Principal’s suspension must be sought if the student engages in subsequent behavior that would otherwise result in a removal by a teacher.) 4. Short term suspension (1-5 days) 5. Long term suspension (6-10 days) 6. Expulsion |

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| <p>10. Engaging in physical sexual aggression/compelling or forcing another to engage in sexual activity. * (Disciplinary responses 4-6 only)</p> <p>11. Committing arson. (Disciplinary responses 4-6 only)</p> <p>12. Inciting/causing a riot. (Disciplinary responses 4-6 only)</p> <p>13. Possessing any weapon as defined in Category I or II.** (Disciplinary responses 4-6 only)</p> <p>14. Using illegal drugs, alcohol or controlled substances without appropriate authorization.*(Disciplinary responses 4-6 only)</p> <p>15. Engaging in a pattern of persistent Level 3 behavior (Whenever possible and appropriate, prior to imposing a Level 4 disciplinary response, school officials should have exhausted the disciplinary responses in Level 3. Further, repeated Level 3 infractions are limited to Level 4 disciplinary responses</p> | <p>*The school should offer appropriate counseling to students who engage in this behavior</p> <p>**Before requesting a suspension for possession of an article listed in Category II for which a purpose other than infliction of physical harm exists, e.g., a nail file, the Principal must consider whether there are mitigating factors present. In addition, the Principal must consider whether an imitation gun is realistic looking by considering factors such as its color, size, shape, appearance and weight.</p> |
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| <p>Level #5 Infractions (Seriously Dangerous or Violent Behavior)</p> | <p>Range of Possible Disciplinary Responses</p> |
|--|---|
| <p>1. Using force against or inflicting or attempting to inflict serious injury against school personal or school safety agents.</p> <p>2. Using extreme force against or inflicting or attempting to inflict serious injury upon students or others.</p> <p>3. Selling or distributing illegal drugs or controlled substances. *</p> <p>4. Possessing any weapon, other than a firearm, as defined in Category I.</p> <p>5. Using any weapon as defined in Category II to attempt to inflict injury upon school personnel, students or others.</p> <p>6. Using any weapon, other than a firearm, as defined in Category I or II to inflict injury or Category I to attempt to inflict injury upon school personnel, students or others.</p> | <p>1. Short term suspension (1-5 days)</p> <p>2. Long term suspension (6-10 days)</p> <p>3. Expulsion</p> <p>*The school should offer appropriate counseling to students who engage in this behavior</p> <p>**Before requesting a suspension for possession of an article listed in Category II for which a purpose other than infliction of physical harm exists, e.g., a nail file, the Principal must consider whether there are mitigating factors present. In addition, the Principal must consider whether an imitation gun is realistic looking by</p> |

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| 7. Possessing or using a firearm (I only)** | considering factors such as its color, size, shape, appearance and weight. |
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| Prohibited Weapons – Category 1 | Prohibited Weapons – Category 2 |
|---|---|
| <ul style="list-style-type: none"> • Firearm, including pistol and handgun, silencers, electronic darts and stun gun; • Shotgun, rifle, machine gun, or any other weapon which simulates or is adaptable for use as a machine gun; • Air gun, spring gun, or other instrument or weapon in which the propelling force is a spring or air, and any weapon in which any loaded or blank cartridge may be used (such as a BB gun); • Switchblade knife, gravity knife, pilum ballistic knife; and cane sword (a cane that conceals a knife or sword); • Dagger, stiletto, dirk, razor, box cutter, utility knife and other dangerous knives; • Billy club, blackjack, bludgeon, chukka stick, and metal knuckles; • Sandbag and sandclub; • Sling shot (small heavy weights attached to or propelled by a thong) and slung shot; • Martial arts objects including king fu stars, nun-chucks, and shirkens; • Explosives, including bombs, firecrackers and bombshells. | <ul style="list-style-type: none"> • Acid or deadly or dangerous chemicals; • Imitation gun; • Loaded or blank cartridges and other ammunition; • Stink bombs; • Stun pens; • Any deadly, dangerous, or sharp pointed instrument that can be used or is intended for use as a weapon (such as scissors, nail file, broken glass, chains, wire, laser beam, pointers). |

II. Levels of Suspension & Due Process Procedures

A. SHORT TERM SUSPENSION

A short-term suspension refers to an in-school removal or out-of-school removal of a student for disciplinary reasons for a period of five (5) or fewer days. A student who has committed a Level 2, 3, 4, or 5 infraction may be subject minimally to a short-term suspension, unless the Principal determines that an exception should be made based on the individual circumstances of the incident and the student's disciplinary record. The Principal reserves the right to adjust the punishment for each infraction per his or her judgment.

Procedures and Due Process for Short Term Suspension

The Principal may impose a short-term suspension, and shall follow due process procedures consistent with federal case law pursuant to *Goss v. Lopez* (419 U.S. 565). Before imposing a short term suspension, or other, less serious discipline, the Principal shall provide notice to inform the student of the charges against him or her, and if the student denies the charges, an explanation of the evidence against the student. A chance to present the student's version of events shall also be provided.

Before imposing a short-term suspension, the Principal shall immediately notify the parents or guardian in writing that the student may be suspended from school. Written notice of the decision to impose suspension shall be provided by personal delivery or express mail delivery within 24 hours at the last known address(es) of the parents or guardian. Where possible, notification also shall be provided by telephone. Such notice shall provide a description of the incident(s) for which suspension is proposed and shall inform the parents or guardian of their right to request an immediate informal conference with the Principal. Such notice and informal conference shall be in the dominant language or mode of communication used by the parents or guardian. The parents or guardian of the student and the student shall have the opportunity to present the student's version of the incident and to ask questions of the complaining witnesses. Such notice and opportunity for an informal conference shall take place prior to the suspension of the student unless the student's presence in the school poses a continuing danger to persons or property or an ongoing threat of disruption to the academic process, in which case the notice and opportunity for an informal conference shall take place as soon as possible after the suspension as is reasonably practicable.

The Principal's decision to impose a short-term suspension may be appealed by the parent(s) or guardian in accordance with CPB's Complaint Policy, contained in the Student Handbook, accessible on the School's website and available in hard copy from the School's Office upon request .

B. LONG TERM SUSPENSION/EXPULSION

A long-term suspension refers to the removal of a student from school for disciplinary reasons for a period of more than five (5) days. Expulsion refers to the permanent removal of a student from school for disciplinary reasons. A student who is determined to have committed any Level 3, 4, or 5 infraction may be subject to a long-term suspension or expulsion, unless the Principal determines that an exception should be made based on the circumstance of the incident and the student's disciplinary record. Such 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.

A student who commits any of the acts previously described as causes for short term-suspension may, instead or in addition, be subject to a long-term suspension in the Principal's reasonable discretion if the student has committed the act at least three (3) times in the academic year or if the Principal shall otherwise reasonably determine that subject a student to a long-term suspension is reasonable and warranted.

Procedures and Due Process for Long Term Suspension

The Principal may impose a long-term suspension. Such a suspension may be imposed only after the student has been found guilty at a formal suspension hearing. In extreme circumstances, the Principal may expel the student from school. Upon determining that a student's action warrants a possible long-term suspension, the Principal shall verbally inform the student that he or she is being suspended and is being considered for a long-term suspension (or expulsion) and state the reasons for such actions. The Principal also shall immediately notify the student's parent(s) or guardian(s) in writing. Written notice shall be provided by personal delivery, express mail delivery, or equivalent means reasonably calculated to assure receipt of such notice within 24 hours of suspension at the last known address. Where possible, notification also shall be provided by telephone if the school has been provided with a contact telephone number for the parent(s) or guardian(s). Such notice shall provide a description of the incident or incidents that resulted in the suspension and shall indicate that a formal hearing will be held on the matter that may result in a long-term suspension (or expulsion). The notification provided shall be in the dominant language used by the parent(s) or guardian(s). At the formal hearing, the student shall have the right to be represented by counsel, question witnesses, and present evidence.

If the Principal initiates the suspension proceeding, he or she shall personally hear and determine the proceeding or may, in his or her discretion, designate a hearing officer to conduct the hearing. The hearing officer's report shall be advisory only and the Principal may accept or reject all or part of it. The Principal's decision to impose a long-term suspension or expulsion may be challenged by the parent or guardian through an appeal process to the Board of Trustees the details of which shall be determined. NOTE: In any instance where the Principal is directly involved in the instance(s) at issue for a suspension or expulsion, the Principal shall appoint a designee to handle any investigation, hearing and determination.

III. Firearm Violations

Federal and New York law require the expulsion from school for a period of not less than one (1) 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 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 of 1994 (as amended). "Weapon," as used in this law means a "firearm," as defined by 18 USC § 921, and includes firearms and explosives. (New York Education Law §3214 effectuates this federal law.) The following are included within this definition: (a) Any device, instrument, material, or substance that is used for or is readily capable of causing death or serious bodily injury. Knives with a blade of two and half inches or more in length fall within this definition; (b) Any weapon (including a starter gun) which will or is designed to or may readily be converted to expel a projectile by the action of an explosive; (c) the frame or receiver of any weapon

described above; (d) Any firearm muffler or firearm silencer; (e) Any destructible device, which is defined as any explosive, incendiary, or poison gas, such as a bomb, grenade, rocket having a propellant charge of more than four ounces, a missile having an explosive or incendiary charge of more than one-quarter ounce, a mine, or other similar device.

The Principal shall refer a student under the age of sixteen (16) 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 except a student fourteen (14) or fifteen (15) years of age who qualifies for juvenile offender status under Criminal Procedure Law § 1.20(42). The Principal shall refer any pupil sixteen (16) years of age or older or a student fourteen (14) or fifteen (15) years of age who qualifies for juvenile offender status under Criminal Procedure Law § 1.20(42), who has been determined to have brought a weapon or firearm to school to the appropriate law enforcement officials.

IV. Provision of Instruction During Removal

CPB will ensure that alternative educational services are provided to a child who has been suspended or removed to help that child progress in the school's general curriculum. For a student who has been suspended, alternative instruction will be provided to the extent required by applicable law. For a student who has been expelled, alternative instruction will be provided in like manner as a suspended student until the student enrolls in another school for a reasonable period thereafter or until the end of the school year.

Alternative instruction will be provided to students suspended or expelled in a way that best suits the needs of the student. Instruction for such students shall be sufficient to enable the student to make adequate academic progress, and shall provide them the opportunity to complete the assignments, learn the curriculum and participate in assessments. Instruction will take place in one of the following locations: the child's home, a contracted facility (e.g., in the school district of location), or a suspension room or other room at the school. During any removal for drug or weapon offenses, additional services shall include strategies designed to prevent such behavior from recurring. Instruction will be provided by one or more of the following individuals who shall be certified or qualified in accordance with § 2854(3)(a-1) of the Education Law and the federal *No Child Left Behind* Act: the student's teacher(s), aides or trained volunteers, individuals within a contracted facility, and/or a tutor hired for this purpose.

V. SEARCH AND SEIZURE

A student and/or the student's belongings may be searched by a school official if the official has a reasonable suspicion to believe that a search of that student will result in evidence that the student violated the law or a school rule. Items which are prohibited on school property, or which may be used to disrupt or interfere with the educational process, may be removed from the student by school authorities and returned to parents at the school or turned over to law enforcement as appropriate.

All school-related property always remains under the control of the School and is subject to search at any time. School-related property includes but is not limited to computers, lockers, cabinets, desks, bookcases, buses and other vehicles and items controlled or directed by school officials in the support of educational-related programs or activities. The school is not responsible for books, clothing, or valuables left in lockers or desks. A student shall not place or keep in a locker, desk or other school-related property any article or material which is of a non-school nature and may cause or tend to cause the disruption of the mission of the school. The following rules will apply to the search of school property assigned to a specific student and the

seizure of illegal items found therein:

- School authorities will make a reasonable search of a student's locker, desk, or other school-related property only when there is reasonable suspicion that a student is in possession of an item which is prohibited on school property or which may be used to disrupt or interfere with the educational process
- Searches shall be conducted under the authorization of the Principal or his/her designee
- Items which are prohibited on school property, or which may be used to disrupt or interfere with the educational process, may be removed by school authorities
- Searches of an individual will be made on individual suspicion of wrongdoing. To the extent practicable, searches of an individual will be conducted in private by a school official of the same sex and with another witness present
- Searches of students and school property may be conducted on school grounds or whenever the student is involved with or attending a school sponsored or related function, whether it is on school grounds or not

VI. DRESS CODE

We are honored and privileged at CPB to have uniforms. All students are required to wear the school-designated attire. Only articles of clothing that are part of the Capital uniform can be worn. The uniform ensemble must be worn from entrance to and exit from school building on school days, Monday-Friday.

The school uniform must be purchased from an approved uniform vendor. Further, crests cannot be sewn on, patched or otherwise attached to pants, shirts, sweaters or blazers to give the appearance that the garment is a CPB uniform. A student with such an augmentation is out of uniform and is therefore responsible for appropriate corrections including but not limited to purchase of the appropriate school uniform. Finally, it is the responsibility of the student to ensure that their uniform is in good condition at all times. Holes and tears must be repaired or the garment replaced. Discoloration, as a result of overuse or improper care, may render the garment below CPB standards and cannot be worn to school. When discoloration occurs, the family must commit to correcting and/or replacing the garment

Unadorned hair ties may be worn, but must be singular in nature and be no wider than ½". The only acceptable color worn will be black. All metal hair controlling devices must be unadorned and metallic in color.

BOYS will all wear khaki dress pants, white shirts with school crest, black dress shoes, black belt, black dress socks, ties and blazers or vest that are sold by each CPB school vendor.

- White shirt: All shirts will have the schools crest emblazoned on the left chest and will be worn buttoned from bottom to top button, tucked in neatly. No long sleeved, colored garments should be worn under the shirts. All undershirts should be white without writing.
- Khaki pants, emblazoned with the crest on the right front pocket worn waist high, with black belt (no excessive holes, studs or braiding). Belts with nametag or oversized buckles are not allowed.

- Ties: Worn tight and comfortably beneath the shirt collar.
- Dress Socks: Must be at least calf length, and must be monotone. They may only be black in color.
- Blazers (HS), Navy Blue Sweaters/Vests (MS) must be emblazoned with the School's crest and be worn at all times while in the hallways and areas visible outside of the classroom environment; including during field trips. Nothing may be worn under a blazer except for white shirt and undershirt. All Blazers and sweaters/vests are required to be in wearable (no holes or rips) condition and to have all the buttons secured.

GIRLS will all wear khaki dress pants or skirts, black dress shoes and jackets or sweaters that are sold by each CPB school vendor. Girls may wear a tie

- White Blouse (MS and HS): All blouses will have the School's crest emblazoned on the left chest and will be worn buttoned from bottom to top button (when tie is worn) or with only top button undone otherwise. No long sleeved, colored garments should be worn under the short-sleeved shirts. All undershirts should be white without writing.
- Khaki pants emblazoned with the crest on the front right pocket worn waist high, with flat black belt (no excessive holes, studs or braiding). Belts with nametag or oversized buckles are not allowed.
- Skirt: must be worn with full length stockings at all times and touch the knee when standing.
- Stockings: Must be at least calf length, and must be monotone. They may only be black in color.
- Blazers (HS), Navy Blue Sweaters/Vests (MS) must be emblazoned with the School's crest and be worn at all times while in the hallways and areas visible outside of the classroom environment; including during field trips. Nothing may be worn under a blazer except for white shirt and undershirt. All Blazers and sweaters/vests are required to be in wearable (no holes or rips) condition and to have all the buttons secured
- Greys: A 'greys' uniform will be required for participation in middle school gym, field trips and/or any community service activity where the school uniform would be inappropriate. 'Greys' include grey sweat pants, grey short sleeved t-shirt and grey hoodie all screened with a CPB insignia. 'Greys' will be sold by each CPB school vendor.
- Accessories: Students may only wear silver or gold metal knob earrings no larger than a pencil eraser, watches on their wrists, and prescription glasses as an accessory to their uniform.

General Terms:

- Any item in violation of the dress code will be confiscated and returned to parents in person.
- Backpacks and/or book bags are permitted to be carried between classes, but should not pose an obstruction to safe passage in the classroom or in the corridors.

- Students wishing to wear clothing or jewelry observing their religion must submit a written request from their parent/guardian before wearing such items to school.
- Administration must be notified of any exception to the uniform rule due to medical reasons. This notification must be accompanied by a note describing the modification and reasoning by a medical professional.
- Consequences for not wearing the appropriate uniform during the school day will be as follows:
 - 1st offense: Warning
 - 2nd offense: Meeting with principal – detention
 - 3rd offense: Meeting with Principal and morning Detention
 - 4th offense: Meeting with Principal, morning Detention, sent home for the day, and meeting with parents to discuss student’s return to school.
 - Each subsequent offense will result in a one-day out of school suspension.
- **Repeated violations of the School’s Dress Code shall subject students to additionally disciplinary measures (including suspension and expulsion) as set forth in the School’s Discipline Policy**

Students wishing to wear clothing for religious purposes must submit a written request from their parent/guardian before September 1st of each year.

VII. FREEDOM OF EXPRESSION

Students are entitled to express their personal opinions verbally, in writing, or by symbolic speech. The expression of such opinions, however, shall not interfere with the freedom of others to express themselves, and written expression of opinion must be signed by the author. Any form of expression that involves libel, slander, the use of obscenity, or personal attacks, or that otherwise disrupts the educational process, is prohibited. All forms of expression also must be in compliance with the student disciplinary policy and the school dress code, violations of which are punishable as stated in the disciplinary policy.

Student participation in the publication of school-sponsored student newsletters, yearbooks, literary magazines and similar publications is encouraged as a learning and educational experience. These publications, if any, shall be supervised by qualified faculty advisors and shall strive to meet high standards of journalism. In order to maintain consistency with the school's basic educational mission, the content of such publications is controlled by school authorities.

No person shall distribute any printed or written materials on school property without the prior permission of the Principal. The Principal may regulate the content of materials to be distributed on school property to the extent necessary to avoid material and substantial interference with the requirements of appropriate discipline in the operation of the school. The Principal may also regulate the time, place, manner and duration of such distribution.

VIII. OFF-CAMPUS EVENTS

Students at school-sponsored off-campus events shall be governed by all the guidelines of the school and are subject to the authority of school officials. Failure to obey the lawful instructions of school officials

shall result in a loss of eligibility to attend school-sponsored off-campus events and may result in additional disciplinary measures in accordance with the student disciplinary policy.

IX. STUDENT RECORDS

CPB will maintain written records of all suspensions and expulsions including the name of the student, a description of the behavior engaged in, the disciplinary action taken, and a record of the number of days a student has been suspended or removed for disciplinary reasons. CPB will comply with NYSED's VADIR data collection requirements and disciplinary data and submit that information to NYSED by required deadlines.

Charter schools are subject to the federal Family Education Rights and Privacy Act of 1974 (FERPA) that requires a school to protect a student's privacy. CPB will not disclose any information from the student's permanent records except as authorized pursuant to FERPA, or in response to a subpoena, as required by law. The parent(s) or guardian(s) of a student under 18 years of age, or a student 18 years of age or older, is entitled to access to the student's school records by submitting a written request to the Principal. Further information concerning the disclosure of student information and limitations on such disclosure may be found in FERPA and the school's FERPA policy.

X. DISCIPLINARY POLICY FOR STUDENTS WITH DISABILITIES

In addition to the discipline procedures applicable to all students, CPB shall implement the following disciplinary policy procedures with respect students with disabilities. A student not specifically identified as having a disability but whose school district of residence or charter school, prior to the behavior which is the subject of the disciplinary action, has a basis of knowledge—in accordance with 34 CFR 300.527(b)—that a disability exists will be disciplined in accordance with these provisions. CPB shall comply with sections 300.519-300.529 of the Code of Federal Regulations (CFR) and the following procedures, except that in the event that the following procedures are inconsistent with federal law and regulations, such federal law and regulations shall govern.

If a student violates the School's discipline code and is being considered for a suspension or removal, the School must ensure the following due process protections are provided to the student and to the student's parent(s) in addition to those set forth in the regular education discipline code. For suspensions of five (5) school days or less, the student's parent(s) or guardian must be provided with a written notice, and a follow up telephone call if possible, within 24 hours of the incident leading up to the suspension which describes the basis for the suspension and explains that the parent or guardian has the right to request an informal conference with the Principal and appropriate staff to discuss the incident and question any complaining witness against the student. For suspensions in excess of five (5) consecutive school days, the student's parent(s) or guardian must be provided with a written notice which indicates that the School proposes to suspend the student from school in excess of five consecutive school days, describes the basis for the proposed suspension, explains that the student has an opportunity for a fair hearing conducted by the Principal or his or her designee at which the student will have a right to question any witnesses accusing him/her of committing the misconduct charge and to present witnesses on his/her behalf. Where possible, notification must also be provided by telephone. In addition, the School must provide alternative education to the student during the suspension as set forth below, including any special services required by the Individualized Education Program (IEP) prepared by the student's Committee on Special Education (CSE) of their district of residence. Final determination on a suspension or removal of a student, following due process, shall be made by the Principal.

CPB shall maintain written records of all suspensions and expulsions of students with a disability including the name of the student, a description of the behavior engaged in, the disciplinary action taken, and a record of the number of days a student has been suspended or removed for disciplinary reasons.

Students for whom the IEP includes a Behavior Intervention Plan (BIP) will be disciplined in accordance with the BIP. If 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 is followed with respect to the infraction, the matter will be immediately referred to the CSE of the student's district of residence for consideration of a change in the guidelines.

If a student identified as having a disability is suspended during the course of the school year for total of eight days, such student will immediately be referred to the CSE of the student's district of residence for reconsideration of the student's educational placement. Such a student shall not be suspended for a total of more than ten days during the school year without the specific involvement of the CSE of the student's district of residence prior to the eleventh day of suspension, because such suspensions may be considered to be a change in placement. In considering the placement of students referred because of disciplinary problems, the CSE of the student's district of residence is expected to follow its ordinary policies with respect to parental notification and involvement.

CPB shall work with the district to ensure that the CSE of the student's district of residence meets within seven (7) days of notification of any of the following: (1) The commission of an infraction by a student with a disability who has previously been suspended for the maximum allowable number of days; (2) The commission of any infraction that CPB suspects is the result of the student's disability; (3) The commission of any infraction by a disabled student, regardless of whether the student has previously been suspended during the school year if, had such infraction been committed by a non-disabled student, the Principal would seek to impose a suspension in excess of five (5) days.

Also, CPB will ensure that when the suspension or removal of a student with a disability will constitute a disciplinary change of placement, the CSE will be immediately notified so that the CSE can meet its required obligations to:

1. Convene a CSE meeting within ten (10) school days to make a manifestation determination
2. Convene a CSE meeting within ten (10) business days to develop a plan to conduct a functional behavioral assessment or review an existing functional behavioral assessment or behavioral intervention plan.
3. Provide the student's parent with a copy of their procedural due process rights.
4. Work closely with the CSE of the students' district of residence in determining education services or the interim alternative educational setting consistent with the FAPE requirements.

Provision of Services During Removal

Those students removed for a period fewer than ten (10) days will receive all classroom assignments and a schedule to complete such 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. CPB also

shall provide additional alternative instruction with the reasonable promptness and by appropriate means to assist the student, so that the student is given full opportunity to complete assignments and master curriculum, including additional instructions, phone assistance, computer instruction and/or home visits and one-on-one tutoring.

During any subsequent removal that, combined with previous removals equals ten (10) or more 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, shall make the service determination.

During any removal for weapon, drug or infliction of serious bodily injury-related offenses pursuant to 34 CFR §300.530(g)(1), (2) and (3), respectively, 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 CSE of the student's district of residence. The school will place students in interim alternative educational settings as appropriate and mandated by the IDEA.

During any subsequent removal that does constitute 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 of the student's district of residence will make the service determination.

CSE Meetings

Meetings of the CSE of the student's district of residence to either develop a behavioral assessment plan or, if the child has one, to review such plan are required when: (1) the child is first removed from his or her current placement for more than ten school days in a school year; and (2) when commencing a removal which constitutes a change in placement. The student's special education teacher (or coordinator) and the general classroom teacher will attend all meetings regarding the student initiated by the CSE from the student's home district.

Subsequently, if other removals occur which do not constitute a change in placement, the School will work with the CSE of the student's district of residence to review the child's assessment plan and its implementation to determine if modifications are necessary. If one or more members of the CSE of the student's district of residence believe that modifications are needed, then the CSE is expected to meet to modify the plan and/or its implementation.

Due Process

If discipline which would constitute a change in placement is contemplated for any student, the following steps shall be taken: (1) 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 (2) immediately, if possible, but in no case later than ten school days after the date on which such decision is made, the CSE of the student's district of residence and other qualified personnel shall meet and review the relationship between the child's disability and the behavior subject to the disciplinary action.

If, upon review, it is determined that the child'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 §300.121(d), which relates to the provision of services to students with disabilities during periods of removal.

Parents may request a hearing to challenge the manifestation determination. 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 educational setting or the manifestation determination resulting from a disciplinary action relating to weapons or drugs, the child shall remain in any 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 the School agree otherwise.

Special Education Policy

DISCIPLINARY POLICY FOR STUDENTS WITH DISABILITIES

In addition to the discipline procedures applicable to all students, CPB shall implement the following disciplinary policy procedures with respect students with disabilities. A student not specifically identified as having a disability but whose school district of residence or charter school, prior to the behavior which is the subject of the disciplinary action, has a basis of knowledge—in accordance with 34 CFR 300.527(b)—that a disability exists may request to be disciplined in accordance with these provisions. CPB shall comply with sections 300.519- 300.529 of the Code of Federal Regulations (CFR) and the following procedures, except that in the event that the following procedures are inconsistent with federal law and regulations, such federal law and regulations shall govern.

If a student violates the School’s discipline code and is being considered for a suspension or removal, the School must ensure the following due process protections are provided to the student and to the student’s parent(s) in addition to those set forth in the regular education discipline code. For suspensions of five (5) school days or less, the student’s parent(s) or guardian must be provided with a written notice, and a follow up telephone call if possible, within 24 hours of the incident leading up to the suspension which describes the basis for the suspension and explains that the parent or guardian has the right to request an informal conference with the Principal and appropriate staff to discuss the incident and question any complaining witness against the student. For suspensions in excess of five (5) consecutive school days, the student’s parent(s) or guardian must be provided with a written notice which indicates that the district proposes to suspend the student from school in excess of five consecutive school days, describes the basis for the proposed suspension, explains that the student has an opportunity for a fair hearing conducted by the Head of School or his or her designee at which the student will have a right to question any witnesses accusing him/her of committing the misconduct charge and to present witnesses on his/her behalf. Where possible, notification must also be provided by telephone. In addition, the School must provide alternative education to the student during the suspension as set forth below, including any special services required by the Individualized Education Program (IEP) prepared by the student’s Committee on Special Education (CSE) of their district of residence. Final determination on a suspension or removal of a student, following due process, shall be made by the Head of School.

CP Bronx shall maintain written records of all suspensions and expulsions of students with a disability including the name of the student, a description of the behavior engaged in, the disciplinary action taken, and a record of the number of days a student has been suspended or removed for disciplinary reasons.

Students for whom the IEP includes a Behavior Intervention Plan (BIP) will be disciplined in accordance with the BIP. If 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 is followed with respect to the infraction, the

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matter will be immediately referred to the CSE of the student's district of residence for consideration of a change in the guidelines.

If a student identified as having a disability is suspended during the course of the school year for total of eight days, such student will immediately be referred to the CSE of the student's district of residence for reconsideration of the student's educational placement. Such a student shall not be suspended for a total of more than ten days during the school year without the specific involvement of the CSE of the student's district of residence prior to the eleventh day of suspension, because such suspensions may be considered to be a change in placement. In considering the placement of students referred because of disciplinary problems, the CSE of the student's district of residence is expected to follow its ordinary policies with respect to parental notification and involvement.

CP Bronx shall work with the district to ensure that the CSE of the student's district of residence meets within seven (7) days of notification of any of the following: (1) The commission of an infraction by a student with a disability who has previously been suspended for the maximum allowable number of days; (2) The commission of any infraction resulting from the student's disability; (3) The commission of any infraction by a disabled student, regardless of whether the student has previously been suspended during the school year if, had such infraction been committed by a non-disabled student, the Head of School would seek to impose a suspension in excess of five (5) days.

Also, CP Bronx will ensure that when the suspension or removal of a student with a disability will constitute a disciplinary change of placement, the CSE will be immediately notified so that the CSE can meet its required obligations to:

1. Convene a CSE meeting within ten (10) school days to make a manifestation determination
2. Convene a CSE meeting within ten (10) business days to develop a plan to conduct a functional behavioral assessment or review an existing functional behavioral assessment or behavioral intervention plan.
3. Provide the student's parent with a copy of their procedural due process rights.
4. Work closely with the CSE of the students' district of residence in determining education services or the interim alternative educational setting consistent with the FAPE requirements.

Provision of Services During Removal

Those students removed for a period fewer than ten (10) days will receive all classroom assignments and a schedule to complete such 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. CPB also shall provide additional alternative

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instruction with the reasonable promptness and by appropriate means to assist the student, so that the student is given full opportunity to complete assignments and master curriculum, including additional instructions, phone assistance, computer instruction and/or home visits and one-on-one tutoring.

During any subsequent removal that, combined with previous removals equals ten (10) or more 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, shall make the service determination.

During any removal for weapon, drug or infliction of serious bodily injury-related offenses pursuant to 34 CFR §300.530(g)(1), (2) and (3), respectively, 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 CSE of the student's district of residence. The school will place students in interim alternative educational settings as appropriate and mandated by the IDEA.

During any subsequent removal that does constitute 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 of the student's district of residence will make the service determination.

CSE Meetings

Meetings of the CSE of the student's district of residence to either develop a behavioral assessment plan or, if the child has one, to review such plan are required when: (1) the child is first removed from his or her current placement for more than ten school days in a school year; and (2) when commencing a removal which constitutes a change in placement. The student's special education teacher (or coordinator) and the general classroom teacher will attend all meetings regarding the student initiated by the CSE from the student's home district.

Subsequently, if other removals occur which do not constitute a change in placement, the School will work with the CSE of the student's district of residence to review the child's assessment plan and its implementation to determine if modifications are necessary. If one or more members of the CSE of the student's district of residence believe that modifications are needed, then the CSE is expected to meet to modify the plan and/or its implementation.

Due Process

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If discipline which would constitute a change in placement is contemplated for any student, the following steps shall be taken: (1) 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 (2) immediately, if possible, but in no case later than ten school days after the date on which such decision is made, the CSE of the student's district of residence and other qualified personnel shall meet and review the relationship between the child's disability and the behavior subject to the disciplinary action.

If, upon review, it is determined that the child'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 §300.121(d), which relates to the provision of services to students with disabilities during periods of removal.

Parents may request a hearing to challenge the manifestation determination. 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 educational setting or the manifestation determination resulting from a disciplinary action relating to weapons or drugs, the child shall remain in any 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 the School agree otherwise.

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Dress Code

All students are required to wear the School designated attire. Only articles of clothing that are part of the CP Bronx uniform can be worn. The uniform ensemble must be worn from 8:25am to 3:17pm on Monday through Thursday, and from 8:25am to 1:00pm on Fridays. The School will buy uniforms for those that cannot afford them.

From September until June, boys will all wear pants, shirts, shoes, ties, and jackets or vests that are sold by the Capital Prep Bronx designated company.

White shirt: buttoned from bottom to top button; tucked in neatly.
Khaki pants: worn waist high, with belt. Name-tag buckles are not allowed.
Ties: worn tight and comfortably beneath the collar.
Jackets: must be worn at all times while in the hallways and areas visible outside of the classroom environment.

In August, boys will have the additional option of wearing a summer uniform. Boys still have the option to wear their other uniform, however are not required to wear their jacket or vest during this time period.

White shirt: monogrammed polo shirt; tucked into shorts.
Khaki shorts: worn waist high, with belt. Name-tag buckles are not allowed.
Socks: white, no higher than mid-calf
Shoes: plain white sneakers

From September through June, girls will all wear pants or skirts, shirts, shoes, ties, and jackets or sweaters that are sold by the Capital Prep Bronx designated company.

White shirt: buttoned from bottom to top (only top button may be undone); tucked in neatly.
Khaki pants: worn waist high, with belt. Name-tag buckles are not allowed.
Skirt: must be worn with full length stockings at all times and touch the knee when standing
Jackets/sweaters: must be worn at all times while in the hallways and areas visible outside of the classroom environment.

In August, girls will have the additional option of wearing a summer uniform. Girls still have the option to wear their other uniform, however are not required to wear their jacket or sweater during this time period.

White shirt: monogrammed polo shirt; tucked into shorts.
Khaki shorts: worn waist high, with belt. Name-tag buckles are not allowed.
Socks: white, no higher than mid-calf
Shoes: plain white sneakers

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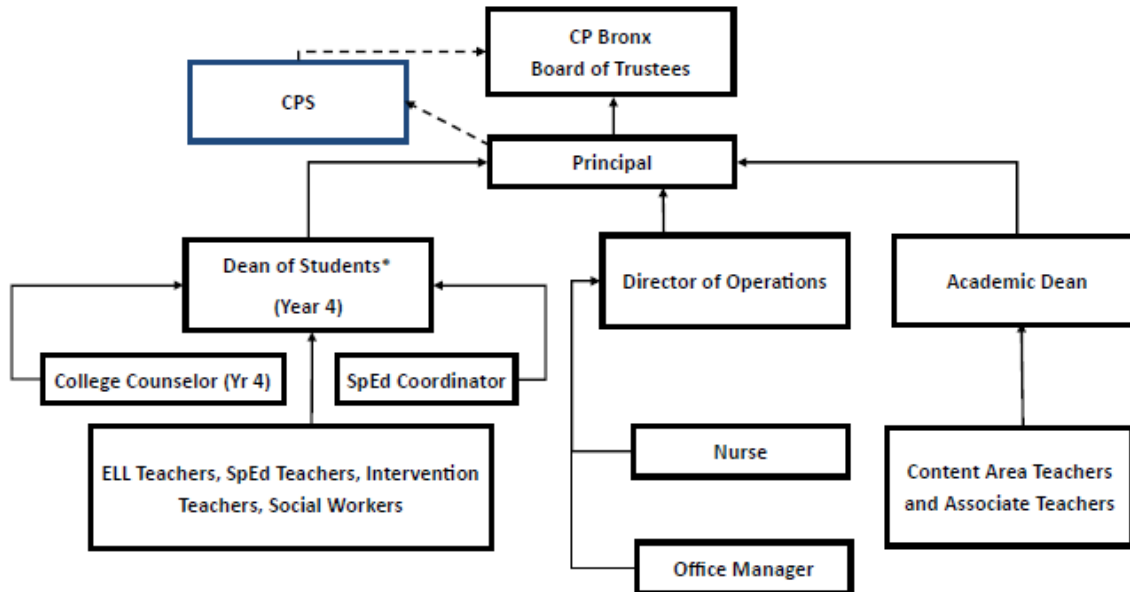
Accessories: Students may only wear knob earrings, watches on their wrists, and prescription glasses as an accessory to their uniform. Any item in violation of the dress code will be confiscated and returned to parents in person.

Backpacks and/or book bags are permitted to be carried between classes, but should not pose an obstruction to safe passage in the classroom or in the corridors.

Students wishing to wear clothing for religious purposes must submit a written request from their parent/guardian before August of each year.

School Management and Leadership

(a) Organizational Chart



*Until Year 4 when the Dean of Students is hired, all of the direct reports to the Dean of Students delineated in this chart report to the Principal.

(b) School Leadership and Management Structure

The chart above illustrates CP Bronx’s organizational structure and establishes clear reporting lines and accountability, including with its CMO, CPS. It also ensures that the instructional leaders and teachers have the support they need to focus on delivering an excellent academic program. The roles and responsibilities of the Board of Trustees (BOT) are described separately in the Governance section. The Principal acts with the support of its CMO, CPS, and under the authority of and with oversight by the BOT. The Principal is responsible for the day-to-day management of the school’s academic programs and fiscal and business operations. The Principal and school staff, with support from CPS, will be responsible for implementing the educational, operational and fiscal programs in accordance with the CP model adopted by the BOT and the school’s charter.

Management Practices and Procedures: In the CPS model the Principal is the school’s leader, setting the academic and cultural expectations. To support the Principal and to ensure fidelity to the model the BOT will contract with and delegate the bulk of the Principal’s day-to-day support and guidance to CPS, including his or her formal annual evaluation. CPS’s annual

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evaluation of the Principal is presented to and reviewed by the BOT and the BOT uses this evaluation document as the basis for its decision to renew the Principal's contract the following year.

The Principal has overall responsibility for setting the school's priorities in alignment with the CPS model and the BOT's goals and objectives. At all times, discussions around needs will be supported by student data and other data including fiscal and operational from quantitative and qualitative measurement tools. Recommendations will be made to the Principal by the school-based leadership team to increase performance outcomes in each of their areas of purview. It is the Principal's responsibility to evaluate these recommendations, prioritize them against constraints such as budgetary limits and human resource capabilities, and make key organizational decisions that support his or her prioritization, including those around recruitment, evaluation, retention and professional development. The Principal will determine what organizational changes are necessary to implement recommendations (including, how they impact current and future annual budgets). The Principal will present a report to the CPS President outlining his or her recommendations with supporting evidence. The CPS President will consider and act on any recommendations unless they require BOT approval. Further, the BOT will retain legal counsel to ensure that the school and its programs operate responsibly and in full compliance with all regulations that apply.

The Principal will be supported by a strong leadership team comprising an Academic Dean (AD), Dean of Students (DS) and Director of Operations (DO). The AD is primarily responsible for directly monitoring the role that teachers play as instructors. The DA, with support of the Principal and CPS, has the primary responsibility to ensure that the faculty's instruction is enabling all students to meet the school's rigorous standards. The AD with support from the Principal and CPS oversees curriculum planning, development and implementation, student assessment, the professional development of all teachers, including coaching and teacher supervision and evaluation. The AD is the primary faculty evaluator, until such time as the school has a large enough student population to warrant subject Department Chairs.

The DS's focus is on the role that teachers play as Advisors. The DS is also responsible for overseeing the student assistance team (SAT), which is comprised of support staff including, but not limited to, social workers, special education and ELL teachers, and contracted related service providers. Finally, the DS oversees the college counseling program an extracurricular experiences of students, which range from traditional athletics to community-based enrichments.

The DS will be hired in the school's fourth year and will report directly to the Principal. Until the DS is hired, the roles that the DS plays and the staff who report to the DS will be the responsibility of the Principal. The DS's primary role is to oversee administration of (in coordination with the Principal) student discipline and student support services. A Special Education Coordinator (SEC) will be hired in the school's first year and will report to the Principal until Year 4 when the DS is hired. This professional will be responsible for overseeing all special education programming and services at the school, including managing and providing professional development to special education teachers, supporting special education teachers and general education teachers in addressing the needs of SWD, working cooperatively with

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the CSE of the local district and ensuring that the school is in compliance with all laws, regulations and requirements related to special education.

A Director of Operations (DO) will be hired in the school's first year and will be responsible for planning, coordinating and supervising the day-to-day business operations of the school, including supervising the enrollment, transfer and related processes for students; maintenance of student records and files; preparation of reports to the BOT and the state; completion of Consolidated Applications; working with CPS in the oversight of purchasing, payroll, expense records and other financial activities; maintenance of the school's website; working with CPS to coordinate budget development and monitoring of the school budget; oversight of facilities-related matters; maintenance of insurance; scheduling and organization of interviews and hiring of school staff; preparation and maintenance of school schedules; working with CPS to prepare annual performance audits in collaboration with the Principal; working with CPS to coordinate the school's initiatives regarding the use of data and performing other duties as assigned by the Principal. More detail on responsibilities as well as minimum qualifications for these administrative positions are contained in Attachment 8a Personnel Policies.

The school will receive financial management services from CPS as part of its comprehensive management contract with it. CPS will contract with Charter School Business Management (CSBM) to manage the day-to-day financial operations of the school in coordination with and oversight by the BOT Treasurer. CPS, with support from the Principal and DO, will prepare and report on the school budget, the annual operating and capital budgets, and cash flow projections.

Management Evaluation: CPS, on behalf of the BOT, conducts an annual evaluation of the Principal focused heavily on academic achievement, operational effectiveness and financial stability, which is used to determine renewal of the Principal's annual contract. At the beginning of the year, CPS and the Principal establish measurable process and outcome goals for the year. A mid-year review is conducted and at the end of the year a written review will be provided to the Principal. The evaluation is "360" in the sense that input is sought from the Principal, teachers and staff, families and students, and the BOT. Data sources include assessment results, parent satisfaction surveys, enrollment and attendance, grievance records, budget information and audit results.

The BOT partners closely with CPS to ensure that 1) the Principal receives a rigorous and fair evaluation against objective performance criteria and that 2) there is a plan in place to support continued professional growth for the Principal. Per the Educational Services Agreement, CPS is tasked with conducting the Principal evaluation for the BOT's review. The evaluation document is shared with the BOT, which reviews the document and discusses the process and results with CPS. If the evaluation raises any performance concerns, the BOT requests that the Principal's professional growth plan specifically address these concerns, and the BOT then works with CPS to monitor progress in these areas.

As with the Principal evaluation, the evaluation process for other administrators and non-instructional staff is designed as part of a continuous improvement model in which all staff, including leadership, will be continually identifying areas for growth. The Principal will be responsible for the evaluation of school administrators (e.g. Academic Dean, Dean of Students,

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Director of Operations). Deficiencies identified through the evaluation process inform the development of performance improvement plans and targeted support, PD and training to build the capacities of staff members to achieve growth goals. This philosophy is consistent with the evaluation model for the Principal described previously and for teachers, which is aligned with the Danielson Framework for Effective Teaching, Marshal Teacher Evaluation Rubric and Marzano Teacher Practice Rubric for teaching staff described in III.E. Professional Development.

Leader Recruitment: CPS will first look internally to its network of schools for staff members ready to take on the challenge of leading CP Bronx. Criteria for internal candidates will include a clear sense of the CP mission, knowledge of and fluency with the CP model, demonstrable skills in supervising and supporting adults, strong communication and organizational skills, and the desire to take on the role of Principal. CPS will also post the position on relevant job sites for external candidates. Criteria for external candidates will include school leadership and charter school experience, evidence of high expectations that lead to improvements in student achievement, alignment with the CP mission, and experience with education models aligned with the CP model. CPS already knows the labor market, having hired leadership and staff at CP Harlem.

Applicants will be required to submit a resume, cover letter, and references. CPS will screen applications and identify potential candidates to invite for interviews. Candidates spend a day at a CPS school for interviews, observations and tasks. The final step is an interview with the Board before the Board makes the final selection. The selected Principal will be embedded at CP Harlem during the planning year to learn the CP model as well as CPS practices and procedures.

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Personnel

(a) Staffing Chart and Rationale

Below is the requested Staffing Plan from the budget template.

| ADMINISTRATIVE PERSONNEL FTE | | FTE | | | | |
|--|--|-------------|-------------|-------------|-------------|-------------|
| Executive Management | | 1.0 | 1.0 | 1.0 | 1.0 | 1.0 |
| Instructional Management | | 1.0 | 1.0 | 2.0 | 2.0 | 2.0 |
| Deans, Directors & Coordinators | | 1.0 | 1.0 | 1.0 | 3.0 | 3.0 |
| CFO / Director of Finance | | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| Operation / Business Manager | | 1.0 | 1.0 | 1.0 | 1.0 | 1.0 |
| Administrative Staff | | 1.0 | 1.0 | 2.0 | 2.0 | 2.0 |
| TOTAL ADMINISTRATIVE STAFF | | 5.0 | 5.0 | 7.0 | 9.0 | 9.0 |
| | | | | | | |
| INSTRUCTIONAL PERSONNEL FTE | | | | | | |
| Teachers - Regular | | 8.0 | 12.0 | 16.0 | 20.0 | 24.0 |
| Teachers - SPED | | 1.0 | 3.0 | 5.0 | 5.0 | 7.0 |
| Substitute Teachers | | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| Teaching Assistants | | 2.0 | 6.0 | 6.0 | 8.0 | 8.0 |
| Specialty Teachers | | 6.0 | 7.0 | 12.0 | 13.0 | 14.0 |
| Aides | | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| Therapists & Counselors | | 1.0 | 1.0 | 2.0 | 2.0 | 3.0 |
| Other | | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| TOTAL INSTRUCTIONAL | | 18.0 | 29.0 | 41.0 | 48.0 | 56.0 |
| | | | | | | |
| NON-INSTRUCTIONAL PERSONNEL FTE | | | | | | |
| Nurse | | 1.0 | 1.0 | 1.0 | 1.0 | 1.0 |
| 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 | 0.0 | 0.0 | 0.0 |
| TOTAL NON-INSTRUCTIONAL | | 1.0 | 1.0 | 1.0 | 1.0 | 1.0 |
| | | | | | | |
| TOTAL PERSONNEL SERVICE FTE | | 24.0 | 35.0 | 49.0 | 58.0 | 66.0 |

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Below is a more detailed staffing plan that includes all of the specific positions at the proposed school over the first charter term:

Proposed Management and Staffing Chart

| SUNY Job Category | Positions | Starting Salary | FTE | | | | |
|---------------------------------|---------------------------|-----------------|--------|--------|--------|--------|--------|
| | | | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
| Executive Management | Principal | \$125,000 | 1 | 1 | 1 | 1 | 1 |
| Instructional Management | Academic Deans | \$100,000 | 1 | 1 | 2 | 2 | 2 |
| Deans, Directors & Coordinators | Dean of Students | \$85,000 | | | | 1 | 1 |
| | Special Ed. Coordinator | \$85,000 | 1 | 1 | 1 | 2 | 2 |
| Operation / Business Manager | Director of Operations | \$100,000 | 1 | 1 | 1 | 1 | 1 |
| Administrative Staff | Office Manager | \$50,000 | 1 | 1 | 2 | 2 | 2 |
| Teachers - Regular | English | \$73,000 | 2 | 3 | 4 | 5 | 6 |
| | Math | \$73,000 | 2 | 3 | 4 | 5 | 6 |
| | Science | \$73,000 | 2 | 3 | 4 | 5 | 6 |
| | History/Social Justice | \$73,000 | 2 | 3 | 4 | 5 | 6 |
| Teachers - SPED | Special Education | \$73,000 | 1 | 3 | 5 | 5 | 7 |
| Teaching Assistants | Junior Illuminator | \$42,000 | 2 | 6 | 6 | 8 | 8 |
| Specialty Teachers | ELL | \$73,000 | 1 | 1 | 2 | 2 | 2 |
| | Music | \$73,000 | 1 | 1 | 2 | 2 | 2 |
| | Reading/Math Intervention | \$73,000 | 1 | 2 | 2 | 3 | 4 |
| | Art | \$73,000 | 1 | 1 | 2 | 2 | 2 |
| | PE | \$73,000 | 1 | 1 | 2 | 2 | 2 |
| | LOTE | \$73,000 | 1 | 1 | 2 | 2 | 2 |
| Therapists & Counselors | Social Worker | \$70,000 | 1 | 1 | 2 | 2 | 3 |
| Nurse | Nurse | \$60,000 | 1 | 1 | 1 | 1 | 1 |

As described in the School Management and Leadership section, CP Bronx will be led by a Principal who is responsible for overall academic, operational and financial performance. The leadership team will include Academic Deans, Dean of Students, and Director of Operations.

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CP Bronx will open with two teams of core teachers to instruct the two grades being served in Year 1. The teachers will focus primarily on one grade (a 6th grade team and a 7th grade team). As students are added and populate each grade, the goal will be for a “team” of four core discipline teachers to teach 100 students in the cohort. As is evident from the table above, CP Bronx has planned and budgeted for a robust staffing, including special education teachers, ELL teachers, reading and math interventionists and social workers, to address the needs of ELLs, SWD and academically struggling students. In addition, CP Bronx will hire a variety of specialty teachers, including Art, Music, PE, and Language teachers, to provide students with a broad academic experience. The staffing plan delineated in this table clearly illustrates its alignment with student enrollment and the educational model and operational needs of a growing school community.

In addition, CP Bronx employs Junior Illuminators who serve as apprentice teachers and provide a pipeline of new teacher candidates who have been immersed in the CPS model. They will assist teachers in the classroom and provide opportunities for small group instruction, remediation and tutoring, as well as helping teachers prepare and deliver lessons. They will participate in professional development so they can effectively implement the school’s curriculum and instruction alongside more seasoned teachers.

CP Bronx’s staffing needs are based on both the experience of CP Harbor and CP Harlem both serving similar populations to CP Bronx’s expected population as well as the information that has been collected through the community outreach efforts. The number of teaching positions across each of the subject areas is based on projected enrollment each year coupled with the school’s desired average class sizes. As the school expands each year, the number of staff will increase to ensure students’ academic and non-academic needs are fully and effectively met. Additional details regarding the school’s hiring and personnel policies and procedures, including job descriptions for key staff members are found in our Personnel Policies.

(b) Qualifications and Responsibilities

Please see Respond 11d – Personnel Policies for a description of the qualifications and responsibilities of key positions at the school.

(c) Staff Recruitment and Retention

Recruitment and Hiring: CP Bronx firmly believes that the quality of the teacher in the classroom is the most important driver of student success. As a result, the recruitment, development, and retention of great teachers will be a constant priority for the school and CPS. Teacher recruitment, like Principal recruitment, is a crucial service that CP Bronx will receive from CPS. CPS will employ a comprehensive strategy that includes extensive advertising and outreach to top schools of education, in particular those with high proportions of students of color. All teachers will meet the federal guidelines for Highly Qualified Teachers, and CPS will ensure that teachers meet applicable certification requirements. CPS will target teachers with a minimum of three years of classroom experience.

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Under the direction of the Principal, with consultation and consent of the BOT, CPS will recruit highly qualified candidates to fill teacher positions and meet its educational needs. Staff selection shall be based on skills outlined in Response 11d - Personnel Policies. CP Bronx teaching staff will be expected to fulfill their individual responsibilities and work effectively in concert with administrators and with the other members of the teaching staff. In selecting and hiring teachers, the school to comply with state laws regarding certification and with the requirements of the ESEA.

CP Bronx will have a firm policy of hiring only highly qualified and appropriately certified teaching staff for core subjects and intervention (e.g., Special Education and ELL teachers). However, it may find high quality candidates for instance in such subject areas as art, music and physical education who do not have appropriate teaching certification but who are professional musicians, visual artists or athletes with the complementary skills and experience as an educator, who engages students in learning experiences in, through and about their content area. In those cases, should such a candidate be considered the best fit for the position, CP Bronx will work with these individuals to develop a plan to become NYS certified in their respective areas within a designated period of time. CP Bronx will comply with all federal, state and local laws and requirements regarding the hiring of staff and will not discriminate in hiring, employment, contracting, or retention for reasons of race, sex, age, religion, disability or other reasons prohibited by local, state or federal law.

CPS will establish a broad and diverse applicant pool for all vacant positions. It will recruit teachers through a variety of means, which includes advertisements in newspapers and educational journals, relationships with colleges and graduate schools of education, teacher recruitment fairs, and email and phone networks. CPS will also leverages the relationships and experiences of BOT members, staff and community assets, to support its outreach, networking and teacher recruitment initiatives.

The teacher recruitment and hiring process will include the following phases:

1. **Screening**—Prospective employees will complete an employment application, which will request information related to prior work experience, special skills and academic credentials and will also provide consent to check references. CPS will require candidates to attach a résumé to the application and will retain both the application and the résumé in its employee files. The screening process will comply with all applicable law and school policy;
2. **Interviewing**—CPS' interview process is designed to help it and the Principal or designee determine whether a candidate possesses the necessary skills to be a productive staff member and is prepared and capable of working cooperatively with colleagues, administrators, parents and students. In the CPS model faculty input is essential to building leadership and collegiality among faculty. All faculty serve on search committees whose duties include, but are not limited to review of resumes, scheduling interviews and reviewing candidate pools. A faculty committee may elect to interview forwarded candidates by telephone or videoconference to discover whether the candidate has the knowledge and experience required and to ascertain whether the candidate agrees with and can work in a manner consistent with the school's

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instructional philosophy and culture. Phone interviews may be recorded only after informing the candidate that the call will be recorded. The committee recommends candidates to the Principal who has been delegated all teacher hiring and retention decisions. At the discretion of the CPS and Principal, candidates for teaching positions will be requested to provide a sample lesson and/or portfolio and will be asked to teach a demonstration lesson at the school and be observed and interviewed by the Principal and Academic Dean. During the planning year demonstration lessons will be conducted at CP Harlem; once CP Bronx is open demo lessons will be conducted on site with CP Bronx students;

3. **Checking References**—CP Bronx has an absolute policy of calling references provided by the employee, as well as contacting former employers. The BOT recognizes that an employer may be found liable for harm caused by an employee if the employer failed to discover something in that employee’s past that a reasonable degree of investigation would have uncovered, and if this information would have revealed a distinct possibility of harm. CPS will therefore implement a rigorous reference-checking policy;
4. **Offering Employment**—The BOT will offer employment through a job offer letter and, in most cases, a phone call. The CP Bronx job offer letter will include at least the following: a) job title or position offered; b) salary, benefits and perks offered; c) instructions to accept or decline the job offer; and d) where appropriate, a statement that the employment will be at-will; and
5. **Fingerprinting**—Before employees can begin working in the school, they must clear the SED fingerprint screening process.

Teacher Retention: CP Bronx’s professional development (PD) program, described in detail in Response 8ad – Instructional Leadership, will be a central strategy for developing and retaining teachers. Designed by CPS based on over decades of experience at CP Hartford and fine-tuned from experience at CP Harbor and CP Harlem, the PD program gives teachers the opportunity to develop their instructional craft, to take leadership and ownership of their own learning and that of their colleagues, and to be recognized for excellence in teaching. This is one of many opportunities, both formal and informal, for teachers to give input. Teachers also have the opportunity to take on additional leadership opportunities through our leadership cohort and are encouraged to take ownership of appropriate academic and policy decisions through grade-level teams and PLCs, respectively. To ensure that the CP Bronx attracts and retains its high-quality teacher staff, it will offer compensation, as well as medical and retirement benefits, commensurate with that offered by other similarly situated NYC charter schools. Baseline compensation for teachers will be informed by prevailing salaries at similarly situated charter schools in NYC and, to the extent allowable by the school’s budget, the UFT salary schedule (aligned with years of experience and educational credentials). Job renewal and subsequent increases in individual teacher’s compensation will be based upon performance evaluation. Indeed, it will be CP Bronx’s professional climate that will allow the school to obviate many of the human resource challenges that often impact a new and growing institution.

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As the school grows to capacity, there may be human resource challenges that the school faces in attracting the high quality candidates needed to support its expanding enrollment. CP Bronx will be well-positioned to address these challenges for a number of reasons. First, CP Bronx will have the support of CPS's Director of Talent Recruitment (DTR). CPS has the capacity to cast a wide net for candidates for all positions at the school. CPS's DTR has formed and will continue to form partnerships with universities to have student teachers to grow network school's own staff. CPS and CP Bronx will be visible at job fairs and on social media, offer competitive salaries and incentives and ensure there is a career ladder.

Personnel Policies

Prior to the hiring of staff, the Board of Trustees will establish and ratify formal personnel policies that will govern the recruitment, hiring, management and termination of school staff during the charter term. These policies will be periodically reviewed by legal counsel and revised, as necessary, over this term. The Employee Handbook will ultimately contain the ratified personnel policies of the School. During the planning period, the Principal with support from CPS will develop draft personnel policies. In order to develop these policies, the Principal will review the current human resource manuals of CP Hartford and CP Harlem to inform those of CP Bronx and seek guidance from legal counsel with background in the area of employment law. It should be noted that the Personnel Policies of CP Harlem and CP Bronx can be made available for inspection by SUNY CSI should there be interest in reviewing the policies that will be used to model those of CP Bronx. The manual will be reviewed by the Board and vetted by outside counsel before it is ratified by the Board. This will occur prior to the hiring of staff for the 2019-20 school year. The employment policies should ultimately contain policies and procedures around areas including but not limited to:

- Employment at will
- Equal Opportunity Employer
- Hiring
- Nepotism
- Fingerprinting/background checks
- Arrest of employees
- Immigration Reform and Control Act
- Regular full-time and temporary employment
- Adjustments to Employee Status
- Phasing out and elimination of positions
- Unauthorized absences
- Resignation
- Termination
- Return of school property
- Personnel records and files
- Post employment requests
- Time and Attendance
- Vacation Leave
- Weather Days and Other Closures
- Incentive pay
- Final pay
- Paid deductions and garnishment
- Overtime
- Personal Leave
- Sick Leave
- Unauthorized absence
- Verification of absence
- Overtime and Compensatory Time Leave
- Family and Medical Leave of Absence
- Medical or disability leave
- Bereavement leave
- General Leave without Pay
- Time off to vote
- Jury Duty
- Military Duty
- Unused Leave Accruals
- Insurance Benefits
- Workers Compensation
- Disability Insurance
- Retirement Benefits
- Deferred Compensation
- Unemployment Compensation
- Travel Reimbursements
- Professional conduct of employees
- Code of Ethics and Standards of Conduct
- Confidentiality
- Copyrights
- Conflict of Interest
- Personal appearance/Dress Code
- Solicitation
- Co-teaching
- No Harassment policy
- Sexual harassment
- Violence in the workplace
- Employee Evaluations
- Confidentiality
- Ban on Acceptance of Gifts
- Problem/Conflict resolution
- Outside employment
- Unacceptable behaviors
- Drug and Alcohol-free workplace
- Safe environment
- Maintenance of facilities

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Although the Employee Handbook will be developed, finalized and approved during the start-up period prior to the hiring of staff, CP Bronx has developed policies and procedures in the following areas:

The procedures for hiring and dismissing school personnel: CP Bronx is firmly committed to equal employment opportunity. CP Bronx will not discriminate in employment opportunities or practices for all qualified persons on the basis of race, color, religion, creed, sex, gender, sexual orientation, ethnicity, national origin, ancestry, age, disability (including AIDS), marital status, military status, citizenship status, predisposing genetic characteristics, or any other characteristic protected by local, state, or federal law. Employment decisions at CP Bronx will be made in a non-discriminatory manner and are based on qualifications, abilities, and merit. This policy governs all aspects of employment at this School including recruitment, hiring, assignments, training, promotion, upgrading, demotion, downgrading, transfer, lay-off and termination, compensation, employee benefits, discipline, and other terms and conditions of employment. If employees have any questions or concerns about any type of discrimination, they should bring these issues to the attention of their supervisor or the Principal. Anyone found to be engaging in any type of discrimination will be subject to disciplinary action, up to and including termination of employment.

The Principal reports directly to the Board of Trustees and Capital Preparatory Schools, Inc. (CPS), the school's CMO, and the Board shall have the sole authority to set conditions of employment (including, negotiating an appropriate employment contract), supervise, evaluate, discipline and terminate the Principal. The Principal (or his or her designee), using his or her professional judgment, shall possess the requisite authority to hire, supervise, evaluate, discipline and terminate all other employees of the school, consistent with the Law and policies adopted by the Board, as may be amended from time to time. Employees of CP Bronx are generally considered "at will", with the exception of certain employees with which the Board or the Principal may desire to enter into a contract. Being designated an "at will" employee shall mean that either the employee or CP Bronx may terminate the employment relationship with or without cause. Within five working days of an employee's termination, CP Bronx will give the terminated employee a written notice of the exact date of termination and the exact date of the cancellation of employee benefits connected with the termination. The terminated employee may be eligible for compensation for unused vacation time and may be eligible for unemployment compensation; however, employees shall not earn any additional benefits, rights, or privileges beyond the last day worked. This notice applies to all employees regardless of date of hire.

Qualifications for hiring teachers, school administrators and other employees: CP Bronx's philosophy is that the quality of the professional staff determines the quality of education offered in the school. Staff selection shall be based on strong academic preparation, professional competence, intellectual rigor, emotional maturity, enthusiastic professional attitude, knowledge of instructional or operational practices, and ability to contribute to the furtherance of CP Bronx's mission and educational goals. Attention will be paid to the candidate's academic record and to his/her previous relevant experience, among other factors. Successful candidates for staff positions must demonstrate that they are prepared and able to support the educational and

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developmental needs of a diverse student population or the operational and administrative needs of the School, depending on the particular staff position sought. CP Bronx's staff will be expected to fulfill their individual responsibilities and work effectively in concert with administrators and with the other members of the staff as well as CPS as required. In selecting and hiring teachers, CP Bronx will comply with state laws regarding certification and with the requirements of the No Child Left Behind Act (or its successor laws, if applicable).

Critically important will be the selection of the Principal, Academic Dean, Dean of Students and a talented, passionate, energetic and cohesive team of teachers. Among the most important attributes, skills and characteristics CP Bronx will look for in a successful teacher candidate are the following: (1) Understanding of and commitment to the school's mission, goals, educational philosophy and activities; (2) An unwavering belief that all children can achieve excellence; (3) Fulfillment of all NCLB "highly qualified" requirements; (4) Minimum of three-years teaching in a middle school or high school setting as a teacher or in other relevant educational positions (e.g. Teach for America Corps members); (5) Bachelor's Degree, or higher degree, in Education; (6) Appropriate New York State certifications; (7) Bilingual (English/Spanish, English/French) helpful; (8) Demonstrated and successful record of prior employment in educational environments; (9) Knowledge of and experience with assessments and relevant technologies; (10) Experience working with diverse populations of students, parents and families; (11) Experience working with students at-risk of educational failure; (12) Demonstrated success in working in a team-oriented environment; and (12) Commitment to continuous improvement and learning through professional development.

Qualifications for and Responsibilities of Staff by Position

Principal

The Principal reports to the Board of Trustees and CPS and will lead a school that is committed to the on-going development and well-being of its students, teachers and staff. The Principal will provide strategic and instructional leadership and will oversee management of the day-to-day operations of the school.

The Principal is accountable for:

- Providing strategic leadership for school improvement and development
- Ensuring high standards of achievement for all students
- Ensuring loving, rigorous culture, infused with the highest expectations, and a strong school community where teaching and learning and positive relationships can thrive
- Ensuring responsive and effective systems of management of people and systems such that all students, parents, teachers and staff are well supported

Major areas of responsibility:

- School development
- Learning and teaching
- School culture and behavior
- Management and development of people, systems and resources

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- Student recruitment and admissions
- Parent and community relations

Position Responsibilities:

School Development (with CPS)

- Strategic management of the school, including:
 - Annual school review, including analysis of student achievement data
 - Annual school development plan consistent with the school's mission statement, its charter contract and objectives of the Board of Trustees
 - Monthly reporting to the Chair and Board of Trustees
- Ethical and motivational leadership appropriate to the cultural and political context in which the school operates
- Development and implementation of school policies and advice to the Board of Trustees in analyzing policy options
- Professional internal and external relations with the Board of Trustees, donors and local and national community demonstrating the school is well managed and in legal compliance with the charter contract
- Reporting to the State of New York as required and overseeing the charter school monitoring and charter renewal process
- Ensuring that the executive staff and Board of Trustees are aware of any potential legal issues

Learning and Teaching (with CPS)

- High levels of student achievement and learning through rigorous and engaging classes in a college preparatory environment, in adherence with the school's objectives and learner expectations, with a focus on social justice and global citizenship
- A shared vision among all teachers of skillful instruction and high expectations for all students
- On-going improvement of teaching for all staff through a variety of strategies, including:
 - Lesson observations
 - Individual teaching plans
 - Regular use of data
 - Collaborative planning and enquiry
 - Regular professional development, including professional learning communities
 - Leadership development
 - Support strategies including coaching and mentoring
- Systematic use of formative assessment data to guide learning support and drive instruction, curriculum, and professional development
- Curriculum that is
 - Aligned with the Common Core State Standards and New York state standards
 - Structured in a manner supports the highest levels of achievement for all students, is centered around the school's learner expectations and essential questions, utilizes principles of applied learning, and address the academic and affective needs of each student
- A program of responsive support in English and Math for students who are below

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expected levels in these subjects

- Strong and responsive special education programming to ensure success in school for students with special needs, including compliance with special education laws
- A comprehensive network of affective supports to ensure the social-emotional well-being of each student
- A school day and extra-curricular enrichment program that provides a rich and high quality offering in teach sports, the arts, music and theatre

School Culture and Behavior

- High expectations for student achievement and behavior
- Alignment of students, teachers, staff, and parents around the school's values and approach
- Experiences that culture the School's values of empathy, collaboration, problem-solving, communication and information processing
- Emphasis on college preparation and early-college exposure
- Support of students' development into informed, global citizens who are inspired to discover and fulfill their social, academic and civic responsibilities and work toward social justice in their communities
- Parent engagement through consistent communication and involvement in the life of the school and its students
- Community partnerships and engagement that enrich the culture of the school through service opportunities, internships, engagement in Social Justice Capstone Projects, and other resources
- Student support system which addresses the affective and academic needs of each student, in order to support the whole child

Management and Development of People, Systems and Resources

- *Talent Management* (with CPS): insure effective and aligned talent and management practices, including:
 - Job design with clarity of responsibilities and lines of accountability
 - Recruiting that attracts and selects talented teachers and staff
 - Professional development including a strong, collaborative and professional community, and regular training and leadership opportunities
 - Performance management system that is both developmental and establishes a culture of accountability
 - Recognition strategies for teachers and staff
 - Retention strategies for teachers and staff
- *Financial Management* (with the Director of Operations and CPS):
 - Develop and manage the annual school budget, with input from staff, CPS and the audit and finance committee of the board
 - Analyze and control expenditures with an understanding of the relationship between school objective and the budget process, and use cost benefit analyses for budgetary decisions
 - Presentation of monthly financial reports to the board, with the support of CPS
 - Ensure proper financial controls, with the support of CPS

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- *Operations* (with Director of Operations and CPS)
 - Ensure effective systems and manage on-going process of improvement in the following:
 - Facilities and fixed assets management
 - Student data management
 - Personnel data management
 - Information technology
 - Contracted services
- *Health and Safety* (with Director of Operations):
 - Establish relationships with local medical and mental health providers to provide services to students
 - Implement the necessary policies in the area to ensure compliance with legal requirements
 - Provide a safe environment

Student Recruitment and Admissions: (with Director of Operations CPS)

- Develop and implement marketing plan to recruit students to the school
- Oversee the school admissions process, ensuring compliance with the state charter law and school contract

Community Relations (with CPS)

- Engender public support for the school's academic and extracurricular programs and consult with the Board of Trustees on all public relations activities
- Maintain effective and strong working relationships with the charter authorizers and the Board of Trustees as well as the Bronx community
- Serve as ambassador and advocate of the school's mission, representing the organization and school at local, state, and national events
- Inform the community about the unique qualities of the school's learning environment
- Inform the community about opportunities to participate in the life of the school

Academic Dean

The Academic Dean reports to the Principal and, with support of the Principal and CPS, has the primary responsibility to ensure that the faculty's instruction is enabling all students to meet the school's rigorous standards. The Academic Dean oversees curriculum planning, student assessment, the professional development of all teachers, including coaching and teacher supervision and evaluation.

The Academic Dean is accountable for:

- Providing instructional leadership for school improvement and development
- Ensuring high standards of achievement for all students
- Ensuring loving, rigorous culture, infused with the highest expectations, and a strong school community where teaching and learning and positive relationships can thrive
- Ensuring compelling curricula such that all students, parents, teachers and staff are well engaged

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Major areas of responsibility:

- Learning and teaching
- Curricular development
- Management and development of people, systems and resources
- Faculty professional development
- Parent and community relations

Position Responsibilities:

School Development (with CPS)

- Management of instruction, including:
 - Annual school review, including analysis of student achievement data
 - Development, implementation and periodic monitoring of curricula and instruction
 - Weekly lesson Plan reviews
- Ethical and motivational leadership appropriate to the cultural and political context in which the school operates
- Adherence to State of New York academic requirements

Learning and Teaching (with CPS)

- High levels of student achievement and learning through rigorous and engaging classes in a college preparatory environment, in adherence with the school's objectives and learner expectations, with a focus on social justice and global citizenship
- A shared vision among all teachers of skillful instruction and high expectations for all students
- On-going improvement of teaching for all staff through a variety of strategies, including:
 - Lesson observations
 - Individual teaching plans
 - Regular use of data
 - Collaborative planning and enquiry
 - Regular professional development, including professional learning communities
 - Leadership development
 - Support strategies including coaching and mentoring
- Systematic use of formative assessment data to guide learning support and drive instruction, curriculum, and professional development
- Curriculum that is
 - Aligned with the Common Core State Standards and New York state standards
 - Structured in a manner supports the highest levels of achievement for all students, is centered around the school's learner expectations and essential questions, utilizes principles of applied learning, and address the academic and affective needs of each student
- A program of responsive support in English and Math for students who are below expected levels in these subjects
- Strong and responsive special education programming to ensure success in school for students with special needs, including compliance with special education laws

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- A comprehensive network of affective supports to ensure the social-emotional well-being of each student
- A school day and extra-curricular enrichment program that provides a rich and high quality offering in teach sports, the arts, music and theatre

School Culture and Behavior

- High expectations for student achievement and behavior
- Alignment of students, teachers, staff, and parents around the school's values and approach
- Experiences that culture the School's values of empathy, collaboration, problem-solving, communication and information processing
- Emphasis on college preparation and early-college exposure
- Support of students' development into informed, global citizens who are inspired to discover and fulfill their social, academic and civic responsibilities and work toward social justice in their communities
- Parent engagement through consistent communication and involvement in the life of the school and its students
- Community partnerships and engagement that enrich the culture of the school through service opportunities, internships, engagement in Social Justice Capstone Projects, and other resources
- Student support system which addresses the affective and academic needs of each student, in order to support the whole child

Management and Development of People, Systems and Resources

- *Talent Management* (with CPS): insure effective and aligned talent and management practices, including:
 - Job design with clarity of responsibilities and lines of accountability
 - Recruiting that attracts and selects talented teachers and staff
 - Professional development including a strong, collaborative and professional community, and regular training and leadership opportunities
 - Performance management system that is both developmental and establishes a culture of accountability
 - Recognition strategies for teachers and staff
 - Retention strategies for teachers and staff
- *Health and Safety*:
 - Establish relationships with local medical and mental health providers to provide services to students
 - Implement the necessary policies in the area to ensure compliance with legal requirements
 - Provide a safe environment

Community Relations

- Engender public support for the school's academic and extracurricular programs and consult with the Principal on all public relations activities
- Support the Principal's efforts to maintain effective and strong working relationships

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- with the charter authorizers and the Board of Trustees as well as the Bronx community
- Serve as ambassador and advocate of the school's mission, representing the organization and school at local, state, and national events
 - Inform the community about the unique qualities of the school's learning environment
 - Inform the community about opportunities to participate in the life of the school

Dean of Students

The Dean of Students reports to the Principal and his or her focus is on the role that teachers play as Advisors. The Dean of Students is also responsible for overseeing the SAT, student assistance team, which is comprised of support staff including, but not limited to social workers, special education and ELL teachers, and contracted related services providers. Finally, the Dean of Students oversees the extracurricular experiences of students, which range from traditional athletics to community-based enrichments.

The Dean of Students is accountable for:

- Providing leadership in social and emotional support for students
- Ensuring high standards of achievement for all students
- Ensuring loving, rigorous culture, infused with the highest expectations, and a strong school community where teaching and learning and positive relationships can thrive
- Ensuring individualized academic experiences such that all students, parents, teachers and staff are well engaged

Major areas of responsibility:

- Social and emotional support
- Extracurricular development
- Management and development of people, systems and resources
- Student Assistance Team's professional development
- Parent and community relations

Position Responsibilities:

School Development (with CPS)

- Management of instruction, including:
 - Annual school review, including analysis of student achievement data
 - Development, implementation and periodic monitoring of affective support systems
 - Weekly reviews of student data on progress towards social and emotional development goals
- Ethical and motivational leadership appropriate to the cultural and political context in which the school operates
- Adherence to State of New York academic requirements for children with identified and yet diagnosed academic, social and emotional challenges

Learning and Teaching (with CPS)

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- High levels of student achievement and learning through rigorous and engaging classes in a college preparatory environment, in adherence with the school's objectives and learner expectations, with a focus on social justice and global citizenship
- A shared vision among all support staff of skillful academic enrichment and high expectations for all students
- On-going improvement of teaching for all staff through a variety of strategies, including:
 - Classroom observations
 - Individualized Education and 504 Plans
 - Regular use of data
 - Collaborative planning and enquiry
 - Regular professional development, including professional learning communities
 - Leadership development
 - Support strategies including coaching and mentoring
- Systematic use of formative assessment data to guide learning support and drive instruction, curriculum, and professional development
- Affective support that is
 - Aligned with the Common Core State Standards and New York state standards
 - Structured in a manner supports the highest levels of achievement for all students, is centered around the school's learner expectations and essential questions, utilizes principles of applied learning, and address the academic and affective needs of each student
- A program of responsive support in English and Math for students who are below expected levels in these subjects
- Strong and responsive special education programming to ensure success in school for students with special needs, including compliance with special education laws
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- Student support system which addresses the affective and academic needs of each student, in order to support the whole child

Management and Development of People, Systems and Resources

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 - Job design with clarity of responsibilities and lines of accountability
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 - Retention strategies for teachers and staff
- *Health and Safety*:
 - Establish relationships with local medical and mental health providers to provide services to students
 - Implement the necessary policies in the area to ensure compliance with legal requirements
 - Provide a safe environment

Community Relations

- Engender public support for the school's academic and extracurricular programs and consult with the Principal on all public relations activities
- Support the Principal's efforts to maintain effective and strong working relationships with the charter authorizers and the Board of Trustees as well as the Bronx community
- Serve as ambassador and advocate of the school's mission, representing the organization and school at local, state, and national events
- Inform the community about the unique qualities of the school's learning environment
- Inform the community about opportunities to participate in the life of the school

Teachers

To support students mastery of NYS CCLS and develop each student's individual academic and social competencies and emotional capacities within the classroom setting using creative, state-of-the-art instructional methods and techniques that require individual commitment, energy, collaboration, and growth.

TYPICAL DUTIES AND RESPONSIBILITIES:

1. Demonstrate knowledge of the subject to be taught.
2. Demonstrate facility in the skills of reading, writing and mathematics in accordance with the Common Core State Standards.
3. Demonstrate knowledge of human growth and development as it relates to the teaching-learning process.
4. Demonstrate knowledge of the American public school system.

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5. Plan and implement appropriate instruction using effective instructional techniques toward the achievement of selected objectives set forth within the CP Bronx Curriculum.
6. Effectively communicate with students, providing directions and explanations in a clear, coherent and logical manner, clearly outlining expectations for students, establishing rapport and communicating personal enthusiasm and self-confidence.
7. Help students develop positive self-concepts by recognizing and understanding the worth of all students, demonstrating sensitivity to and respect for the needs and feelings of all students, as well as patience, empathy and enthusiasm.
8. Effectively assess students' daily academic progress within set parameters, and adjust instruction accordingly to meet academic needs.
9. Provide opportunity for students to receive after-class instruction, tutoring, or guidance.
10. Lead and manage the classroom to provide a positive learning environment for students.
11. Facilitate the independence of the student as learner.
12. Solicit and facilitate the cooperative involvement and support of parents by establishing ongoing two-way communication with parents, looking for opportunities for parent and community involvement, communicating goals and objectives to parents, conducting parent-teacher conferences and use community resources in instruction.
13. Participate in the CP Bronx Advisory Program and serve as a coach or mentor for at least one extracurricular activity
14. Implement an Individual Teacher Plan and review adherence to this plan with school administration on a periodic basis
15. Serve on at least one Professional Learning Community and participate in related professional development activities
16. Work within the scope of Department of Education policy and school procedures.
17. Meet professional responsibilities and expectations.
18. Keep parents informed on a regular basis of the learning process of the students.
19. Use technology in instruction in accordance with the School Technology Plan by integrating state-of-the-art technology into the curriculum to actively engage students in learning.
20. Competently perform the duties specified above and any other related duties assigned by the administrator.

SKILLS, KNOWLEDGE, QUALIFICATIONS AND EXPERIENCE:

1. Demonstrated knowledge and skill in research based instructional techniques that lead to increased student learning.
2. Effective organizational skills with regard to the utilization of time, space, materials and equipment for instruction.
3. Effective verbal and written communication.
4. Demonstrated knowledge and skill in planning lessons and the use of alternate teaching strategies to maximize student learning.
5. Demonstrated knowledge and skill in the evaluation of student learning.
6. Demonstrated knowledge of developmentally appropriate practices as it relates to the teaching-learning process.
7. Demonstrated knowledge and skill in classroom management.

CERTIFICATION REQUIREMENTS: Must possess and maintain the certification requirements as established by New York State Statutes.

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SALARY AND TERMS OF EMPLOYMENT: Pay will be commensurate with experience and educational level. This may be a full-time or part-time position.

EVALUATION: Evaluations shall be conducted in accordance with school policy

NOTE: The above description covers the principal duties and responsibilities of the job. The description should not, however, be construed as a complete listing of all duties, or as a contract. In all cases, these relationships, functions and their applications are subject to change by the Principal.

Director of Operations

The Director of Operations (DO) is responsible for planning, organizing and directing long range and daily operational aspects of a growing charter school. The DO reports directly to the Principal. The DO works directly with and is supported by CPS. The DO works directly and supports CSBM, the school's contracted accounting services provider.

Responsibilities:

- Maintains system to address facility needs (technology, electrical, plumbing, custodial, supplies)
- Manages move out of or within facility (furniture, books, supplies, network technology, computers, office equipment, phone system)
- Oversees school environment so that it is ready and safe for students on a daily basis.
- Manages contracted services for building maintenance and security
- Manages school nutrition program, reports meal counts to appropriate state authorities for reimbursement for meals
- Ensures compliance with Department of Health standards
- Handles administration related to new employees including W-4s, I-9s, HR Manual, hire letters, direct deposit, and garnishment management
- Selects and manages relationships with vendors/brokers and enrolls/withdraws staff members for benefits including insurance (health, dental, vision, long-term/short-term disability and/or life) and retirement plans
- Selects and manages relationships with vendors/brokers for schoolwide insurance policies (umbrella, property, liability, D&O, student accident, worker's compensation, disability and unemployment) per approval by the Principal
- Manages all compliance responsibilities including Titles I-V, teacher certification, safety, fire drill coordination, health, fingerprinting, software compliance, COBRA letters, student lottery, annual Sexual Harassment seminar, and legal issues with pro bono attorneys
- Manages compliance related to By-laws and charter renewal

Minimum Qualifications and Training:

- Demonstrated record of leadership, management and interpersonal skills.
- Bachelors Degree, or higher degree, in Operations Management, Organizational Management, Business or related field.

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- At least three years of successful record of prior employment in an operational capacity in an educational environment.
- Knowledge of and experience with school facilities and relevant technologies.
- Knowledge of relevant laws, regulations and charter authorizer requirements.
- Prior experience as an assistant principal overseeing school operations or school director of operations.

Special Education Coordinator

The Special Education Coordinator oversees special education and related programs under the guidance of the Dean of Students.

Responsibilities:

- Oversee special education and related services, programs and grants, and ensure CP Bronx compliance with state and federal laws and regulations related to the implementation of IDEA.
- Support implementation of NCLB and attainment of State standards.
- Remain current regarding laws, policies, trends and best practices related to education in general and special education programs specifically, and share this knowledge with administrators and staff on a regular basis.
- Interpret, explain, and apply district, State and Federal laws, guidelines, policies and procedures for staff, students, parents, and others in a timely and accurate manner.
- Develop systems, tools and policies/procedures for effective implementation of special education services, and testing accommodations as needed.
- Expand learning opportunities for students in an on-going effort to update opportunities, improve services and programs, offer instructional pathways based on best practices, and maximize progress.
- Provide support with complex individualized education plans including facilitating meetings and advising principals for more involved IEP processes.
- Supervise and evaluate classified and certified special education staff, providing support; opportunities, coaching, mentoring, and guidance for professional growth; and assist with timely performance evaluation in a manner that promotes team development and effective work.
- Align program development and coordination with the goals of the school and in collaboration with administrators, special education staff and other school staff to ensure the best use of resources in providing services for students.
- Assist in the development of the special needs program budget and planned management of resources to support learning goals.
- Assist with recruiting, screening, hiring, assigning and provide leadership in training special needs staff.
- Apply high-quality problem-solving skills and exercise expert judgment to resolve issues for parents, students and/or staff.
- Serve as a resource and/or consultant to school administrators and personnel on the nature, causes, and solutions to the learning difficulties of children.
- Provide thorough and timely reports, data, and information as requested.

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- Participation in Student Assistance Team
- Minimum Qualifications and Training:
- Appropriate state certification as a special education teacher and any other credentialing required.
- Special education administrative and/or teaching experience, including case management experience.
- Demonstrated ability to adapt to differences and changes in characteristics of students, programs, leadership, staff, and community.
- Demonstrated ability to utilize varied teaching methodologies to accommodate students' learning styles.
- Demonstrated ability to work effectively and collaboratively with colleagues, parents and community members.
- Extensive knowledge of the provisions of IDEA, Section 504, assessment and curriculum, especially assessment and curriculum for special education.
- Skilled in program development and evaluation including gathering and analyzing data and development and implementation of improvement plans; project management; instructional development; creative thinking; and commitment to quality.
- Skilled in leading, supervising, coaching, and evaluating special education and other staff.
- Demonstrated ability in identifying staff development needs and planning and delivering in-service training.
- Demonstrated ability to inform and support administrators, instructional staff (both special and general education) and parents regarding special education and Section 504 law, policies and procedures; assists in compliance with state and federal requirements.
- Demonstrated ability to organize, plan and facilitate regularly scheduled meetings that include special educators and Section 504 facilitators in an effort to maintain consistency of program services.
- Knowledge and experience with programs that support learning among students of diverse ethnic and cultural backgrounds.
- Experience with using data-based decision-making including successful strategies and processes for program evaluation to measure achievement of school goals.
- Technological skills necessary to use electronic tools for data-based decision-making and effective communication, such as e-mail, word processing, spread sheets and data bases, and ability to learn new programs as needed.

Special Education Teacher: The Special Education Teacher provides consultation with and support to all teachers in addressing the needs of their students with IEPs as well as providing resource room instruction for children whose IEP requires instructional time outside of an inclusion setting. The Special Education Teacher will report to the Dean of Students.

Responsibilities:

- Working closely with content area teachers to provide direct special education instruction to IEP students in both a push-in and pull-out model as mandated by IEP.

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- Conducting ongoing training for content area and special education teachers and assistant teachers regarding inclusive education practices, curriculum modifications, differentiated instruction and behavior interventions for special needs students in general education classrooms.
- Assisting content area teachers in adapting curriculum for special needs students, and providing modified curriculum and resources as needed by classroom teachers.
- Assisting content area teachers with developing daily reports, behavioral schedules and social skills curriculum for special needs students in the classroom.
- Modeling teaching strategies and techniques for content area teachers for special needs students in the classroom.
- Providing SETSS or resource room instruction to students whose IEPs require these settings.
- Providing consultation and support for parents of special needs students and helping to facilitate positive collaboration between parents and teachers.
- Confering frequently with the district of residence special education support staff and administrators to provide needed services regarding inclusive education practices.
- Attending IEP's and staff/parent meetings of students with special needs in general education classrooms, as requested.
- Maintaining a database of inclusion students and students who are mandated for related services, testing modifications and other information related to IEP's and Section 504 accommodations.
- Assisting content area teachers in problem-solving and program issues related to inclusive education practices.
- Ensuring that all SWD's have access and participate fully in all curricular and extracurricular programming provided by the school
- Participation in Student Assistant Team meetings

Minimum Qualifications and Training: (1) Master's Degree in Special Education; (2) Appropriate state certification as a special education teacher and any other credentialing required; (3) Knowledge of special education laws and requirements; (4) Knowledge of the workshop model of instruction (5) Bilingual (including English/Spanish) helpful; (6) At least 3 years of successful experience in special education classroom teaching experience in middle school or high school.

ELL Teacher: The ELL Teacher is responsible for the instruction of students with Limited English Proficiency (LEP). The ELL Teacher reports to the Principal until the Dean of Students is hired. The ELL teacher is responsible for overseeing the process of identifying, testing, classifying and declassifying ELLs.

Responsibilities

- Providing direct instruction to LEP students and evaluating LEP student progress.
- Engaging in long and short-term planning addressing individual needs of LEP students.
- Teaching a multi-model approach.
- Providing an inviting, exciting, innovative, learning environment.
- Preparing written reports accurately.

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- Communicating and consulting effectively with parents, students, teachers and administrators.
- Serving as advisors to students and their families.
- Cooperating with the Dean of Students and complying with school rules regarding privacy of student records and information.
- Performing such additional tasks and assuming such additional responsibilities as are assigned by the Dean of Students and are consistent with the goals and objectives of the position.
- Serving as a resource to all teachers in the school.

Minimum Qualifications and Training: (1) Must be “Highly Qualified” under the No Child Left Behind Act, subject to NYSED Law, Article 56 Certification Requirements; (2) Appropriate state certifications; (3) At least 2 years’ successful experience as an ESOL (English for Speakers of Other Languages) or ELL program teacher in a middle school or high school environment; (4) Demonstrated proficiency in Sheltered English Immersion techniques and strategies; (5) Knowledge of Workshop model of instruction; (6) Demonstrated ability to communicate and work collaboratively/ effectively with parents and colleagues; (7) Demonstrated ability to adapt to the specific needs of individual students; (9) Demonstrated ability to utilize varied teaching methodologies to accommodate students’ learning styles; (10) Demonstrated ability to evaluate tests and measures of achievement; (11) Bilingual (English/Spanish) helpful.

Social Worker: The Social Worker will support the school in addressing the social, emotional, developmental and emotional needs of the school’s students and families, and in helping students’ and families’ access appropriate services and resources. The social worker works under the direction of the principal (until the Dean of Students is hired and then reports to the Dean of Students) to assist and support the implementation of student support initiatives. They aim to provide a school environment conducive to improving student achievement.

Responsibilities include, but are not limited to:

- Supervise the consistent and fair administration and tracking of student data and create positive school culture;
- Contribute toward a safe environment for learning, including ensuring that student conduct is maintained and discipline is enforced fairly and consistently, and updating and implementing the required annual school safety report;
- Coach teachers on classroom and behavior management techniques;
- Identify and intervene with high-need students;
- Assess and differentiates between students with mental health, emotional and behavioral needs and assist in service interventions;
- Provide clinical individual and/or group counseling;
- Provide comprehensive case management and advocacy;
- Support school administration in conducting risk assessment, crisis intervention and mediation;
- Monitor and evaluate effectiveness of student intervention and action plans;
- Foster positive partnerships between the school, families and child serving organizations;

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- Identify new opportunities to partner with youth service agencies, such as mental health providers, foster care, social services, juvenile justice, and drug prevention and treatment programs;
- Collaborate with administrators, teachers and support staff to:
 - Implement and monitor individual student interventions and action plans
 - Develop school-wide behavioral management tools
 - Support attendance improvement initiatives
 - Advocate for child safety and wellbeing
- Perform statistical, narrative and record-keeping duties, including data entry and maintaining case logs
- At the direction of school administration, ensure compliance with mandated reporting, confidentiality, social work code of ethics and other school-wide policies and regulation
- Strategic management and development of the school, including creating organizational goals and objectives, overseeing annual review, and—in collaboration with Capital Preparatory Schools—envisioning;
- ongoing strategies to maximize the effectiveness of the school model;
- Implement and follow policies and procedures for student dress code, discipline, and other policies; related to maintaining a positive school culture of learning and achievement;
- Serve as a liaison to parents and facilitate parent education and involvement, including reinforcing the need for parents to support the school’s policies and practices for student discipline, dress code, homework, and events;
- Undertake administrative and instructional duties as the principal may assign.

Skills and Qualifications:

- Experience and demonstrated ability in working with children in a teaching, counseling or other applicable capacity (examples include, but are not limited to involvement with community youth organizations, supervisory roles in national youth organizations, and mentorship programs);
- Demonstrated successful teaching experience;
- Exhibited leadership in working with professional staff, students, and the community;
- Agreement with the academic goals and philosophy of the charter school;
- Commitment to accountability and student discipline;
- Demonstrated success in encouraging parental involvement;
- A Master’s degree or higher degree in Social Work, with clinical and supervisory experience preferred;
- Appropriate New York State Certification
- Demonstrated understanding of issues facing children and youth, especially those from immigrant families and poverty-level families, in urban areas;
- Bilingual (English/Spanish), helpful.

Office Manager: The Office Manager reports directly to the Director of Operations, but is expected to carry out tasks as requested by the Principal and all instructional staff.

Responsibilities:

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- Answering and redirecting, as necessary, general telephone and email enquiries.
- Maintaining office appliances
- Coordinating internal meetings and appointments
- Managing postal operations
- Accurately maintaining and updating student information using ATS and Illuminate including student attendance.
- Collecting and filing student information as required by State and federal law; managing student recruitment process including outreach and tours for parents
- Ensuring student enrollment is at the correct count
- Maintaining student waiting list according to State law; receives and organizes applications
- Ensuring new student lottery is run in compliance with law
- Transmitting student transfer/withdrawal paperwork to and/or from student's former or current school
- Carrying out administrative tasks related to School Lunch Program.
- Managing student transportation via bus and other modes of arrival, dismissal and field trips
- Ensuring student transportation schedule is aligned with school calendar
- Managing daily mode changes for students whose usual mode of transportation is different from usual
- Coordinating school-parent communications.
- Maintaining system to address facility needs (lighting, repairs in rooms, clean up of bodily fluids)
- Scheduling and logging fire alarms, in accordance with laws

Minimum Qualifications and Training: (1) Minimum of Associate's Degree or business training; (2) Demonstrated and successful record of prior employment in an administrative, secretarial or office manager capacity in an educational environment; (3) Knowledge of and experience with relevant technologies.

Nurse: Provides preventive health services to facilitate students' optimal physical, mental, emotional and social growth and development. Promotes and protects the optimal health status of school-age children.

Responsibilities:

- Providing health assessments and developing and implementing a student health plan
- Maintaining, evaluating and interpreting cumulative health data to accommodate individual needs of students
- Planning and implementing school health management protocols, providing health education and anticipatory guidance
- Participating in home visits to assess the family needs as related to the child's health.
- Developing procedures and providing for emergency nursing management for injuries/illnesses
- Coordinating school and community health activities and serving as a liaison health professional between the home, school and community.

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- Where applicable, participates in the IEP plan development.

Minimum Qualifications and Training: (1) Qualified to practice as a Registered Nurse in the State of New York and holds an unrestricted license; (2) Certified in CPR or BLS (or obtain in the first 6 months); (3) B.S.N. or Registered Nurse with a bachelor's degree in a related discipline; (4) Minimum of one year experience in public health nursing, community health nursing, school health nursing or pediatric nursing.

Reading Intervention Teacher: The Reading Intervention Teacher reports to the Principal until the Dean of Students is hired and is responsible for (1) providing content knowledge and resources to instructional staff regarding learning and teaching literacy and (2) providing reading intervention instruction to struggling students through push-in and pull-out instruction.

Responsibilities:

- Working closely with middle and high school teachers to provide direct reading intervention to targeted students in both a push-in and pull-out model.
- Researching and providing content knowledge and resources to staff about learning and teaching literacy
- Researching and preparing materials for the use by the teachers
- Researching and providing information and guidance regarding a range of effective and innovative literacy practices through various activities such as professional development activities.
- Maintaining paperwork consistently, appropriately and in a timely manner.

Minimum Qualifications and Training:

- Must be "Highly Qualified" under the No Child Left Behind Act, subject to New York State Education Law, Article 56 Certification Requirements.
- Master's Degree from Reading Specialist/Literacy Program and Appropriate state certifications.
- At least 3 years of successful experience as reading specialist/literacy coach in a middle school or high school environment.
- Bilingual (English/Spanish) helpful.
- Knowledge of and experience with a variety of reading intervention programs and methods and strategies
- Knowledge of and experience with assessments and relevant technologies.
- Experience working with diverse populations of students, parents and families.
- Demonstrated ability to communicate and work effectively and collaboratively with colleagues and parents.
- Demonstrated ability to adapt to the specific needs of individual students.
- Demonstrated ability to utilize varied teaching methodologies to accommodate students' unique learning styles.

Math Intervention Teacher: The Math Intervention Teacher reports to the Principal until the Dean of Students is hired and is responsible for (1) providing content knowledge and resources to instructional staff regarding learning and teaching math and (2) providing math intervention instruction to struggling students through push-in and pull-out instruction.

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Responsibilities:

- Working closely with middle school and high school teachers to provide direct math intervention to targeted students in both a push-in and pull-out model.
- Researching and providing content knowledge and resources to staff about learning and teaching math
- Researching and preparing materials for the use by the teachers
- Researching and providing information and guidance regarding a range of effective and innovative math practices through various activities such as professional development activities.
- Maintaining paperwork consistently, appropriately and in a timely manner.

Minimum Qualifications and Training:

- Must be “Highly Qualified” under the No Child Left Behind Act, subject to New York State Education Law, Article 56 Certification Requirements.
- NYS State Certified in middle school/high school math
- At least 3 years of successful experience as math teacher or math coach in a middle or high school environment.
- Bilingual (English/Spanish) helpful.
- Knowledge of and experience with a variety of math intervention programs and methods and strategies
- Knowledge of and experience with assessments and relevant technologies.
- Experience working with diverse populations of students, parents and families.
- Demonstrated ability to communicate and work effectively and collaboratively with colleagues and parents.
- Demonstrated ability to adapt to the specific needs of individual students.
- Demonstrated ability to utilize varied teaching methodologies to accommodate students’ unique learning styles.

College Counselor

The primary role of a College Counselor is to assist third- and fourth-year high school students with the preparation of necessary college entrance documentation and ensure that these students are meeting all requirements to enter a college upon graduating from high school. The College Counselor will meet with parents to provide them with the basics of college admissions and meet with parents and students to review academic needs for college entrance and assist with filing financial aid and application paperwork. The College Counselor will guide a student through the entire college admissions process, from satisfying college entrance exam requirements to completing a college application, including writing recommendation letters, contacting college admissions offices and providing students with detailed information about the specific colleges they are considering. The College Counselor reports to the Dean of Students. The core responsibilities include:

Advising Students about College Entrance Process

Informing students about the college entrance process and ensuring that each student meets the academic and registration requirements at each step of this process.

Assist with Completion of Documents

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The College Counselor will help with the completion of required documents, such as college essays and financial aid paperwork. S/he will help students gather information about courses taken, grades, grade point average and other pertinent details a college might ask for on an application.

Conduct Meetings and College Visits

The College Counselor will be expected to visit college campuses and meet with admissions and financial aid representatives and to keep updated about college entrance requirements. S/he will arrange for college personnel to visit high school students at CP Bronx to talk about college entrance and the college experience and arrange for students to visit local colleges.

Minimum Qualifications and Requirements

- Bachelors degree (Masters Degree in Education or School Counseling is preferred)
- At least three years of experience in a college counseling setting, though not required , is also preferred
- Bilingual (Spanish/English) helpful.
- Strong oral and written communication, interpersonal and organizational skills.
- Effective advocates of their students.
- Ability to coordinate necessary paperwork to help students satisfy college admissions requirements
- Ability to assess students' academic progress to meet requirements of specific colleges and college programs
- Ability to effectively communicating with college admissions and financial aid departments and to have relationships with college admissions and financial aid departments.

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Partner Organization

For an exhaustive description of Capital Preparatory Schools, the charter management organization (CMO) proposed to contract with CP Bronx, please see the attached Business Plan.

Partner Commitment

Please see the proposed management contract in the Business Plan.

Governance

(a) Education Corporation Board Roles and Responsibilities

The CP Bronx Board of Trustees (BOT) will hold the charter contract with SUNY and be responsible for the achieving the school's mission and Accountability Plan goals. Its responsibilities include setting the budget, determining annual priorities, formulating major policy, overseeing CP Bronx's compliance with relevant laws and regulations and the school's charter, and raising funds to support the growth of CP Bronx. The BOT will receive support from CPS in undertaking its responsibilities as part of its management agreement with CPS (see Attachment 6b Proposed CMO Agreement). Specifically, among the BOT's responsibilities are:

- Ensuring that CP Bronx implements its programs in a manner consistent with the mission, goals, terms and conditions of its charter, including all applicable state and federal laws and regulations.
- Operating at all times in compliance with CP Bronx's Code of Ethics and overseeing the implementation of all policies governing the operation of the school.
- Overseeing implementation of the educational program to ensure the charter school operates in an educationally sound manner including approving and ensuring that CP Bronx progresses toward and fulfills its goals and objectives set forth in the charter and Accountability Plan.
- Overseeing and giving final approval for hiring the Principal and the evaluation of his or her performance annually by CPS.
- Conducting the annual evaluation of CPS.
- Overseeing the evaluation of the staff by the Principal or his or her designee.
- Approving CP Bronx's annual budget, reviewing regular financial updates, and ensuring that the school operates in a fiscally sound manner, including adequate internal financial controls.
- Providing support to CP Bronx as necessary with fundraising, marketing and other services.
- Hearing and making determinations regarding complaints submitted to the BOT in a timely manner pursuant to CP Bronx's complaints process.

(See Response 13d - By-Laws for further details on the roles and responsibilities of the BOT.)

(b) Education Corporation Board Design

CP Bronx will be governed by a strong board. The Letter of Intent delineated each proposed member's relevant skills and experience, which include charter school governance, nonprofit governance, charter school start-up and implementation, K-12 education, school and district leadership, youth development, fundraising, charter school management, nonprofit

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management, finance, facilities and community engagement. The founding Board has the requisite skills and experience to successfully launch and oversee the start-up and implementation of CP Bronx, provide the ongoing oversight necessary to ensure that CP Bronx adheres to its charter contract and responsibly and faithfully upholds its fiduciary responsibilities in the oversight and management of public funds.

The school board will have six members, one of whom will be affiliated with the charter management organization. Currently two of the proposed members are affiliated with CPS, but one (Joan Massey) will step off the board once the charter is approved and two additional board members are recruited from the community.

The Board will include the following Officer positions: Chair, Vice Chair, Secretary, Treasurer (see by-laws for full position descriptions). Much of the work of the BOT will be conducted at the Committee level. CPS will support the work of each Committee. The Board will have three standing committees: An Executive Committee chaired by the Chair, an Audit and Finance Committee chaired by the Treasurer, and an Academic Committee.

- The Executive Committee is comprised of at least five members led by the Chair and includes all Officers. It facilitates effective decision-making by the board. It acts as an advisor to the Principal and as liaison between the Principal and the full BOT;
- The Audit and Finance Committee is responsible for selection of an outside auditor, meeting with the auditor to receive the audit report and management letter, and discussing the management letter with the full BOT and the senior staff. It may audit the expenses of the BOT and the Principal and is responsible for oversight of the preparation of the annual budget and the school's financial performance in meeting its budgeted revenues and expenses; and
- The Academic Committee is comprised of 3 to 5 members and includes the Chair and Principal. This Committee works to ensure the school is meeting its accountability goals related to student achievement, helps ensure the academic quality and credibility of the school as an academic institution and supports the Principal in the maintenance, promotion and improvement of the academic standards set forth in the charter.

Standing committee assignments will be made at the first BOT meeting. Additional committees may be established at any time.

The BOT is CP Bronx's oversight and policy-making body and will meet monthly at the school once it opens. Board meetings will be conducted in accordance with Open Meeting Law requirements; meetings will be advertised in advance at the school and on the school website and will be open to the public. BOT agendas and meeting minutes will be archived and copies available at the school as well.

The BOT may delegate certain responsibilities and duties to CPS, which will be engaged as the school's CMO, CP Bronx's Principal or other staff directly related to the School's daily operation, under the following conditions: (a) the school staff and CPS will operate with oversight from the BOT; and (b) the BOT is ultimately responsible and accountable for the actions of any person or entity to whom or to which responsibility has been delegated, and for any and all obligations,

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programs and policies of the school. The BOT will use data to help ensure the quality of its decision-making. Student assessment and achievement data will be collected, managed and stored in a secure data warehouse that provides online access to data and presents it in comprehensive and understandable reports. The BOT will require CPS and CP Bronx's management to prepare reports and/or make BOT presentations on a regular basis regarding a variety of data, including ongoing assessment results, state test results, attendance/disciplinary information and relevant personnel-related data.

The BOT is cognizant of the need it will have to continue to recruit new members. CPS will support the BOT in identifying new candidates who 1) represent the various constituent groups, including teachers, students, and parents; 2) reflect the diversity of the Bronx community, including age, race and ethnicity, socio-economic background, and geography; and 3) have skill sets, knowledge, and expertise in education, governance, law, finance, fundraising, marketing, human resources, youth development, and charter school development; 4) have strong ties to the community; and/or 5) have a demonstrated ability to work collaboratively and make decisions in the best interests of the school and the students served. At this stage, CP Bronx believes it has a well-rounded board representing the necessary skills and experience to oversee start-up and implementation; however, an additional member with specific expertise in real estate and facilities finance and development would be a valuable addition.

The BOT will engage in professional development each year to ensure that all Trustees have a common vision of the BOT's roles and responsibilities and to address needs or gaps identified by the Chair based on an annual self-evaluation completed by all BOT members. In addition, all new BOT members will participate in an orientation that includes written orientation materials (i.e., the charter, the By-laws, the Code of Conduct, previous BOT and Committee meeting minutes and information and articles regarding best practices in charter school governance) and at least one orientation meeting with the Board Chair and the Chair of any Committee on which the new Trustee will serve. Professional development for all members will include training to ensure that Trustees understand their legal and financial obligations (e.g., duty of loyalty, duty of care) as well as the laws and regulations that govern how a BOT may do business (e.g., the Open Meetings Law).

(c) Stakeholder Participation

CP Bronx will facilitate the development of a Parent Association (PA). At BOT meetings there will be a regular agenda item for the PA to report on their work or any school issues. Parents may also participate as members of standing and ad hoc Committees. The School will encourage at least one teacher volunteer to attend every BOT meeting. A regular agenda item will be reserved for teacher feedback. The Principal and the BOT will promote staff involvement in school improvement initiatives such as the Title I School-Wide Planning process and on ad hoc committees.

By-Laws

**BY-LAWS
OF
CAPITAL PREPARATORY BRONX CHARTER SCHOOL**

**ARTICLE I
NAME**

The name of this Corporation is Capital Preparatory Bronx Charter School (the “Corporation”).

**ARTICLE II
MEMBERSHIP**

The Corporation has no members. The rights which would otherwise vest in the members vest in the trustees of the Corporation (hereinafter the “Trustees”). Actions which 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
GENERAL PURPOSES**

The Corporation is organized and will be operated exclusively to carry out educational and charitable purposes, within the meaning of Section 501(c)(3) of the Internal Revenue Code of 1986, as now in effect or as may be amended hereafter, including but not limited to:

- (a) operating Capital Preparatory Bronx Charter School (the “School”) in the Bronx, New York pursuant to the Corporation’s charter as granted by the Board of Trustees of the State University of New York;
- (b) exercising all rights and powers conferred by the laws of the State of New York upon not-for-profit education corporations and consistent with the Constitution of the State of New York and the Corporation’s charter, including, but not limited to, raising funds, receiving gifts, bequests and contributions in any form, using, applying, investing and reinvesting the principal and income therefrom and distributing the same for the above purposes; and
- (c) engaging in any other activity that is incidental to, connected with, or in advancement of the foregoing purposes and that is within the definition of charitable and educational purposes of Section 501(c)(3) of the Internal Revenue Code of 1986.

**ARTICLE IV
BOARD OF TRUSTEES**

Section 1. Powers. The Board shall conduct or direct the affairs of the Corporation and exercise its powers, subject to the provisions of applicable law (including the New York Education Law,

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Not-for-Profit Corporation Law, General Municipal Law, and Open Meetings Law), as well as the requirements of the Corporation's charter and these By-laws. The Board may delegate the management of the activities of the School to others, so long as the affairs of the School are managed, and its powers are exercised, under the Board's ultimate jurisdiction. 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 By-laws, and the following specific powers:

- (a) To elect and remove Trustees;
- (b) To select and remove Officers, agents and employees of the Corporation and the School; to prescribe powers and duties for them and to fix their compensation;
- (c) To conduct, manage and control the affairs and activities of the Corporation, and to make rules and regulations;
- (d) To enter into contracts, leases and other agreements which are, in the Board's judgment, necessary or desirable in obtaining the purposes of promoting the interests of Corporation;
- (e) To carry on the business of operating the School and apply any surplus that results from the business activity to any activity in which the Corporation may engage;
- (f) 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;
- (g) 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;
- (h) 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, subject to the provisions of the New York Not-for-Profit Corporation Law and any limitations noted in the By-laws; and
- (i) 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 applicable provisions of the New York Not-for-Profit Corporation Law and the limitations noted in these By-laws.

Section 2. Number of Trustees. The number of Trustees of the Corporation shall be not fewer than five (5) and shall not exceed fifteen (15). The exact number of Trustees is to be determined from time to time by a resolution of the Board. No decrease in the number of Trustees shall shorten the term by any incumbent Trustee.

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Section 3. Election of Trustees. The Board shall elect the Trustees by the vote of a majority of the Trustees then in office. Trustees-elect assume office subject to approval by the authorizing charter entity.

Section 4. Eligibility. Subject to the restrictions in Section 7 below, the Board may elect any person who is not an employee of the Corporation and who is at least eighteen (18) years old and who, in its discretion, it believes will serve the interests of the Corporation faithfully and effectively.

Section 5. Term of Office. Trustees shall hold office for a term of three (3) years. Trustees may succeed themselves in office.

Section 6. Interested Persons.

- (a) Not more than forty percent (40%) of the persons serving on the Board may be (i) persons currently being compensated by the Corporation for services rendered to it within the previous twelve (12) months; or (ii) a sister, brother, ancestor, descendant, spouse, domestic partner, sister-in-law, brother-in-law, daughter-in-law, son-in-law, mother-in-law or father-in-law, cousin or cousin-in-law of any such person.
- (b) Not more than forty percent (40%) of the voting persons on the Board may be directors, officers, employees, agents or otherwise affiliated with any single entity (with the exception of the School or another charter school), regardless of whether said entity is affiliated or otherwise partnered with the Corporation. For the purposes of the foregoing sentence, "single entity" shall mean any individual entity, as well as any and all related entities to such entity such as parents, subsidiaries, affiliates and partners. The Trustees, may, at their sole discretion, waive this restriction upon written request from the School.
- (c) Where the Corporation has engaged a not-for-profit educational service provider or other entity that provides comprehensive management services to the School pursuant to a contract between such entity and the Corporation, no more than two (2) Trustees may be affiliated with such not-for-profit entity, or have immediate family members so affiliated, and one (1) such Trustee's affiliation is limited to serving as director of such entity; provided, however, that in such case the following restrictions shall apply:
 - (i) termination of the contract with the not-for-profit educational service provider or other entity shall constitute cause for removal of such person(s) from the Board, and upon such termination such person(s) may be removed from the Board by vote of the Board provided there is a quorum of at least a majority of the entire Board present at the meeting;
 - (ii) such person(s) shall not hold the offices of Chair or Treasurer of the Board;
 - (iii) when the Board has proper grounds to go into executive session pursuant to the New York Open Meetings Law, and the Board is to discuss or vote upon an issue related to the not-for-profit management company or entity, the personnel of such

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company or entity, or such person(s), the Board may, after such person(s) has had an opportunity to fully address the Board, continue such executive session outside of the presence of such person(s); and

- (iv) the number of Trustees on the Board shall not be less than seven (7) where two (2) Trustees are affiliated with the not-for-profit entity and not less than six (6) where one (1) Trustee is affiliated with the not-for-profit entity.

Section 7. Removal of Trustees. The Board may remove or suspend a Trustee with cause by vote of a majority of the entire Board on examination and due proof of the truth of a written complaint by any Trustee of misconduct, incapacity or neglect of duty, in accordance with Section 226(8) of the New York Education Law and other such sections of the New York Education Law and the Not-for-Profit Corporation Law. In accordance with the procedures set forth in the Education Law, the Board of Regents may remove any Trustee for misconduct, incapacity, neglect of duty, or where it appears to the satisfaction of the Regents that the Board has failed or refuses to carry into effect its educational purposes.

Section 8. Resignation by Trustee. A Trustee may resign by giving written notice to the Board Chair 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 Chair or Secretary shall not be necessary to make it effective, but no resignation shall discharge any accrued obligation or duty of a Trustee. If any Trustee shall fail to attend three (3) consecutive meetings without excuse accepted as satisfactory by the Board, such Trustee shall be deemed to have resigned and the vacancy shall be filled.

Section 9. Vacancies. The office of any Trustee shall become vacant on his or her death, resignation, refusal to act, removal from office, expiration of term, or any other cause specified in the Corporation's charter. If any Trustee fails to attend three (3) consecutive meetings without excuse accepted as satisfactory by the Board, such Trustee shall be deemed to have resigned, and the vacancy shall be filled. The Board may fill any vacancy occurring in the middle of a Trustee's term by electing another individual to serve for the duration of his or her predecessor's unexpired term and may be reelected in accordance with the provisions of this section.

Section 10. Compensation of Trustees. Trustees shall serve without compensation. However, the Board may approve reimbursement of a Trustee's actual and necessary expenses while conducting School business.

Section 11. Meetings.

Section 11.1. Annual Meetings. An annual meeting of the Board shall be held at the School (and until School facilities are identified, such location as determined by the Board) at a date and time designated by the Board. At the annual meeting the Board may elect officers pursuant to a policy adopted by the Board.

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Section 11.2. Regular Meetings. The Board shall meet to conduct business and to review the Treasurer's accounts as frequently as it deems necessary but no less than on a monthly basis as required by Law.

Section 11.3. Special Meetings. Special meetings of the Board may be called (i) at any time by the Chair, (ii) by the senior Trustee on written request of three Trustees if the Chair is absent, or (iii) by any other manner determined by the Board of Trustees. Seniority shall be according to the order in which the Trustees are named in the charter or subsequently elected.

Section 12. Notice of Meetings. Annual, regular and special meetings of the Board shall be held on notice to the Trustees. Notice of any adjournment of a meeting of the Board to another time or place shall be given to the Trustees who were not present at the time of the adjournment and, unless such time and place are announced at the meeting, to the Trustees who were present. Notices shall state the time and place of the meeting and shall indicate that they are being issued by or at the direction of the person calling the meeting. Notice of each meeting of the Board shall be transmitted to each Trustee not less than five (5) and no more than ten (10) days before the meeting to the usual address of every Trustee.

Section 13. Waiver of Notice. Notice of a meeting need not be given to a Trustee who signs a waiver of notice or written consent to holding the meeting or an approval of the minutes of the meeting, whether before or after the meeting, or 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.

Section 14. Board Participation by Other Means. To the extent permitted by Article 7 of the Public Officers Law, Trustees who do not reside in New York, or who cannot be present at the location and date of the meeting will may participate by video conference in order to be counted for the quorum and vote on relevant matters. 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 participating in the Board meeting other than in-person or by live video-conferencing shall not be permitted to vote. Further, Trustees will not be permitted to vote by proxy. Appropriate notice and access will be given to the public such that they can be participate in the meeting if they so wish at any location in which video conferencing is being used. Public notice will inform the public that video conferencing will be used, identify the locations for the meeting, and state that the public has the right to attend the meeting at any of the locations. Members may participate by phone, but will not be included as part of the quorum and will not be permitted to vote on pending issues.

Section 15. Quorum. Unless a greater proportion is required by law, a majority of the entire Board shall constitute a quorum for the transaction of business or of any specified item of business, but a majority of the Trustees present, whether or not a quorum is present, may adjourn any meeting to another time and place. As used in these By-laws, the term "entire Board" shall consist of the number of Trustees that were elected as of the most recently held election of Trustees.

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Section 16. Open Meetings. Notwithstanding any other provisions of these By-laws, the Corporation shall comply with the New York Open Meetings Law.

Section 17. Action by the Board. Any reference in these By-laws to action to be taken by the Board shall mean such action at a meeting of the Board. Except as otherwise expressly required by applicable law or these By-laws, the vote of a majority of the Trustees present at the time of the vote, if a quorum has been established, shall be the act of the Board. In any case in which a Trustee is entitled to vote, he or she shall have no more than, nor not less than, one (1) vote.

Section 18. 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.

Section 19. 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 whom the Trustee believes to be reliable and competent in the matters presented;
- (b) legal counsel, public accountants 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 the Corporation's charter or By-laws, 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 section 19 above, and after reasonable inquiry when the need is indicated by the circumstances, and without knowledge that would cause such reliance to be unwarranted.

Section 20. 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 Section 19, 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.

Section 21. Duty to Maintain Board Confidences. Every Trustee has a duty to maintain the confidentiality of all Board actions which are not required by law to be open to the public, including discussions and votes which take place at any Executive Sessions of the Board. Any Trustee violating this confidence may be removed from the Board.

**ARTICLE V
OFFICERS**

Section 1. Officers of the Corporation. The officers of the Corporation shall be the Chair, a Vice-Chair, a Secretary, a Treasurer, and such other officers as the Board may from time to time establish. Officers shall be elected and shall serve a term that is co-terminus with their term as Trustee. Any two (2) or more offices may be held by the same person, except the offices of Chair and Secretary or the offices corresponding thereto.

Section 1.1. Chair. The Chair shall serve as Chairman of the Board of Directors and shall carry out those duties usually incident to the office of President and shall serve as Chair of the Executive Committee. The Chair shall execute all documents on behalf of the Corporation unless the Board has generally or specifically delegated the authority to execute the document in question to another officer of the Corporation or employee of the School.

Section 1.2. Vice-Chair. The Vice-Chair will assume the responsibilities of the Chair in his or her absence, including convening regularly scheduled Board meetings and presiding or arranging for other Trustees.

Section 1.3. Secretary. The Secretary shall keep the minutes of all meetings, provide written notice of all meetings and copies of minutes of previous meetings in accordance with these By-Laws or as required by the laws of the State of New York, and shall act as the custodian of the Corporation's records.

Section 1.4. Treasurer. The Treasurer shall be the principal financial officer of the Corporation and shall ensure that there is an adequate and correct accounting of the property and business transactions of the Corporation.

Section 2. Election. Upon election, each officer shall hold office until such officer's successor shall have been duly elected and shall have qualified, or until such officer's earlier death, resignation or removal.

Section 3. Removal. Any officer elected by the Board may be removed at any time, for cause or without cause, by an affirmative vote of two-thirds (2/3) of all the Trustees of the Board.

Section 4. Vacancy. In the event a vacancy occurs in any office, the Board shall elect, at a regular meeting or a special meeting of the Board, a person to succeed to such office.

**ARTICLE VI
COMMITTEES OF THE BOARD**

Section 1. Committees of Trustees. The Board, by resolution adopted by a majority of the entire Board, may designate from among its members an Executive Committee, consisting of five (5) or more Trustees, and other standing committees, each consisting of three (3) or more Trustees and other non-Trustees as the Board may deem appropriate. All committees are subject to the New York Open Meetings Law.

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Section 2. Guidelines. Unless otherwise provided by these By-laws or in a resolution of the Board by creating or modifying a special committee, members of each Committee shall be elected by a majority of the Trustees. Each Committee member, to the extent provided in the resolution establishing the Committee, shall have all the authority of the Board, except that no such committee shall have authority as to the following matters:

- (i) the filling of vacancies in the Board or in any committee or removing any Trustee from the Board or any committee;
- (ii) the final approval of recommendations regarding formal complaints filed by individuals or groups against the Corporation or the School;
- (iii) the fixing of compensation of the Trustees for serving on the Board or on any committee;
- (iv) the amendment or repeal of these By-laws or the adoption of new By-laws;
- (v) the granting of degrees; and
- (vi) the amendment or repeal of any resolution of the Board which, by its terms, shall not be so amendable or repealable.

Section 3. Alternate Members. The Board may elect one (1) or more Trustees as alternate members of any such committee, who may replace any absent member or members at any meeting of such committee.

Section 4. Special Committees. The Board may create such special committees as it may deem desirable. Special committees shall have only the powers specifically delegated to them by the Board and in no case shall have powers which are not authorized for standing committees.

Section 5. Executive Committee. The Executive Committee, in intervals between the meetings for the Trustees, may transact such business of the Corporation as the Trustees may authorize.

Section 6. Audit and Finance Committee. The Audit and Finance Committee shall have and may exercise the authority, without limitation, to (i) recommend the annual appointment of the Corporation's auditors; (ii) review with the Corporation's auditors the scope of the audit and non-audit assignments and related fees, accounting principles the Corporation shall use in financial reporting, internal auditing procedures and the adequacy of the Corporation's internal control procedures; (iii) otherwise to take all actions necessary and appropriate in light of, and in order to comply with, all applicable statutes, rules and regulations of regulatory agencies and bodies; (iv) review detailed monthly and quarterly financial statements; and (v) perform such other matters as the Board may assign from time to time.

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Section 7. Academic Committee. The School shall have an Academic Committee, chaired by the principal of the School. Each Academic Committee shall oversee education programs and review student achievement data for the School.

Section 8. Procedures of Committees. All committees may adopt rules governing the time of, the method of calling, or the method of holding their meetings, and the conduct of their affairs. All committees shall keep a record of their acts and proceedings in accordance with the New York Open Meetings Law and shall report thereon to the Board.

Section 9. Quorum and Manner of Acting. A majority of the members of a committee shall constitute a quorum for the transaction of business, and the act of a majority of those present at a meeting at which a quorum is present shall be the act of the committee. The members of a committee shall act only as a committee.

ARTICLE VII CONFLICTS OF INTEREST

Section 1. Disclosure. Trustees, officers and employees shall seek to avoid potential conflicts of interest in personal and in professional relationships, and shall timely disclose potential conflicts of interest to appropriate supervisory personnel and/or other applicable Corporation officials in accordance with the Corporation's policies. In addition, all Trustees, officers and staff shall fully cooperate in the management of any potential conflicts of interest. In addition, trustees, officers and senior staff shall fully comply with the Corporation's Conflict of Interest Policy.

Section 2. Conflicts of Interest Policy. The Board shall adopt a Conflict of Interest Policy consistent with the requirements of the New York Not-For-Profit Corporation Law and the General Municipal Law. The Conflict of Interest Policy shall: (a) define the circumstances that constitute a conflict of interest; (b) include procedures for disclosing, addressing and documenting potential and actual conflicts of interest; (c) prohibit a conflicted Trustee, officer or employee from participating in deliberations or voting or improperly influencing a vote on such conflict; (d) require that the existence and resolution of a conflict be properly documented, including in the minutes of any meeting at which the conflict was discussed or voted upon; (e) require Trustees, officers and key employees, prior to their initial election, appointment or hire, as applicable, and no less than annually thereafter, to disclose any entities with which they are affiliated and with which the Corporation has a relationship and any transactions possibly giving rise to a conflict for the Trustee, officer or key employee; (f) require the Board or a committee of independent trustees (as defined in the Conflict of Interest Policy) to oversee the adoption and implementation of and compliance with the Conflict of Interest Policy; and (g) limit participation in any Board or committee deliberations or vote on matters relating to the Conflict of Interest Policy to independent directors.

ARTICLE VIII CONTRACTS, LOANS, GRANTS AND PROPERTY

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Section 1. Contracts. Except as otherwise provided by law, the Board may, prospectively or retroactively, authorize the Secretary or, prospectively, authorize any other officer(s) or agent(s) of the Corporation, in the name and on behalf of the Corporation, to enter into any contract. Any such authority may be general or confined to specific instances.

Section 2. Loans. The Board may prospectively authorize the Treasurer or any other officer(s) or agent(s) of the Corporation to effect loans and advances at any time for the Corporation from any bank, trust company or other institution, or from any firm, corporation or individual, and for such loans and advances to make, execute and deliver promissory notes, bonds, or other certificates or evidences of indebtedness of the Corporation, and when authorized to do so to pledge, hypothecate or transfer, to the extent permitted by law, any securities or other property of the Corporation as security for any such loans or advances. Such authority conferred by the Board may be general or confined to specific instances.

Section 3. Grants. The Board, on the basis of written recommendations from individual Trustees, officers and employees of the Corporation, may, prospectively or retroactively, authorize the Chair, on behalf of the Corporation, to make grants and other contributions.

Section 4. Property Holding. The Board may take and hold by gift, grant, devise or bequest in their own right or in trust for any purpose comprised in the objects of the Corporation, such additional real and personal property, beyond such as shall be authorized by its charter, as the Board of Regents shall authorize within one (1) year after the delivery of the instrument or probate of the will giving, granting, devising or bequeathing such property. Such authority given by the regents shall make any such gift, grant, devise or bequest operative and valid in law. Any grant, devise or bequest shall be equally valid whether made in the Corporation's name or to the Trustees, and such powers given to the Trustees shall be powers of the Corporation.

Section 5. Control of Property. The Board may (a) buy, sell, mortgage, let and otherwise use and dispose of its property as it shall deem for the best interests of the Corporation; and (b) lend or deposit, or receive as a gift, or on loan or deposit, literary, scientific or other articles, collections, or property pertaining to its work. Such gifts, loans or deposits may be made to or with the Corporation. Any such transfer of property, if approved by the Board of Regents, shall during its continuance, transfer responsibility therefor to the Corporation, which shall also be entitled to receive any money, books or other property from the state or other sources to which the school would have been entitled but for such transfer.

ARTICLE IX NON-LIABILITY; INDEMNIFICATION; INSURANCE

Section 1. Non-Liability of Trustees. The Trustees shall not be personally liable for the Corporation's debts, liabilities or other obligations.

Section 2. Indemnification of Trustees and Officers. In accordance with the New York Not-For-Profit Corporation Law, the Corporation shall, to the fullest extent permitted, and in the manner prescribed by the New York Not-For-Profit Corporation Law, as amended from time to time, indemnify any person who is or was made, or threatened to be made, a party to any action or proceeding, whether civil or criminal, whether involving any actual or alleged breach of duty,

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neglect or error, any accountability, or any actual or alleged misstatement, misleading statement or other act or omission and whether brought or threatened in any court or administrative or legislative body or agency, by reason of the fact that he or she, or his or her testator was a Trustee, Officer, employee or agent of the Corporation, against any judgments, fines, amounts paid in settlement, and reasonable expenses, including attorneys' fees. No indemnification may be made to or on behalf of any such person if (a) his or her acts were committed in bad faith or were the result of his or her active and deliberate dishonesty and were material to such action or proceeding. The Corporation shall reimburse or advance to any person referred to in this section the funds necessary for payment of expenses (including, without limitation, attorneys' fees, costs and charges) incurred in connection with any action or proceeding referred to in this section to the fullest extent permitted by New York Not-For-Profit Corporation Law.

Section 3. Insurance. The Corporation shall have the power to purchase and maintain all insurance policies deemed to be in the best interest of the Corporation including insurance to indemnify the Corporation, for any obligation which it incurs as a result of its indemnification of Trustees, Officers and employees pursuant to Section 2 above, or to indemnify such persons in instances in which they may be indemnified pursuant to Section 2 above.

ARTICLE X BOOKS AND RECORDS

Correct and complete books and records of account and minutes of the proceedings of the Board, the Executive Committee and all Standing Committees shall be kept at the main office. 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 obligations imposed by any applicable federal, state or local law.

ARTICLE XI FISCAL YEAR

The fiscal year of the Corporation shall begin on July 1 and shall end on June 30 in each year.

ARTICLE XII CORPORATE SEAL

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

ARTICLE XIII AMENDMENTS

Section 1. Amendments. These By-Laws or any one or more of the provisions thereof may, at any annual, regular or special meeting of the Board, be amended by changing, altering, suspending, supplementing or repealing the same by a majority vote of the entire Board; provided, however, that no By-Law by which more than a majority vote shall be required for any

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specified action by the Board shall be amended, changed, altered, suspended, supplemented or repealed by a smaller vote than that required for action thereunder.

Section 2. SUNY/CSI Approval. No material amendment to these By-laws shall be effective without approval of the Charter School Institute of the State University of New York and/or the Board of Trustees of the State University of New York, as may be 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 By-laws of said Corporation were duly and regularly adopted as such by the Board of said Corporation; and that the above and foregoing By-laws are now in full force and effect.

Secretary

Date

CAPITAL PREPARATORY BRONX CHARTER SCHOOL

CODE OF ETHICS

FOR CORPORATION TRUSTEES, OFFICERS AND EMPLOYEES

The Board of Trustees (the “Board”) of Capital Preparatory Bronx Charter School (the “Corporation”) recognizes that sound, ethical standards of conduct serve to increase the effectiveness of school leadership as educational leaders in their community. Actions based on an ethical code of conduct promote public confidence and the attainment of the Corporation’s goals. The Board also recognizes its obligation to adopt a code of ethics consistent with the provisions of the New York General Municipal Law and the Education Law, setting forth the standards of conduct required of all Corporation trustees, officers and employees.

Therefore, every trustee, officer and employee of the Corporation, whether paid or unpaid, shall adhere to the following standards of conduct:

1. *Gifts:* A trustee, officer or employee shall not directly or indirectly solicit any gifts nor accept or receive any single gift having a value of \$75 or more, or gifts from the same source having a cumulative value of \$75 or more over a twelve-month period, whether in the form of money, services, loan, travel, entertainment, hospitality, thing or promise, or any other form, if it could reasonably be inferred that the gift was intended to influence him or her in the performance of his or her official duties or was intended as a reward for any official action on his or her part.

However, the Board welcomes and encourages the writing of letters or notes expressing gratitude or appreciation to staff members. Gifts from children that are principally sentimental in nature and of insignificant financial value may be accepted in the spirit in which they are given.

2. *Confidential information:* A trustee, officer or employee shall not disclose confidential information acquired by him or her in the course of his or her official duties or use such information to further his or her own personal interest. In addition, he/she shall not disclose information regarding any matters discussed in an executive session of the Board, whether such information is deemed confidential or not.
3. *Representation before the Board:* A trustee, officer or employee shall not receive or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before the Board.
4. *Representation before the Board for a contingent fee:* A trustee, officer or employee shall not receive or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before the Board, whereby the compensation is to be dependent or contingent upon any action by the Corporation with respect to such matter, provided that this paragraph shall not prohibit the fixing at any time of fees based upon the reasonable value of the services rendered.

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5. *Disclosure of interest in matters before the Board:* A trustee, officer or employee of the Corporation, whether paid or unpaid, who participates in the discussion or gives official opinion to the Board on any matter before the Board shall publicly disclose on the official record the nature and extent of any direct or indirect financial or other private interest he or she, or his or her spouse, has in such matter. The term “interest” means a direct or indirect pecuniary or material benefit accruing to a trustee, officer or employee.
6. *Investments in conflict with official duties:* A trustee, officer or employee shall not invest or hold any investment directly in any financial, business, commercial or other private transaction that creates a conflict with his or her official duties.
7. *Private employment:* A trustee, officer or employee shall not engage in, solicit, negotiate for or promise to accept private employment when that employment or service creates a conflict with or impairs the proper discharge of his or her official duties.
8. *Future employment:* A trustee, officer or employee shall not, after the termination of service or employment with the Board, appear before the Board or any panel or committee of the Board, in relation to any case, proceeding, or application in which he or she personally participated during the period of his or her service or employment or that was under his or her active consideration. This shall not bar or prevent the timely filing by a present or former officer or employee of any claim, account, demand or suit against the Board on his or her own behalf or on behalf of any member of his or her family arising out of any personal injury or property damage or for any lawful benefit authorized or permitted by law.

Distribution of Code of Ethics

The Chairman/Secretary shall cause a copy of this Code of Ethics to be distributed annually to every trustee, officer and employee of the Corporation. Each trustee, officer and employee elected or appointed thereafter shall be furnished a copy before entering upon the duties of his or her office or employment.

Penalties

In addition to any penalty contained in any other provision of law, any person who shall knowingly and intentionally violate any of the provisions of the Board’s code of ethics may be fined, suspended or removed from office or employment, as the case may be, in the manner provided by law.

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CAPITAL PREPARATORY BRONX CHARTER SCHOOL

CONFLICT OF INTEREST POLICY

The purpose of this Conflict of Interest Policy (the "Policy") is to protect the interests of Capital Preparatory Bronx Charter School (the "Corporation") when it is contemplating entering into a transaction or arrangement that may benefit the private interests of a Trustee, Officer or employee of the Corporation. Before entering into any transaction or arrangement that may benefit the private interests of a Trustee, Officer or employee of the Corporation, the Board of Trustees of the Corporation (the "Board") shall determine whether the transaction or arrangement is prohibited under this Policy.

Article 1

Conflicts of Interest

Section 1. Corporation Trustees, Officers and employees, subject to certain limited exceptions, are generally prohibited from having a direct or indirect pecuniary or material benefit accrue from a contract with the Corporation, provided, however, this does not preclude the payment of lawful compensation and necessary expenses of such Trustee, Officer or employee in holding his or her position with the Corporation, as applicable. A Trustee, Officer or employee will also be considered to have a pecuniary or material benefit in a contract if the Corporation is party to a contract with (i) his or her spouse, minor children or dependents (except contracts of employment with such Corporation), (ii) a firm, partnership or association of which he or she is a member or employee, (iii) a corporation of which he or she is an officer, director or employee or (iv) a corporation any stock of which is owned or controlled directly or indirectly by him or her.

Section 2. Corporation Trustees, Officers and employees are also restricted from engaging in any Related Party Transaction, which is not already expressly prohibited by Section 1 above, except as approved by the Board. In determining whether to approve a Related Party Transaction, the Board must determine if the transaction is fair, reasonable and in the best interests of the Corporation at the time of such determination. With respect to any Related Party Transaction involving a charitable corporation and in which a Related Party has a substantial financial interest, the Board shall consider alternative transactions to the extent available.

Section 3. No Trustee, Officer or employee shall directly or indirectly, solicit any gift, or accept or receive any gift having a value of seventy-five dollars (\$75.00) or more, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form without prior approval of the Board of Trustees.

Section 4. Employees of the Corporation may not serve on the Board of Trustees.

Article 2

Disclosure and Voting

Any potential or actual conflict of interest described in Article 1 of this Policy must be promptly disclosed in good faith in writing to each member of the Board, together with all material facts known to such Trustee, Officer or employee in with respect to the actual or potential conflict of interest. All such potential or actual conflicts of interest shall be reviewed by the Board. Any Trustee, Officer or employee to which the potential or actual conflict of interest relates shall leave the room while deliberations are conducted. If not prohibited by Article 1 of this Policy, any matter involving an actual or potential conflict of interest shall be approved by not less than a majority vote of the Board members present and voting at the meeting; provided, that the Trustee to which the potential or actual conflict of interest relates shall not be permitted to vote. No Trustee, Officer or employee shall vote, act, or attempt to influence improperly the deliberations, as applicable. Any attempt to vote, act, or improperly influence deliberations may be grounds for removal from the Board or termination of employment with the Corporation.

Article 3

Committee Review

The Board may delegate to the Audit Committee or any Board committee comprised solely of Independent Trustees (each a "Committee") the adoption, implementation of and compliance with this Policy. The Board may delegate to such Committee review and approval of any potential or actual conflict of interest; provided that if the potential or actual conflict of interest is of a nature that would otherwise require full Board approval, the Committee shall provide a recommendation as to whether or not to approve the potential or actual conflict of interest to the full Board, and the Board shall be responsible for making a final determination. In the event the Board delegates the review and approval of conflicts of interest to a committee, all references to the Board in this Policy shall be deemed to refer to such Committee and all references to a majority of the Board shall be deemed to refer to a majority of such Committee.

Article 4

Records of Proceedings

The minutes of all meetings of the Board and all committee meetings at which a potential or actual conflict of interest is considered shall contain the following:

- (i) The names of the persons who disclosed or otherwise were determined to have a potential or actual conflict of interest, the nature of the potential or actual conflict of interest, any action taken to determine whether a conflict of interest exists, and the Board's decision as to whether a conflict of interest exists.

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- (ii) The names of the persons who were present for discussions and votes relating to any determinations under this Policy, including whether the Trustee, Officer or employee left the room during any such discussions, the content of such discussions, and whether or not the transaction was approved by the Board.

The minutes shall be documented contemporaneously to the discussion and decision regarding the conflict of interest.

Article 5

Disclosures

Prior to the initial election or appointment of a Trustee to the Board, and thereafter on an annual basis, all Trustees, in addition to all Officers and employees, shall disclose in writing to the Secretary of the Corporation:

- (i) Any entity of which the Trustee, Officer or employee is an officer, director, trustee, member, owner or employee;
- (ii) Any entity of which a Relative of the Trustee, Officer or employee is an officer, director, trustee, member, owner or employee and with which the Corporation has a relationship;
- (iii) Any Financial Interest the Trustee, Officer or employee may have in any corporation, organization, partnership or other entity which provides professional or other goods or services to the Corporation for a fee or other compensation; and
- (iv) Any position or other material relationship such Trustee, Officer or employee may have with any not-for-profit corporation or any position or other material relationship held by a Relative of such Trustee Officer or employee, with which the Corporation has a business relationship.

Each Trustee, Officer and employee shall also annually sign and submit to the Board Secretary a statement which affirms such person: (a) has received a copy of this Policy, (b) has read and understands the Policy, and (c) has agreed to comply with the Policy.

Article 6

Miscellaneous

Section 1. Any contract willfully entered into by or with the Corporation which is prohibited by this Conflict of Interest Policy shall be null, void and wholly unenforceable.

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Section 2. In no instance shall a trustee, officer or employee of a for-profit educational management organization having a business relationship with the Corporation serve as a voting member of the Board for the duration of such business relationship.

Section 3. Trustees, officers, or employees of any single external organization shall hold no more than 40% of the total seats comprising the Board.

Section 4. Trustees, Officers and employees shall avoid at all times engaging in activities that would appear to be unduly influenced by other persons who have a special interest in matters under consideration by the Board. If this occurs, such Trustee, Officer or employee shall disclose in writing all known facts prior to participating in a Board discussion of these matters and the Trustee, Officer, or employee's interest in the matter will be reflected in the Board minutes.

Section 5. Trustees, Officers and employees shall make all appropriate disclosures whenever a grievance of conflict of interest is lodged against them.

Section 6. In addition to any penalty contained in any other provision of law, any person who shall knowingly and intentionally violate this Conflict of Interest Policy may be fined, suspended or removed from office or employment in the manner provided by law.

Section 7. No Trustee, Officer or employee shall disclose confidential information acquired by him or her in the course of his or her official duties or use such information to further his or her personal interests.

Section 8. 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.

Article 7

Definitions

Capitalized terms used herein shall have the meanings ascribed to such terms below:

- (i) **Affiliate.** An affiliate of the Corporation is a person or entity that is directly or indirectly through one or more intermediaries, controlled by, in control of, or under common control with the Corporation.
- (ii) **Financial Interest.** A person has a Financial Interest if such person would receive an economic benefit, directly or indirectly, from any transaction, agreement, compensation agreement, including direct or indirect remuneration as well as gifts or favors that are not insubstantial or other arrangements involving the Corporation.
- (iii) **Independent Trustee.** A member of the Board who:
 - a. Has not been an employee of the Corporation or an Affiliate of the Corporation within the last three (3) years;

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- b. Does not have a Relative who has been a Key Employee of the Corporation or an Affiliate of the Corporation within the last three (3) years;
 - c. Has not received more than \$10,000 in compensation directly from the Corporation or an Affiliate of the Corporation in any of the last three (3) years (not including reasonable compensation or reimbursement for services as a Trustee, as set by the Corporation);
 - d. Does not have a Relative who has received more than \$10,000 in compensation directly from the Corporation or an Affiliate of the Corporation in any of the last three (3) years (not including reasonable compensation or reimbursement for services as a Trustee, as set by the Corporation);
 - e. Does not have a substantial Financial Interest in and has not been an employee of any entity that has made payments to or received payments from, the Corporation or an Affiliate of the Corporation in excess of the lesser of: (a) \$25,000 or (b) 2% of the Corporation's consolidated gross revenue over the last three years (payment does not include charitable contributions);
 - f. Does not have a Relative who has a substantial Financial Interest or who has been an employee of any entity that has made payments to or received payments from, the Corporation or an Affiliate of the Corporation in excess of the lesser of: (a) \$25,000 or (b) 2% of the Corporation's consolidated gross revenue over the last three years (payment does not include charitable contributions);
 - g. Is not in an employment relationship or under control or direction of any Related Party and does not receive payments subject to approval of a Related Party;
 - h. Does not have a Relative who is in an employment relationship or under control or direction of any Related Party and receives payments subject to approval of a Related Party;
- (iv) **Key Employee**. A person employed by the Corporation who is in a position to exercise substantial influence over the affairs of the Corporation.
- (v) **Officer**. A person who has the authority to bind the Corporation as designated in the By-Laws of the Corporation.
- (vi) **Related Party**. Persons who may be considered a Related Party of the Corporation or an Affiliate of the Corporation under this Policy include:

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- a. Trustees, Officers, or Key Employees of the Corporation or an Affiliate of the Corporation;
 - b. Relatives of Trustees, Officers, or Key Employees;
 - c. Any entity in which a person in (i) or (ii) has a 35% or greater ownership or beneficial interest or, in the case of a partnership or professional corporation, a direct or indirect ownership interest in excess of 5%;
 - d. Founders of the Corporation; and
 - e. Any non-stock entity controlled by one or more Key Employees.
- (vii) **Related Party Transaction**. Any transaction, agreement or any other arrangement with the Corporation or an Affiliate of the Corporation in which a Related Party has a Financial Interest.
- (viii) **Relative**. A spouse, ancestors, brothers and sisters (whether whole or half-blood), children (whether natural or adopted), grandchildren, great-grandchildren, and spouses of brothers, sisters, children, grandchildren, and great-grandchildren; or a domestic partner as defined in section 2994-A of the New York Public Health Law.
- (ix) **Trustee**. Any voting or non-voting member of the governing board of the Corporation.

Complaint Policy

Informal Complaint Procedures

Step 1: Bring Your Complaint to the School Principal

Begin by contacting the Principal to try to resolve any violations, issues or complaints informally. Before doing so, we encourage you to familiarize yourself with the school's policies, guidelines, and reference materials. Such items include, but are not limited to, the parent and student handbook (which contains the student discipline code) and other policies such as the dress code policy. No later than the first day of school each year (or upon enrollment of your student if after the first day of school), you will be provided with a Student and Parent Handbook which contains the policies and procedures set forth above.

Step 2: Contact the School's Charter Management Organization, Capital Preparatory Schools Incorporated.

If after speaking with the Principal you are not satisfied with the outcome or decision pertaining to the Complaint, you may reach out to Capital Preparatory Schools Incorporated ("CPS"), which is the organization that provides day-to-day school management services that support the work of the Principal and the School's leadership team. You may reach CPS directly by emailing us at info@wearecapitalprep.org or calling us at (212) 838-3684 and asking for a CPS representative.

Formal Complaint Procedures

Step 1: Bring your Complaint to the School's Board of Trustees.

If after contacting the Principal and CPS you are not satisfied with the outcome or decision pertaining to the complaint, you may file a formal complaint with the School's Board of Trustees who has the ultimate oversight authority at the School level. The Board meets publicly on a regular basis. The procedure to file a formal complaint is as follows:

- Put the concern in writing and give it to the Principal to forward on to the Board of Trustees or you may send to the Board of Trustees directly (by mail at the School's location)
- The Board of Trustees or its designee will send a written acknowledgement of receipt of complaint within 5 business days of receiving such complaint.
- The Board of Trustees will cause the written complaint to be investigated and will respond to the parent or guardian within thirty (30) business days from receipt of the written complaint, and the individuals tasked with investigating the complaint will report on the matter at the next Board of Trustees meeting.

Step 2: Appeal to the Board of Trustees of the State University of New York.

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As every charter school is subject to oversight by the body that authorizes it, if a parent/guardian is not satisfied with the Board of Trustees's decision, the parent/guardian may appeal to the Board of Trustees of the State University of New York. You may reach the SUNY Charter Schools Institute to submit your complaint by calling (518) 445-4275 or email at charters@suny.edu or by mail at 353 Broadway, Albany, NY 12246. Note: It is very important that before you escalate your complaint to the School's authorizer level you determine it constitutes a formal complaint involving a violation of the school's charter or of state charter law. Informal complaints about policies, most procedures that do not violate either the school's charter or state charter law should be resolved between the parent/guardian and the School's Principal, Charter Management Organization or Board of Trustees.

Step 3: Appeal to Board of Regents.

If the SUNY Charter Schools Institute as the authorizer of the school does not satisfactorily resolve a formal complaint, you can appeal the Institute's written determination to the New York State Board of Regents through the New York State Education Department by calling (518) 474-3852). Please or by submit written appeals by mail to the address listed below.

New York State Education Department
Charter School Office
Room 465 EBA
89 Washington Avenue
Albany, NY 12234

Or via email to:

charterschools@nysed.gov

(subject line should include the name of the school and the word 'Complaint')

District Relations

Community engagement and authentic learning opportunities are critical elements of the Capital Prep model. Just like in Hartford, Bridgeport, and Harlem, Capital Preparatory Schools has focused on garnering community support and partnerships in the Bronx to gather feedback and propose a school option that addresses the needs of the community. This approach has fostered high community interest for the past decade. In addition, the relationships that Capital Preparatory Schools form with the school districts and communities in which they are located are critical to the model's success. This is especially true as students create their 12th grade social justice projects and work to leave a positive legacy on their school and community. In addition, the pride Capital Prep School students feel is evident in the communities in which the schools operate. For example, in CT, often the school leadership hears from district and community leaders about good choices Capital Prep students have made in the community. The students are often identified by the crest on their uniforms, which are critical to the Capital Preparatory Schools model.

District Relations

Dr. Perry and his team attended the CEC meeting for CSD 12. Dr. Perry was open with the parents about his intention to open a Capital Prep school in CSD 12. The superintendent who attended this meeting was not as supportive to hearing about the school. Capital Prep Bronx Boys will continue to try to overcome any opposition to the school in the district with transparency and continuous community outreach.

Once authorized, the school will begin outreach to all the local district and charter schools to discuss potential partnerships. Dr. Perry and his team met with several Bronx community organizations and leaders, including Assembly Member Marcos Crespo, City Council Member Ritchie Torres, Bronx Community College and Monroe College. Capital Preparatory Schools has also spoken with other charter schools and charter networks, such as Bronx Charter School for Excellence, Achievement First, and Children's Aid College Prep, not only to learn from their experience but also to be galvanizers in a collaborative New York education community. Dacia Toll, from Achievement First, has been particularly supportive in sharing resources. Further, Capital Preparatory Schools has made connections to higher education institutions, both through Capital Prep Harlem board members, as well as through meetings with local schools of education. More specifically, conversations with Monroe College and Bronx Community College have been helpful in outlining the educational needs of New York City and have provided a better understanding of how the Capital Prep model could fit into the Bronx community.

One of the strongest advocates for Capital Preparatory Schools to open in the Bronx is the administration of Monroe College, located in CSD 10. In particular, Dr. Cecil Wright, Director of Admissions, and Stephen Jerome, President, were very supportive of the Capital Preparatory Schools mission and vision. In addition, Monroe College has committed to supporting CP Bronx as a community partner. The ongoing conversation with Monroe College centers on the need for high-quality, college preparatory high school programs for students in the Bronx.

School Relations

Capital Preparatory Bronx Charter School

Both CSD 12 have many low performing schools and Capital Prep Bronx hopes to partner with as many schools as possible in the district. Of the 58 elementary and middle schools. The principal of Capital Prep Bronx will serve as the main source of contact with district schools and community members. He or she will make an attempt to attend district wide professional development and education networking events. The principal will also work with already established community partners to leverage introductions with local school leaders. Capital Prep Bronx understands that sometimes school leaders and teachers are very busy with their day to day work that it is hard for them to make time to partner with other schools. With this in mind, the strategies proposed to partner with local schools will be open-ended and ongoing. During Capital Prep Bronx's planning year, the principal will reach out to all the elementary schools in CSD 12 in order to connect with the principal or guidance counselors in those schools and describe the Capital Prep School model. It is the hope that this partnership can create a pipeline of students who want to stay in the district for middle school and are interested in a college preparatory model. The principal will also look for opportunities in the planning year and beyond to offer K-5 community schools professional development. This could come in the form of providing coaching around middle school standards, especially expectations for what a 5th grader should be doing by the end of the year, school tours or professional development opportunities. In future years, Capital Prep Bronx will have an open door policy for all schools within CSD 12 who would like to send teachers or groups of teachers to observe classes and/or attend Friday afternoon professional development sessions with Capital Prep Bronx Illuminators.

At Capital Preparatory Schools, community engagement extends into the core of its work with students. Once opened each Capital Prep school works to incorporate each community's interests and areas of need into daily school life. Students in Hartford and Bridgeport have created their own social justice initiatives and programs (Young Women's Leadership Initiative and Men in Action), partnered with area religious and community service organizations to perform volunteer work (hosting Thanksgiving dinners, cleaning up the neighborhood), and organized to advocate for what they want as students. Capital Prep Bronx will encourage and support students who would like to create projects that focus on education in which they can potentially partner with local schools.

Student Demand

(a) General Student Population

CP Harlem and CP Harbor have both consistently received an overwhelming number of applications, and evidence suggests there will also be strong demand for seats at CP Bronx. CP Harlem has attracted on average 1,300 applicants each year over its first two years of operations and CP Harbor has attracted on average 876 applicants each year over its first three years of operations. Most relevant to the current charter proposal for CP Bronx, this spring 674 families from the Bronx applied to CP Harlem. More than 600 families from the Bronx applied in each of the prior two years. Thus we believe many Bronx families will be happy to apply to a CP school that is even closer to home.

More generally, the NYC Charter Center has tracked applications and shows strong demand for charter schools in the Bronx. For the 2017-18 lottery it estimated 21,650 applicants for 5,770 seats in the Bronx. There were approximately four applicants for every one seat in Harlem and the South Bronx. And in CSD 21 there were 1,050 applicants for 410 seats.

(b) Target Population Enrollment

Our enrollment and retention targets are based on enrolling 598 students in grades 6-12 at the end of the first charter term.

Enrollment and Retention Targets

| | Enrollment | Retention |
|----------------------------|------------|-----------|
| Economically Disadvantaged | 91.5% | 87.0% |
| English Language Learners | 20.2% | 86.5% |
| Students with Disabilities | 21.0% | 87.3% |

Recruitment Strategies: CP Bronx will replicate many of the successful recruitment strategies of CP Harlem and CP Harbor. Since our target population is primarily low-income students, our general recruitment strategies apply to recruiting economically disadvantaged students. CP Bronx will be marketed to CSD 12 neighborhoods where a predominance of low-income/poverty-level and non-English speaking families reside. Recognizing that some prospective families, especially those who are economically disadvantaged or are recent immigrants, may be unfamiliar with or have limited access to information regarding their children’s educational options, CP Bronx’s Applicant Group, CPS community engagement staff and the CP Bronx Principal in Residence will leverage their relationships with community-based organizations (CBOs) such as Directions For Our Youth (DFOY) where Applicant Group and Prospective BOT member Ramik Williams serves as Executive Director. DFOY partners with public schools in the Bronx providing out of school time programs for students in Grades K-12, the majority of whom are children representing these at-risk profiles. In addition, CP Bronx will draw on the community leaders with whom relationships have been developed during the

Capital Preparatory Bronx Charter School

public outreach process, including elected officials, nonprofit leaders, program officers who serve teenage youth, and other stakeholders who represent and/or serve a non-English speaking and/or economically disadvantaged and/or SWD constituency. Recruitment and application materials will be available in the predominant languages of the community.

CP Bronx will employ many strategies to publicize its program and appeal to all families in CSD 12. These include posting flyers in multiple languages and placing notices in local newspapers, supermarkets, communities of faith, community centers and apartment complexes, particularly NYCHA public housing developments where many low-income families reside; conducting open houses in after-school programs, youth centers and CBOs serving youth and families in CSD 12; recruiting students from a diverse array of CBOs, including ones that serve ELLs, poverty level families or have a focus on children requiring academic and other intervention services; attending middle school and high school fairs; engaging in outreach to relevant media outlets including minority and foreign language media; canvassing CSD 12 neighborhoods to further reach interested families. CP Bronx will also conduct mass mailings and e-mail blasts of its marketing materials and applications to targeted zip codes where a predominance of low-income and immigrant families reside.

- **Students with Disabilities (SWDs):** CP Bronx will undertake proactive efforts to identify and recruit SWDs. CP Bronx with support from CPS will reach out to CBOs and public agencies that serve and/or advocate on behalf of SWDs and other persons with disabilities. We currently work with Mt. Sinai Adolescent Clinic, Legendary Therapy for Counseling, and City Sounds for Speech. The school will seek to have these organizations sponsor presentations and meetings that enable it to communicate directly with parents and families of SWDs and to explain how their children will be served by its academic program and academic, developmental and social-emotional supports. The CP Bronx Principal and/or Special Education Coordinator will make phone calls to parents of SWDs who express interest in or have questions about the school, and tours of the school will be provided to any parent, including parents of SWDs, upon request. As the school progresses from its first operating year, parents and family members of SWDs enrolled in the school will be encouraged and supported in communicating with and answering the questions of parents of prospective SWDs. CP Bronx will also meet with charter schools that have been successful in enrolling and retaining a percentage of SWD that is equal to or greater than their surrounding districts to learn about their successful strategies for recruiting SWDs. Each year, the school's efforts to recruit SWDs will be reviewed and revised, as necessary.
- **English Language Learners (ELLs):** CP Bronx will develop advertisements and marketing materials in multiple languages and will distribute its marketing materials in a variety of places to ensure that information about the school reaches all parts of the community. The school will also make its lottery materials available in Spanish and other languages, as appropriate. CP Bronx administrators and any bilingual staff, along with bilingual volunteers, will make phone calls to parents of ELL students who express interest in or have questions about the school and will help ELL parents fill out paperwork. As the school progresses from its first operating year, parents and family members of ELLs

Capital Preparatory Bronx Charter School

enrolled in the school will be encouraged and supported in communicating with and answering the questions of parents of prospective ELL students. To support its efforts to recruit economically disadvantaged students, CP Bronx will also leverage the experience, resources and relationships of CBOs and social service agencies engaged in its outreach efforts, in supporting immigrant and low-income families and students. The school's outreach efforts will also include alliance-building with CBOs, community leaders, tenant associations in NYCHA housing projects, public agencies and communities of faith that represent, work with and/or advocate on behalf of ELLs, immigrants and low-income families. The school will adopt a saturation strategy as described previously to ensure maximum outreach to parents and families of ELLs and economically disadvantaged students.

Admissions Factors: CP Bronx will give preference in its lottery to residents of CSD 12 and siblings of enrolled students. Given the community demographics, these preferences will likely result in a predominantly economically disadvantaged student population with a large percentage of students who speak a language other than English at home and may be English language learners.

Retention: Retention of all students, including those within at-risk populations, depends primarily on the academic progress these students are making. As children experience success in CP Bronx's environment, the school will maintain a high rate of student retention as parents' confidence in the school will continue to be bolstered. As such, the most important retention efforts for at-risk populations will be through the development of strong relationships, highly effective and individualized instruction and regular review of data that ensures all students are receiving the academic and affective supports and services they need to be successful. CP Bronx's Response to Intervention (RtI) model will organize instruction and provide resources to meet the diverse needs of all learners. Also, in addition to its comprehensive academic and affective supports, the school will employ a Student Assistance Team (see Specific Populations) to help identify, support, and monitor students with academic, social, and/or emotional challenges.

The school's educational approach of individualized learning and differentiated instruction will also support a comprehensive ELL program to ensure the success of ELLs both in academic achievement and language proficiency. The school will focus on supporting a responsive general education classroom and Sheltered English Instructional strategies that will provide ELLs with access to the general education program. All teachers and staff will support ELLs on their individual learning pathways and will provide appropriate supports to help them achieve linguistic and academic progress. (See Specific Populations)

CP Bronx's commitment to parental support and engagement in academic and school life will also factor strongly in student retention. All parents will feel welcomed as integral community members. CP Bronx will be sensitive to the needs of parents (for instance who may have work or have childcare constraints due to their socioeconomic circumstances) by offering a flexible schedule to attend SLCs, Parent Organization (PO) meetings and other events that engage them in the school community. CP Bronx will also ensure these meetings and events are accessible to non-English speaking parents through translators. The commitment to parent support and

Capital Preparatory Bronx Charter School

engagement coupled with an educational program with robust intervention staffing, supports and services will ensure that CP Bronx will meet or exceed the enrollment and retention targets established by the Board of Regents.

(c) Evidence of Student Demand

See data in section (a).

(d) Community Support

We have been working to establish CP Bronx for a number of years and have secured support from a range of community stakeholders. This support will help establish and maintain the school in a variety of ways, including student and staff recruitment, dual enrollment opportunities, college awareness, and social services for students and their families. Our evidence of community support includes letters from:

1. Aguila, Inc.
2. Bronx Community College
3. Michael Blake, State Assembly
4. Children's Arts and Science Workshop, Inc.
5. City Knights Sports Youth Foundation
6. Marcus Crespo, State Assembly
7. F.A.I.M
8. Hoops in the Sun
9. Monroe College
10. Phipps Neighborhoods
11. Legacy Volleyball Club
12. South Bronx Saints
13. Stand Up To Violence
14. Ritchie Torres, City Council

Evidence of Demand

CP Harlem and CP Harbor have both consistently received an overwhelming number of applications, and evidence suggests there will also be strong demand for seats at CP Bronx. CP Harlem has attracted on average 1,300 applicants each year over its first two years of operations and CP Harbor has attracted on average 876 applicants each year over its first three years of operations. Most relevant to the current charter proposal for CP Bronx, this spring 674 families from the Bronx applied to CP Harlem. More than 600 families from the Bronx applied in each of the prior two years. Thus we believe many Bronx families will be happy to apply to a CP school that is even closer to home.

More generally, the NYC Charter Center has tracked applications and shows strong demand for charter schools in the Bronx. For the 2017-18 lottery it estimated 21,650 applicants for 5,770 seats in the Bronx. There were approximately four applicants for every one seat in Harlem and the South Bronx. And in CSD 21 there were 1,050 applicants for 410 seats.



Aguila, Inc.

Evangelista Pacheco- Nunez
Chair

Edward Grant
Vice-Chair

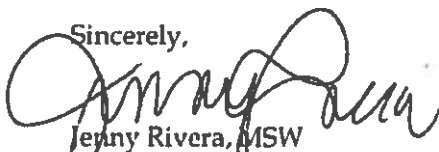
To the New York State Board of Regents:

I am happy to share my support for the expansion of the Capital Preparatory Schools model into in the Bronx. I have watched Dr. Perry and Capital Preparatory Schools as they have opened their first charter school in Bridgeport, CT and second school in Harlem, NY. I believe the work he is doing at Capital Preparatory Schools should be replicated to serve more students. The proposed school, Capital Preparatory Bronx Charter School, will provide middle and high school students an internationally recognized, research-based school model.

Capital Preparatory Bronx Charter Schools will be a much welcomed addition to the Bronx community by providing historically disadvantaged students with the academic, character, and college and career readiness skills needed to become responsible and engaged citizens for social justice. The proven Capital Preparatory Schools model will offer Bronx students a year-round, college-preparatory curriculum that mitigates the impact of “summer learning loss” that is especially prevalent among minority and low-income students. Students prepare for college in a compelling and creative environment where all students are challenged to reach their fullest potential and become agents of change through the lens of an in-depth focus and academic investigation of social justice. In addition, the model gives students individualized attention through daily small group advisory, individual learning plans and a focus on extracurricular programming to emphasize and celebrate the talents of every student.

I look forward to continue to work with Dr. Perry to expand his model as he opens Capital Preparatory Bronx Charter Schools. I fully support his vision for building charter schools that will be a great addition to the Bronx community.

Sincerely,



Jenny Rivera, MSW
Director of Operations
Aguila, Inc.

To the New York State Board of Regents:

I am happy to share my support for the expansion of the Capital Preparatory Schools model into in The Bronx. I have watched Dr. Perry and Capital Preparatory Schools as they have opened their first charter school in Bridgeport, CT, and second school in Harlem, NY. I believe the work he is doing at Capital Preparatory Schools should be replicated to serve more students. The proposed school, Capital Preparatory Bronx Charter School, will provide middle and high school students with an internationally-recognized, research-based school model.

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I support his vision for building charter schools that will be a great addition to the Bronx community.

Sincerely,



Thomas A. Isekenegbe, Ph.D.
President



THE ASSEMBLY
STATE OF NEW YORK
ALBANY

MICHAEL A. BLAKE
Assemblymember
79th District – The Bronx

COMMITTEES
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Correction
Election Law
Governmental Operations
Housing
Veterans' Affairs
SUB-COMMITTEES
Chair, Mitchell-Lama

TASK FORCE
Puerto Rican/Hispanic
Black, Puerto Rican, Hispanic
and Asian Legislative Caucus
Co-Chair, Criminal Justice
Task Force

WORKING GROUPS
Member, Majority Working
Group on Rules, Operations,
Government Transparency
& Public Participation

To the New York State Board of Regents:

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Capital Preparatory Bronx Charter Schools will be a much welcomed addition to the Bronx community by providing historically disadvantaged students with the academic, character, and college and career readiness skills needed to become responsible and engaged citizens for social justice. The proven Capital Preparatory Schools model will offer Bronx students a year-round, college-preparatory curriculum that mitigates the impact of "summer learning loss" that is especially prevalent among minority and low-income students. Students prepare for college in a compelling and creative environment where all students are challenged to reach their fullest potential and become agents of change through the lens of an in-depth focus and academic investigation of social justice. In addition, the model gives students individualized attention through daily small group advisory, individual learning plans and a focus on extracurricular programming to emphasize and celebrate the talents of every student.

I look forward to continue to work with Dr. Perry to expand his model as he opens Capital Preparatory Bronx Charter Schools. I fully support his vision for building charter schools that will be a great addition to the Bronx community.

Regards,



Children's Arts & Science Workshops, Inc.

Bronx River Community Center

To the New York State Board of Regents:

I am happy to share my support for the expansion of the Capital Preparatory Schools model into the Bronx. I have watched Dr. Perry and Capital Preparatory Schools as they have opened their first charter school in Bridgeport, CT and second school in Harlem, NY. I believe the work he is doing at Capital Preparatory Schools should be replicated to serve more students. The proposed school, Capital Preparatory Bronx Charter School, will provide middle and high school students an internationally recognized, research-based school model.

Capital Preparatory Bronx Charter Schools will be a much welcomed addition to the Bronx community by providing historically disadvantaged students with the academic, character, and college and career readiness skills needed to become responsible and engaged citizens for social justice. The proven Capital Preparatory Schools model will offer Bronx students a year-round, college-preparatory curriculum that mitigates the impact of "summer learning loss" that is especially prevalent among minority and low-income students. Students prepare for college in a compelling and creative environment where all students are challenged to reach their fullest potential and become agents of change through the lens of an in-depth focus and academic investigation of social justice. In addition, the model gives students individualized attention through daily small group advisory, individual learning plans and a focus on extracurricular programming to emphasize and celebrate the talents of every student.

I look forward to continue to work with Dr. Perry to expand his model as he opens Capital Preparatory Bronx Charter Schools. I fully support his vision for building charter schools that will be a great addition to the Bronx community.

Sincerely,

Tomas Ramos
Program Director
Childrens Arts & Science Workshops, inc.
Bronx River Community Center



To the New York State Board of Regents:

I am happy to share my support for the expansion of the Capital Preparatory Schools model into in the Bronx. I have watched Dr. Perry and Capital Preparatory Schools as they have opened their first charter school in Bridgeport, CT and second school in Harlem, NY. I believe the work he is doing at Capital Preparatory Schools should be replicated to serve more students. The proposed school, Capital Preparatory Bronx Charter School, will provide middle and high school students an internationally recognized, research-based school model.

Capital Preparatory Bronx Charter Schools will be a much welcomed addition to the Bronx community by providing historically disadvantaged students with the academic, character, and college and career readiness skills needed to become responsible and engaged citizens for social justice. The proven Capital Preparatory Schools model will offer Bronx students a year-round, college-preparatory curriculum that mitigates the impact of "summer learning loss" that is especially prevalent among minority and low-income students. Students prepare for college in a compelling and creative environment where all students are challenged to reach their fullest potential and become agents of change through the lens of an in-depth focus and academic investigation of social justice. In addition, the model gives students individualized attention through daily small group advisory, individual learning plans and a focus on extracurricular programming to emphasize and celebrate the talents of every student.

I look forward to continue to work with Dr. Perry to expand his model as he opens Capital Preparatory Bronx Charter Schools. I fully support his vision for building charter schools that will be a great addition to the Bronx community.

Sincerely Yours,

Leandro Fortyz
Founder
City Knights Sports Youth Foundation

A handwritten signature in black ink that reads "Leandro Fortyz". The signature is written in a cursive style. Below the signature is a solid black rectangular redaction box.



MARCOS A. CRESPO
Assemblyman 85th District

THE ASSEMBLY
STATE OF NEW YORK
ALBANY

CHAIR
Puerto Rican/Hispanic Task Force
CO-CHAIR
Task Force on Demographic Research
and Reapportionment

COMMITTEES
Cities
Energy
Environmental Conservation
Insurance
Transportation

MEMBER
Black, Puerto Rican, Hispanic
and Asian Legislative Caucus

Re: Expansion of the Capital Preparatory Schools

To the State University of New York Board of Trustees:

In my capacity of **New York State Assembly Member**, representing the **85th District** in the County of The Bronx, I am happy to extend my support for the expansion of the Capital Preparatory Schools model into The Bronx Community School District 12. Having watched Dr. Perry and Capital Preparatory Schools open their first charter school in Bridgeport, CT; I truly believe the work being done at Capital Preparatory Schools should be replicated to further serve more students. Most importantly, the proposed school will provide middle and high school students an internationally recognized, research-based school model.

Capital Preparatory Bronx Charter School will serve as a much welcomed addition to The Bronx community as it will work to provide historically disadvantaged students with the academics, character, college and career readiness skills needed to become responsible and engaged citizens. The Capital Preparatory Schools model will offer Bronx students a year-round, college-preparatory curriculum that mitigates the impact of "summer learning loss", which is especially prevalent among minority and low-income students.

Going forward, the school model aims to prepare students for college in a compelling and creative environment where they will be challenged to reach their fullest potential, and become agents of change through the lens of an in-depth focus and academic investigation of social justice. In addition, the model provides students individualized attention through daily small group advisory, individual learning plans and a focus on extracurricular programming emphasizing and celebrating the talents of each and every student.

I look forward to working with Dr. Perry in relations to expanding the Capital Preparatory Bronx School model. I fully support his vision for building charter schools that in the long run will improve the greater Bronx community.

Sincerely,

Marcos A. Crespo
Member of Assembly
District 85



Train up a child in the way he should go, And when he is old he will not depart from it.
Proverbs 22:6

Russell M. White III & Rose Eve White
Co-Founder/Director

To the New York State Board of Regents:

I am happy to share my support for the expansion of the Capital Preparatory Schools model into in the Bronx. I have watched Dr. Perry and Capital Preparatory Schools as they have opened their first charter school in Bridgeport, CT and second school in Harlem, NY. I believe the work he is doing at Capital Preparatory Schools should be replicated to serve more students. The proposed school, Capital Preparatory Bronx Charter School, will provide middle and high school students an internationally recognized, research-based school model.

Capital Preparatory Bronx Charter Schools will be a much welcomed addition to the Bronx community by providing historically disadvantaged students with the academic, character, and college and career readiness skills needed to become responsible and engaged citizens for social justice. The proven Capital Preparatory Schools model will offer Bronx students a year-round, college-preparatory curriculum that mitigates the impact of "summer learning loss" that is especially prevalent among minority and low-income students. Students prepare for college in a compelling and creative environment where all students are challenged to reach their fullest potential and become agents of change through the lens of an in-depth focus and academic investigation of social justice. In addition, the model gives students individualized attention through daily small group advisory, individual learning plans and a focus on extracurricular programming to emphasize and celebrate the talents of every student.

I look forward to continue to work with Dr. Perry to expand his model as he opens Capital Preparatory Bronx Charter Schools. I fully support his vision for building charter schools that will be a great addition to the Bronx community.

Sincerely,

Russell M. White III
Director

██████████ New York 10460 ████

██████████ Facebook: FamInc



To the New York State Board of Regent
:

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I look forward to continue to work with Dr. Perry to expand his model as he opens Capital Preparatory Bronx Charter Schools. I fully support his vision for building charter schools that will be a great addition to the Bronx community.

Sincerely yours,

Joseph Cruz
CO-CEO

New York State Education Department
89 Washington Avenue
Albany, NY 12234

To Whom It May Concern:

I am happy to share my support for the expansion of the Capital Preparatory Schools model into in the Bronx. I have watched Dr. Perry and Capital Preparatory Schools as they have opened their first charter school in Bridgeport, CT and second school in Harlem, NY. I believe the work he is doing at Capital Preparatory Schools should be replicated to serve more students. The proposed school, Capital Preparatory Bronx Charter School, will provide middle and high school students an internationally recognized, research-based school model.

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Sincerely,

Anthony Allen
Senior Vice President



To the New York State Board of Regents:

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Sincerely,

A handwritten signature in blue ink that reads "James A. Stratford".

James A. Stratford

Managing Director of Community Schools





Joel Sanchez

[REDACTED]

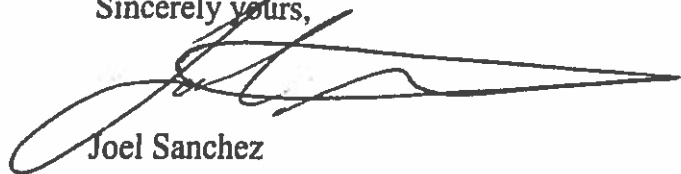
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Sincerely yours,



Joel Sanchez

Executive Director / CEO



To the New York State Board of Regents:

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I look forward to continue to work with Dr. Perry to expand his model as he opens Capital Preparatory Bronx Charter Schools. I fully support his vision for building charter schools that will be a great addition to the Bronx community.

Sincerely,

A handwritten signature in black ink that reads "Aston Evans II".

Aston Evans II
League Organizer





Erika Mendelsohn, LMSW
Program Director
SUV Stand Up to Violence

To the New York State Board of Regents:

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I look forward to continue to work with Dr. Perry to expand his model as he opens Capital Preparatory Bronx Charter Schools. I fully support this vision for building charter schools that will be a great addition to the Bronx community.

Sincerely,

Erika Mendelsohn

DISTRICT OFFICE
573 East Fordham Road
(Entrance on Hoffman Street)
Bronx, NY 10458
(718) 842-8100
FAX (347) 597-8570

CITY HALL OFFICE
250 Broadway, Suite 1750
New York, NY 10007
(212) 788-6966
FAX (212) 788-8977



**THE COUNCIL OF
THE CITY OF NEW YORK
RITCHIE TORRES**

CHAIR
PUBLIC HOUSING

COMMITTEES
GENERAL WELFARE
GOVERNMENT OPERATIONS
HOUSING & BUILDINGS
LAND USE
PUBLIC SAFETY

THE NEW YORK CITY COUNCIL
DEPUTY LEADER OF

COUNCIL MEMBER, 15TH DISTRICT, BRONX

To the New York State Board of Regents:

I am happy to share my support for the expansion of the Capital Preparatory Schools model into in the Bronx. I have watched Dr. Perry and Capital Preparatory Schools as they have opened their first charter school in Bridgeport, CT and second school in Harlem, NY. I believe the work he is doing at Capital Preparatory Schools should be replicated to serve more students. The proposed school, Capital Preparatory Bronx Charter School, will provide middle and high school students an internationally recognized, research-based school model.

Capital Preparatory Bronx Charter Schools will be a much welcomed addition to the Bronx community by providing historically disadvantaged students with the academic, character, and college and career readiness skills needed to become responsible and engaged citizens for social justice. The proven Capital Preparatory Schools model will offer Bronx students a year-round, college-preparatory curriculum that mitigates the impact of "summer learning loss" that is especially prevalent among minority and low-income students. Students prepare for college in a compelling and creative environment where all students are challenged to reach their fullest potential and become agents of change through the lens of an in-depth focus and academic investigation of social justice. In addition, the model gives students individualized attention through daily small group advisory, individual learning plans and a focus on extracurricular programming to emphasize and celebrate the talents of every student.

I look forward to continue to work with Dr. Perry to expand his model as he opens Capital Preparatory Bronx Charter Schools. I fully support his vision for building charter schools that will be a great addition to the Bronx community.

Sincerely,

A handwritten signature in black ink that reads "Ritchie Torres". The signature is written in a cursive style with a long horizontal line extending to the right.

Ritchie Torres
New York City Council, District 15

Admissions Policy

CP Bronx's admission policy is non-sectarian and does not discriminate against any student on the basis of ethnicity, national origin, gender, disability or any other ground that would be unlawful if done by a school. Admission to CP Bronx will not be limited on the basis of intellectual ability, measures of achievement or aptitude, athletic ability, disability, race, creed, gender, national origin, religion or ancestry. Any child who is qualified under New York State law for admission to a public school is qualified for admission to CP Bronx. The School will ensure compliance with all applicable anti-discrimination laws governing public schools, including Title VI of the Civil Rights Act and § 2854(2) of the New York Education Law, governing admission to a charter school.

- **Year 1:** For admission to CP Bronx during the School's initial year, a child/student must be eligible to enter 6th or 7th grade in August 2018. 80 6th graders and 80 7th graders will be accepted in the inaugural lottery.
- **Year 2:** In the second year, CP Bronx will have 80 new 6th grade seats available in the school. In addition, in the second year CP Bronx's admissions will be open to students in grades 7 and 8 in order to backfill enrollment in each of those grades to 80 students, in the event that seats are available in those grades.
- **Year 3 and Beyond:** In year 3 CP Bronx will increase grade level enrollment to 100 students in each grade level. Therefore, in year 3 and each year thereafter, CP Bronx will have 100 new 6th grade seats available in the school and CP Bronx's admissions will also be open to students in each grade above 6th grade that the School is currently serving in order to backfill enrollment in each of those grades to 100 students per grade, in the event that seats are available in those grades. Admission to CP Bronx will be limited each year to pupils within the grade levels served by the School. The law provides explicit preference for siblings of students and students residing in CSD 12 in the Bronx.

In its admission policies and procedures, CP Bronx will not engage in any of the following:

- (1) Requiring parents to attend meetings or information workshops as a condition of enrollment
- (2) Having an unduly narrow enrollment period (e.g. fewer than 30 days);
- (3) Giving enrollment preference to children of members of the CP Bronx Board or founders group (unless the members are full time employees of CP Bronx or CPS, see below enrollment preferences);
- (4) Requiring parents to sign agreements or contracts imposing certain responsibilities or commitments to CP Bronx, regardless of their virtue, as a condition of enrolling their children (e.g. correcting a child's homework, volunteering, etc.);
- (5) Mandating that students or parents agree with CP Bronx's mission or philosophy; or
- (6) Giving preference to students interested or talented in a particular CP Bronx program.

Capital Preparatory Bronx Charter School

Enrollment Period, Admissions Lottery, Registration and Withdrawal

Formal recruitment of incoming students for the inaugural school year will begin immediately after the charter school is authorized. It is important to note that this process will be carried out in English and Spanish (and any other dominant language in the community, as necessary). Beginning on or before January 1 of each year, the charter school will advertise open registration and provide families, if they choose, with opportunities to meet staff and learn more about the School. Families may submit applications beginning on or before January 15 through April 1. If, as of the application deadline, the number of applicants to the charter school exceeds capacity, a random selection process (lottery) will be used to admit students. This lottery, if necessary, will be held annually on or about April 15. CP Bronx will utilize a randomized lottery system to draw names. Students who do not secure a seat through the random lottery will be placed on a waiting list in the order that their names were drawn.

CP Bronx will include a description of the public lottery in its application material distributed to families during the outreach phase of the process. Should a lottery be required, all families who applied to the school will be informed of the details of the lottery, including the date, time and location that it will be held.

Admission preference shall be granted to applicants in the following manner in the inaugural year:

- 10% of seats will be available to eligible children of full time employees of CP Bronx or CPS.
- Students who reside in CSD 12 will have preference in filling each remaining seat.
- If seats are still available after all CSD 12 applicants have been drawn, New York City students who reside outside of CSD 12 will have final preference.

After the first year, admissions preferences shall be granted to applicants in the following manner:

- First preference will be given to returning students, who will automatically be assigned a space at the School and whose families will be formally contacted in January of each school year to confirm automatic admission of their child through the completion of a re-enrollment form due back no later than February.
- Second preference will be given to siblings of students already enrolled in the charter school or siblings of a student whose name is drawn in the lottery whose names are also in the current year's lottery. For purpose of assignment priority, a sibling is defined as a brother or sister (including half-brothers, half-sisters, stepbrothers, stepsisters, foster brothers and foster sisters) of the applicant, who lives in the same household and who shares a legal parent, legal guardian, or legal foster parent with the applicant.
- Third preference will be given to eligible children of full time employees of CP Bronx or CPS (capped at 10% of new enrollees.)
- Fourth preference will be given to residents of CSD 12.
- Fifth preference will be given to NYC residents who reside outside of CSD 12.

Capital Preparatory Bronx Charter School

Lottery Process

In the event that a lottery process is necessary, names will be drawn randomly by grade to fill available seats—80 seats in Grade 6 and 80 seats in Grade 7 for the inaugural lottery and in each subsequent year, 80 seats in Grade 6 (until year 3 and thereafter when 100 seats for Grade 6 will be available) and expected vacancies in all grades the school serves above Grade 6 in order to backfill enrollment in those grades up to maximum capacity. CP Bronx intends to backfill all open seats through Grade 11. After those names are drawn, names will continue to be drawn in order to form a waiting list at each grade level that the school currently serves. This waiting list will be the only official, legal document identifying the names of grade-eligible students with applications to the charter school pending acceptance when vacancies arise, based upon the order of random selection from the lottery. The previous year's waiting list will expire annually at the lottery drawing.

Whenever a vacancy occurs, either prior to the start of a particular school year or during the course of that school year, CP Bronx will contact the parents of the student next on the appropriate waiting list. Reasonable and multiple attempts will be made to contact the family of the student on the top of the waiting list and get confirmation of whether the student is still interested in enrolling at CP Bronx before proceeding to the next name on the list. If reasonable and multiple attempts to contact the student's parents are unsuccessful, then the School may remove that student from the waitlist. The School will maintain documentation of the attempts made to contact the parents of any student removed from the waitlist. Waiting lists will not be carried over from year to year.

Procedures for Student Registration and Parental Intent to Enroll

Once the lottery has been conducted, CP Bronx will notify parents and guardians of applicants by mail and email if their child has been granted a seat at the School or if they are on the waiting list. The mailing for admitted students will include an admission acceptance form that each parent of a child who has been selected for admission will fill out to confirm his or her intent to enroll the child in CP Bronx. The School will also contact the parents of students currently enrolled and require them to confirm their intent for the student to remain in the school the next year. Reasonable and multiple attempts will be made to reach parents regarding their decision to re-enroll their children and parents will be given a reasonable amount of time to re-enroll their child before the School determines that they do not intend to enroll and makes that seat available to a new student for the next academic year.

Prior to the commencement of each academic year, families of children who enroll at the School must complete the student registration process. As part of this process, parents must provide verification of residency, adult photo identification, NYC notice of transfer form (if available), IEP record if applicable, home language survey, photo media release form, ethnic identification survey, additional medical restrictions form if applicable, parent/guardian consent to request for the release of student records and/or a copy of the student's prior year academic record, official proof of age and immunization record, and student health insurance form indicating what coverage the student has. Parents will also complete student registration

Capital Preparatory Bronx Charter School

forms, lunch program applications, emergency contact information, and transportation forms. CP Bronx staff will be available to assist parents in understanding the registration requirements, obtaining required information and completing the required forms. In addition, forms and instructions will be published in languages other than English to facilitate successful registration by ELL parents and families.

All families of students currently enrolled in CP Bronx will be sent a renewal form by February of each year in order to indicate whether or not they will re-enroll their child for the next academic year. This process will inform the school as to any planned vacancies in Grades 7-11 that will need to be filled through the current year's application and lottery process.

Voluntary Withdrawal

CP Bronx is a public school of choice, both for application and withdrawal. At any time, a parent may wish to transfer their child to a different school. A parent wishing to withdraw his/her child from the School will be asked to complete a request for student withdrawal form. CP Bronx personnel will offer to meet with the family and discuss their reasons for withdrawing from the School, as well as to seek solutions to any problems that arise from these discussions. If the parents still wish to transfer their child to another school, CP Bronx will ensure the timely transfer of any necessary school records to the student's new school. Upon withdrawal of any student in grades 6-11, CP Bronx will seek to fill that vacancy in a timely manner with the next student on the relevant grade's waitlist.

Capital Preparatory Bronx Charter School

Facilities

(a) Facility Needs

CP Bronx intends to secure a facility in CSD 12 and is not seeking residential facilities. CP Bronx is allowing for programming space of approximately 90 square feet per pupil. This means that a suitable building to house the school would be 14,400 square feet by Year 1 and 53,820 square feet by year 5. CP Bronx will open with 160 students in Grades 6 and 7 and will grow to serve 598 in Grades 6-11 by the 5th year of the first charter term. Five core subject teachers per grade will serve the middle school students and four core subject teachers per grade will serve the high school students. There will also be multiple specialist teachers who will provide a variety of enrichment opportunities for students such as social justice, advisory, foreign language, music, arts and physical education. The specialist space below has two categories: classroom space and flexible space. The flexible space could be spaces such as a gymnasium, dance studio, theater space, etc. in which these programs would take place, instead of a regular classroom space. In addition, CP Bronx will need smaller classrooms for small group instruction and offices for administrative staff. The space requirements are outlined on the table below:

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
|--------------------------|--------|--------|--------|--------|--------|
| Enrollment | 160 | 240 | 400 | 500 | 600 |
| Grades | 6-7 | 6-8 | 6-9 | 6-10 | 6-11 |
| Classrooms | 17 | 23 | 28 | 32 | 36 |
| Classrooms (small) | 2 | 3 | 3 | 3 | 3 |
| Offices | 7 | 8 | 11 | 12 | 12 |
| Teacher Workroom | 1 | 1 | 1 | 1 | 1 |
| Main Office | 1 | 1 | 1 | 1 | 1 |
| Nurse Office | 1 | 1 | 1 | 1 | 1 |
| Large Office (CPS space) | 2 | 2 | 2 | 2 | 2 |
| Conference Rooms | 2 | 2 | 2 | 2 | 2 |
| Gymnasium | 1 | 1 | 1 | 1 | 1 |
| Cafeteria | 1 | 1 | 1 | 1 | 1 |
| Kitchen | 1 | 1 | 1 | 1 | 1 |

Classrooms should be between 600 and 800 sq. ft. each and fit 24 students plus 2 adults. The small group classrooms will serve as advisory spaces as well as spaces for English Language Learners and Special Education Students, usually in groups of 8 students with 1 to 2 teachers. These smaller classrooms should be approximately 400 sq. ft. The office spaces should be approximately 100 sq. ft. each and could fit 1 to 2 people depending on configuration and school wants/needs.

(b) Facility Selection

CP Bronx has not yet identified a facility to house the school, but is currently exploring both co-location in a NYCDOE facility as well as a private facility solution. CP Bronx will submit a request to NYCDOE to secure NYCDOE-provided space in either a public or private facility in CSD 12 and if none is available or suitable, will request reimbursement for its facility costs in accordance with the New York Charter Schools Act. While CP Bronx is looking to secure space from the NYCDOE under the provisions of the 2014 NYS amended charter law, CP Bronx is also working actively on a parallel track to identify potential private space that could house the school should no suitable space be identified for the school's use by the NYCDOE. Under this scenario, per the 2014 NYS amended charter law the NYCDOE would be required to provide CP Bronx with a per pupil funding allocation to cover the cost of the facility, currently 30% of AOE or the annual rent, whichever is less.

CP Bronx is being advised by real estate professionals, including real estate lawyers, in its facility search. Supported by these advisors, members of the Applicant Group have been actively engaging with developers who have properties in CSD 12 in the Bronx and with real estate brokers to identify sites. At this stage, some developers have expressed interest in working with CP Bronx to develop a facility for the school in the Bronx.

In initial conversations with NYS Assemblyman Marcos Crespo, he has expressed interest in the school developing a home in the Bronx and has suggested potential industrial and commercial spaces that could be converted into school space. He has also identified previously occupied school spaces that could serve as potential incubation space for CP Bronx. Additional private facilities have been explored that have been identified by brokers. In addition, CP Bronx will also be reaching out to the Archdiocese of New York to discuss potential former Catholic school facilities that are now vacant or underutilized that could house the school during the first two years.

Although there is currently no definitive site that is being actively pursued, there have certainly been promising discussions and promising possibilities regarding the potential to secure a private facility suitable for the school's short term and long term needs. The Applicant Group continues to work closely with real estate professionals in the search. In the event CP Bronx does move forward on a non-NYCDOE facility, CP Bronx assures that the space that ultimately houses the school will be programmatically accessible, meet NYC Department of Buildings requirements and meet the requirements of all applicable laws and regulations.

We have provided documents from three developers who are assisting us in facility planning, which can be found in Response R-16d - Facility Documents.

CP Bronx's goal would be to secure temporary incubation space to house the school for up to two years (either through NYCDOE co-location or a temporary private facility). Should a facility suitable for CP Bronx programmatic needs be unavailable from NYCDOE, sites that would be considered for temporary occupancy must be located in CSD 12, be closely situated to public transportation, be immediately available no later than July 1, 2018, and must be currently in use or recently occupied as a school in order to make them readily turnkey for CP Bronx's needs. The long-term non-NYCDOE options must also be in CSD 12, be closely situated to public

Capital Preparatory Bronx Charter School

transportation, be in close proximity to a college campus to allow the high school students an opportunity to take college level courses and participate in a postsecondary environment and have sufficient space to meet the school's needs at full enrollment. These properties would require time to build out to meet CP Bronx's specifications, thus having a one to two year incubation period in a temporary facility will provide sufficient time for leasehold improvements required by the longer term facility.

To have the most realistic facility scenario in its budget presentation CP Bronx is making the assumption that it will have to pursue the private facility route described above and would incur all personnel and other than personnel costs (including through a contractual relationship with outside providers) related to being housed in a non-NYCDOE building. However, given the recent precedent of charter schools receiving positive decisions by the NYSED Commissioner that they are entitled to facilities funding from NYCDOE, the CP Bronx budgets also assume rental reimbursement 30% of per pupil funding or the cost of annual rent, whichever is less, to offset the cost of the private facility solution. Based on recent charter school deals in the private market, build-to-suit per square foot rental costs are approximately \$25-\$35. Given the square footage needs of the school in Year 1, annual rent would be between \$500,000 and \$700,000. By Year 5, annual rent would be \$1.25 million to \$1.75 million. The proposed budget in Response 21e – Budget Template assume these revenue and expense assumptions.

(c) Facility Related Conflicts of Interest

CPS will not own or hold the lease on the buildings used by CP Bronx. CPS will assist with negotiating the lease and coordinating any required renovations. No CP Bronx board members will have an ownership interest in a CP Bronx facility.

Real Estate: Barone Management

Barone Management is an active ground up developer and owner of real estate in NYC. In addition to hotel, office, retail and residential holdings, we have taken an aggressive interest in charter schools within the five boroughs. Provided that a school operator is established and credible, we are willing to take on the entire burden of delivering/owning the real estate, building and financing a new building (or in two current instances adaptively reuse and rehab existing buildings), and long term leasing the premises to the school.

With our charter school division opened formally in December of last year- we presently have the following status to report on real estate that we own/control;

- Lease signed for 73,000sf existing school building at 89-25 161st St, Jamaica
- LOI signed, and BSA filing for special permit in process (M zoned) for new 84,000sf ground up school at [9-03 44th Rd](#), Long Island City, Queens
- LOI signed, lease negotiations ongoing for 52,000sf existing building to be renovated at 6301 12th Ave, Brooklyn, NY
- LOI in negotiation for ground up 50,000sf school at [30 Clinton Ave, Brooklyn, NY](#)
- LOI in negotiation for ground up 43,000sf school at [45-20 83rd St](#) Elmhurst, Queens

Based upon understanding Capital Prep's basic criteria below, we are evaluating two properties we own in the Bronx, plus reaching out to our network of contacts to further the search;

- 55,000-70,000sf gross building
- Located within CSD 12
- Temporary space needed for school opening by September of 2019
- Delivery of permanent school ASAP thereafter, ideally by September of 2020, or worst case of September 2021, provided that temp space would be adequate to meet growth needs in both size and duration of time
- School is grades 6-12, with projected enrollment phasing as below;
 - 160 start
 - 240 year 2
 - 400 year 3
 - 500+ year 4
 - Full enrollment at 700 year 5

Investing in Education



City Language Immersion Charter School,
in Los Angeles, developed in 2017

Empower Charter School

January 2018

Overview

1. Introduction to Red Hook
2. Our Team
3. The Red Hook Difference
4. Red Hook Clients
5. Comparison: Other Funding vs. Red Hook
6. Project Considerations
7. Red Hook Suggested Project Approach
8. Red Hook Case Studies
9. Contact Information

Who We Are/What We Do

Red Hook Capital Partners (Red Hook) is a real estate investment and development firm focused on the charter school sector. Red Hook works with high-quality charter school operators in a variety of ways. Red Hook helps charter schools identify, acquire, and develop a suitable site to become a permanent home. Key areas of expertise include:

Finding &
Securing a Site

Design &
Entitlements

Financing

Construction
Management

Our Team

Craig Underwood,
Principal
Capital Markets/Finance

David Hyun,
Principal
Project Development/Charter School Operations

Marisa Quintanar,
Vice President
*Charter School Advocacy and Community
Development*

Our Team

- **Craig Underwood** – has two-decades of experience in public finance which led him to launch Red Hook Capital Partners in 2014. He has oversight over all financing and fiscal guidance that the firm offers, guiding clients through the treacherous waters of institutional real estate development.
- **David Hyun** – Since 2009, has developed and financed over 35 charter schools — totaling over \$300 million in investment — using conventional bank loans, new market tax credits, tax exempt bonds, and various state bonds. In two decades, he’s touched all aspects of the real estate cycle, from investment to construction and development to property management and corporate accounting.
- **Marisa Quintanar** – Marisa brings a deep understanding of school and community needs to Red Hook. She was the former business development manager for EdTec-Southern California, a back office operations provider that works with public schools around the country. She also served as the Regional Director of Policy and Advocacy for the California Charter Schools Association (CCSA). She started her career as a high school English teacher at El Monte High School.

The Red Hook Difference

Red Hook brings multiple capabilities to a charter school:

1) Entitlement Expertise

Red Hook understands entitlement risk and takes the burden on. This process is costly and political. Our team expertise includes (land-use + technical + political + community).

2) Turn- Key Development

Developing a charter school (ground-up or tenant improvements) requires time, energy, and resources. Red Hook manages all aspects of development from entitlements to finalized construction, allowing for the school leader to focus on educational programming.

3) Long-Term Lease and Option to Purchase

The school has the ability to act quickly and find a permanent home while growing into maturity to purchase the facility from Red Hook.

Red Hook Clients

- Santa Clarita Valley International Charter School – Castaic (completed 9/14)
- Albert Einstein Academy – Valencia (completed 5/14)
- Health Science High & Middle College – San Diego (completed 5/15)
- TEACH Middle School – South Los Angeles (completed 9/15)
- Imagine Camelback Charter School – Phoenix (completed 10/15)
- Coral Academy of Science Las Vegas – Las Vegas (completed 7/16)
- CREST – Boston, MA (completed 7/16)
- City Language Immersion Charter School – Los Angeles (closed, construction 8/17)
- Value University High School – Los Angeles (completed 8/17)
- Ocean Charter School – Playa del Rey (closed, scheduled to be completed 7/18)
- Green Dot Charter School – East Los Angeles (closed, scheduled to be completed 7/18)
- TEACH High School- South Los Angeles (closed 1/18)
- REAL Journey Academies – City of Highland (closed, scheduled to be completed 7/18)
- 20+ charter school clients are in the site selection process

Comparison: *Other Funding vs. Red Hook*

Other Funding Sources

- Bond Financing – 4-6 month process (no pre-development or site selection included)
- New Market Tax Credits – 6-9 month process
- Commercial bank financing – at least 3 months (15% to 30% down-payment needed)
- Grants/Philanthropy – need all/majority of funds on hand (not just pledges)
- Commercial Lease: very competitive and likely will not include TI's
- Most traditional funding does not include entitlement (pre-development) costs.

Red Hook Capital Partners

- RH finances schools that are <5 years old
- RH sites are turn-key and include all development and financing.
- RH entire process from site selection-development and financing can take less than 1 year.
- RH is 100% financing
- RH has capital in hand and the ability to close quickly on property
- RH funds pre-development and entitlement costs

Project Considerations

- The industry norm is 15%-20% of the schools revenue. What does affordability look like with new SB740 regulations?
- Square footage? What are the program needs?
- When does the school want to move in?
- What are the timing considerations (pre-development + construction) ?
- Is the comfortable taking on entitlement risk? Construction Management?
- What type of funding does the school want? Semi- Permanent? Permanent ?
- What are the parameters (how far east, west, north and south) the school is willing to move - depending on site options?

The Red Hook Approach

Red Hook approach:

- RH provides 100% financing (including pre-development)
- The School enters into a long-term (up to 30 years) lease
- RH gives the School the option to purchase the building. in year 3 to 7 of the lease
- RH is 100% responsible to deliver the Valley a turn-key school building

Costs associated with RH approach:

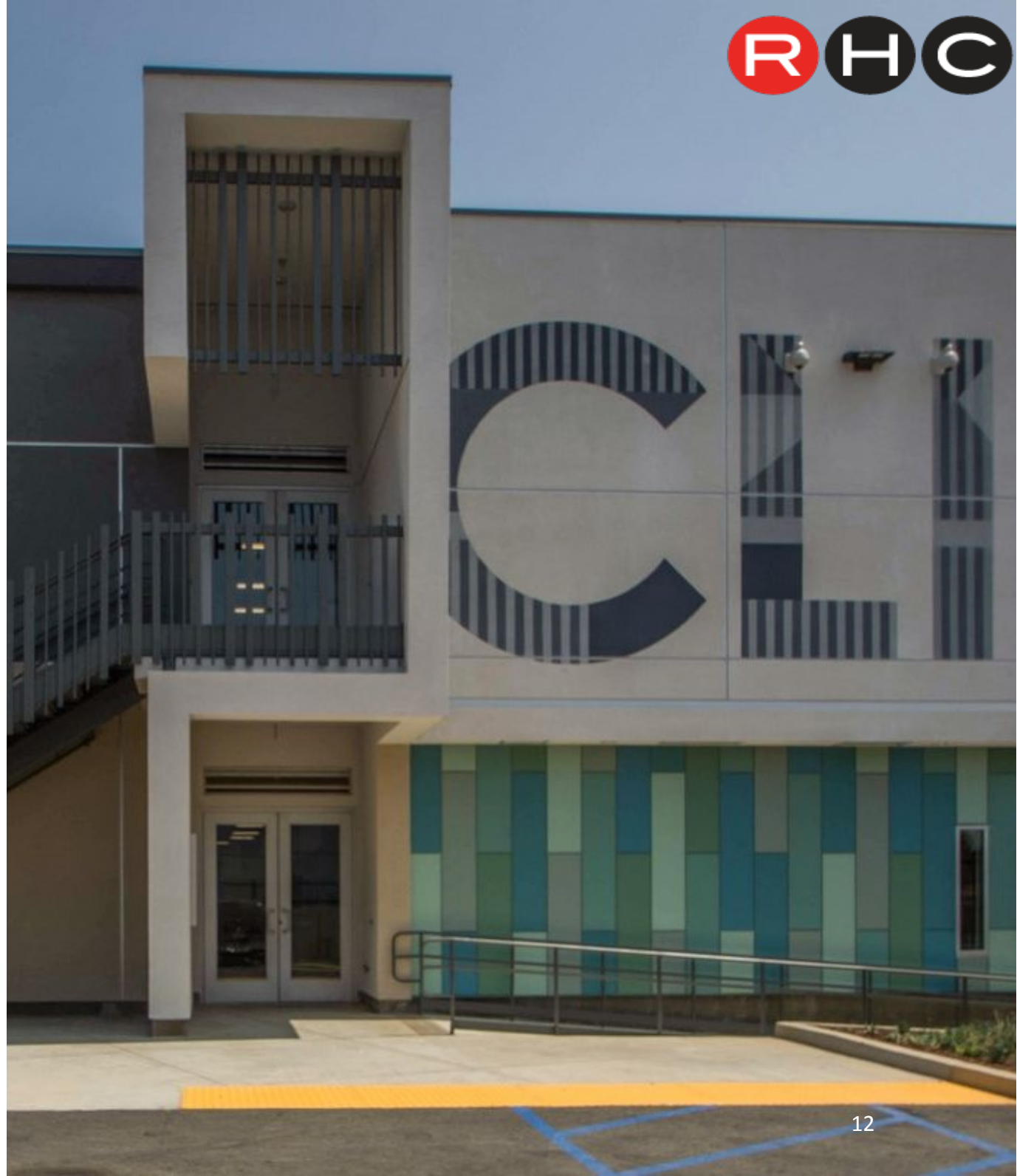
- 8.25% initial base rent (year 1)
- 10.75% IRR purchase price

Red Hook Case Studies

City Language Immersion Charter School

Project Summary:

In early 2015 Red Hook started the approximately 18 month entitlement process through the City of Los Angeles planning department. In May 2016 the conditional-use permit was granted and construction began. The project is a 2-story new construction building with roughly 18,000 square foot building that includes 18 classrooms and outdoor eating and play area. Construction was completed in August 2017, which allowed the CLIC to open on time and on schedule.



City Language Immersion Charter School

School Details

Investment Date: October 2015

Exit Date: October 2017

School Grades: TK-5

Full Enrollment: 435

Type: New Construction



Coral Academy of Science – Las Vegas

Project Summary:

The Property consists of a high quality two-story 36,205 Rentable Square Foot Class-A office building situated on 2.22 acres of land. The building was constructed in 2005 and was most recently occupied by the University of Phoenix. The Tenant operates three campuses with over 1,500 students enrolled. Coral has successfully operated its charter schools for the past nine years, and has a growing demand. Coral currently has a wait list of over 2,700 students. Coral located its newest elementary school to the Property effective August 1, 2016 and is open with 600 students the maximum load the building can hold.



Coral Academy of Science – Las Vegas

School Details

Investment Date: February 2016

Exit Date: December 2017

School Grades: TK-5

Full Enrollment: 600

Type: Tenant Improvement



REAL Journey Academies – New Vision Middle School & Entrepreneur High School

Project Summary:

The project is currently under construction and will include 15 middle school and 26 high school classrooms, along with a large shared multipurpose room, indoor gym, black box theater / presentation hall, cafeteria and student commons.. Both schools have their distinct entrance elements connected by a shared, shaded colonnade that can serve as outdoor eating space for the culinary program. The reduced parking requirements allow for outdoor play and eating areas for all students.



REAL Journey

Academies – New Vision Middle School & Entrepreneur High School

School Details

Investment Date:

September 2017

School Grades: 6-12

Full Enrollment: 1,100

Type: Tenant Improvement



Contact Information

Marisa Quintanar

MQuintanar@redhookcap.com

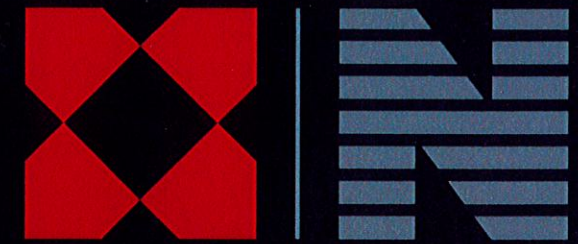
(562) 650-0456

Red Hook Capital Partners LLC

2120 E Grand Ave

Suite #135

El Segundo, CA 90245



REAL ESTATE INTRODUCTION

**Newmark Grubb
Knight Frank**

Presented to:



CAPITAL PREPARATORY
HARLEM
CHARTER SCHOOL

June 7, 2017

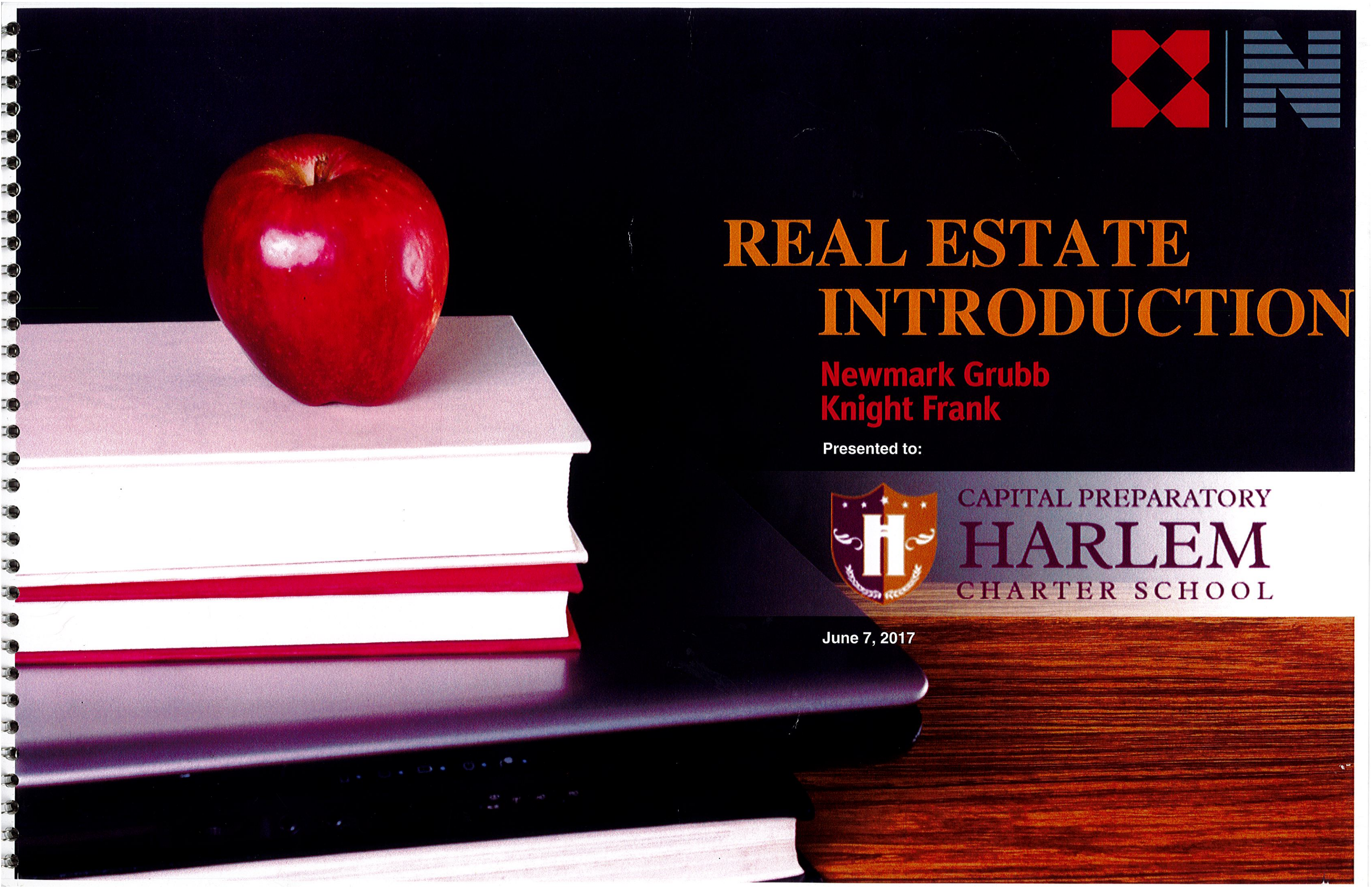




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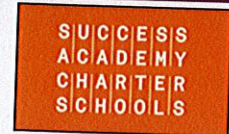
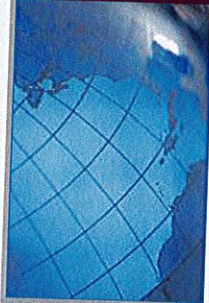
- I. Relevant Team Experience
- II. Harlem Market Overview
- III. Bronx Market Overview
- IV. Real Estate Process & Strategy
- V. The NGKF Difference



Relevant Team Experience



Success Academy Charter Schools



Multiple Sites
Bronx, Brooklyn, & Manhattan
300,000 RSF
Acquisitions Ongoing

Hawthorne Country Day School



156 William Street
25,000 RSF
Expansion

292 Court Street



Entire Building
25,000 RSF
New Acquisition

NYCSCA



"Building Within a Building"
26 Broadway
352 Park Avenue South
2 Peck Slip
433,000 RSF
New Acquisition

316 East 53rd Street



snack*

Entire Building
6,000 RSF
Relocation/Expansion

1900 Broadway



sesameworkshop.

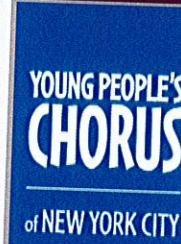
150,000 RSF
Extension + Expansion
33,000 RSF disposition in progress

27-35 Jackson Avenue



24,000 RSF
Extension + Expansion
Private entrance
Entire 3rd + Partial 2nd
Floors

37 West 65th Street



9,000 RSF
Relocation/Expansion

17 Battery Place



**NEW YORK
FILM ACADEMY**

76,000 RSF
New Acquisition

Higher Ground Education



National Roll-out
12 Acquisitions Ongoing
15,000 – 20,000 RSF each

25 Broadway



"Building within a Building"
202,000 RSF
New Acquisition

445 Park Avenue



**CHILD MIND
INSTITUTE**

E. 2nd & P. Ground Floors
25,000 RSF
New Acquisition

NYU

New York University

Multiple Locations: Lower Manhattan, Cooper Square, Midtown and Washington Square. Recent acquisitions: 20 Cooper Square, Woolworth and the Puck Building. Planned expansion of classrooms, housing and office space through direct ownership rather than lease space. Analysis of alternative financing structures for new acquisitions.

488 Madison Avenue

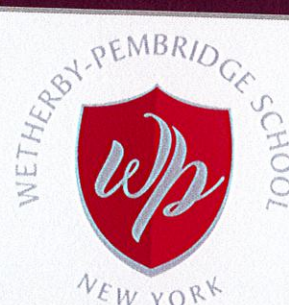


The Municipal Art Society of New York

MASNYC

10,000 RSF
New Acquisition

7 East 96th Street



Entire Building
15,000 RSF
New Acquisition

1301 5th Avenue

**NORTHSIDE
CENTER** *Where children
rise up and thrive*

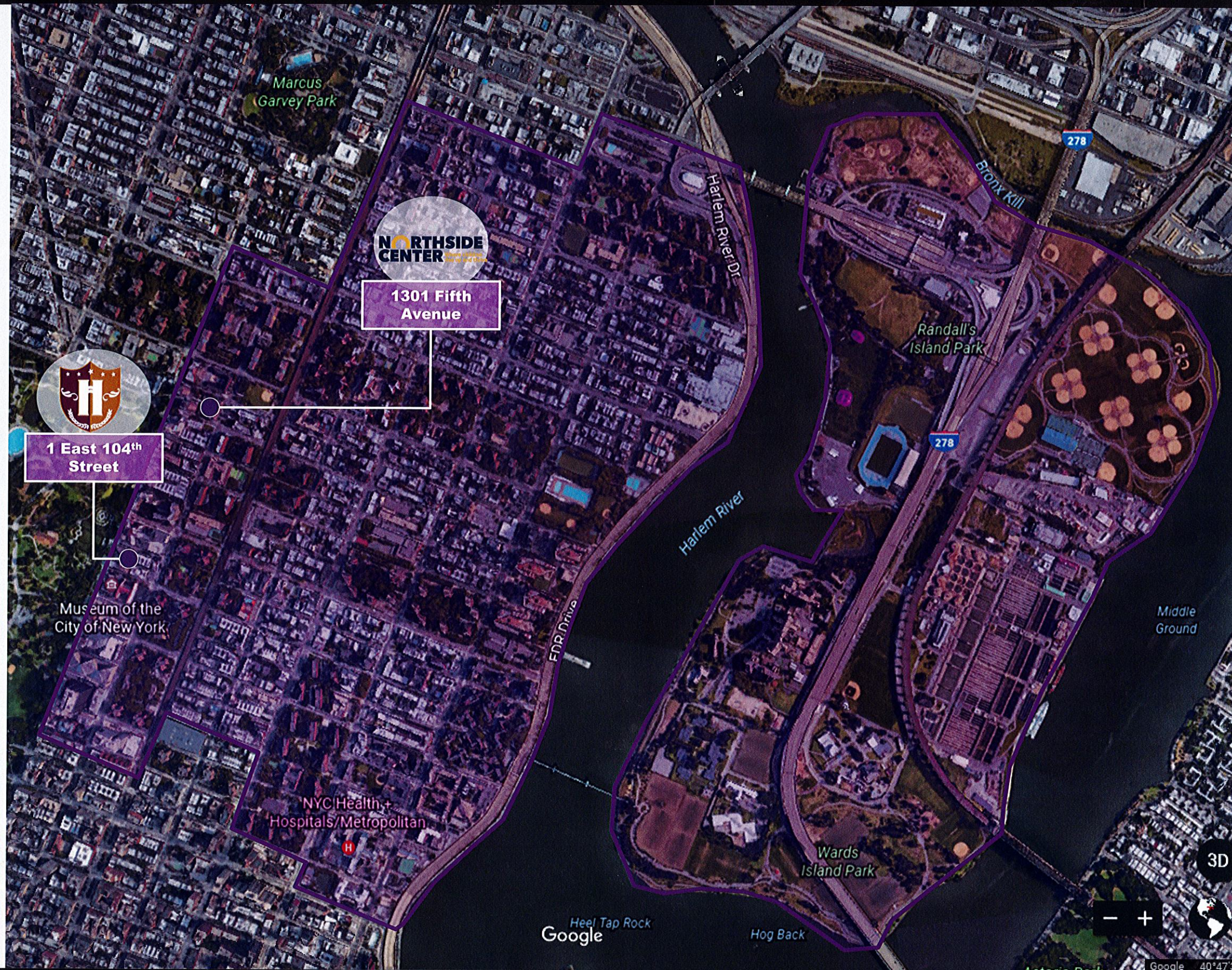
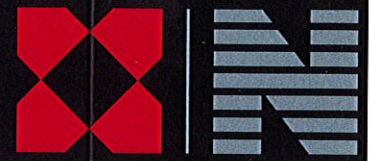
22,000 RSF
Renewal + Extension



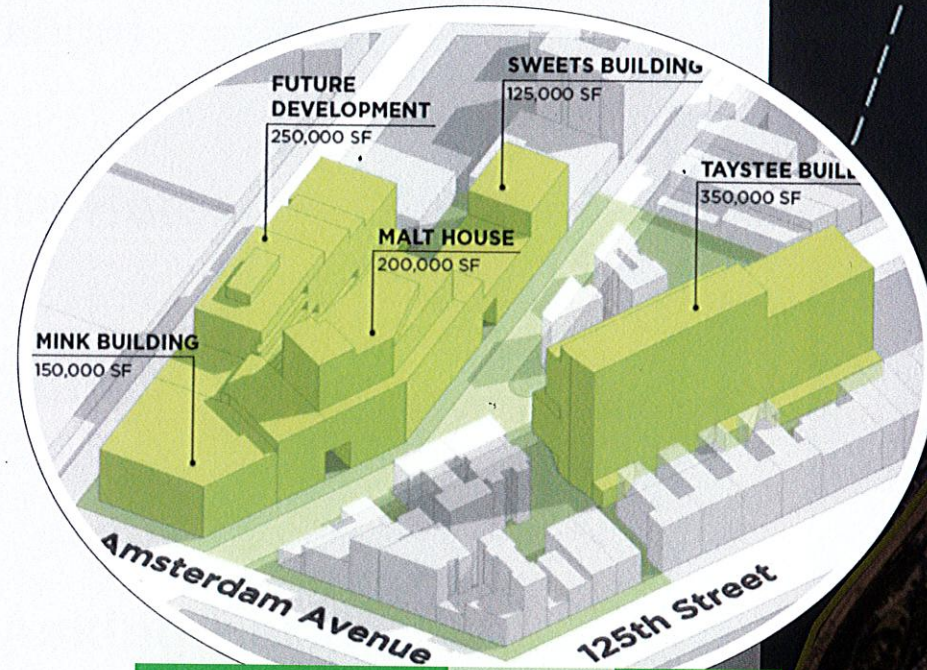
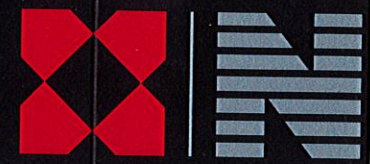
HARLEM MARKET OVERVIEW



East Harlem Map of Notable Developments School District 4



West Harlem Map of Notable Developments School District 5



Manhattanville Factory District

72 schools in District 5



Harlem: Market Statistics



Total Inventory:
17,065,936 RSF
(202 buildings)

Availability Rate:
3.8%

Vacancy Rate:
2.7%

Average Asking Rent:
\$44.76/RSF

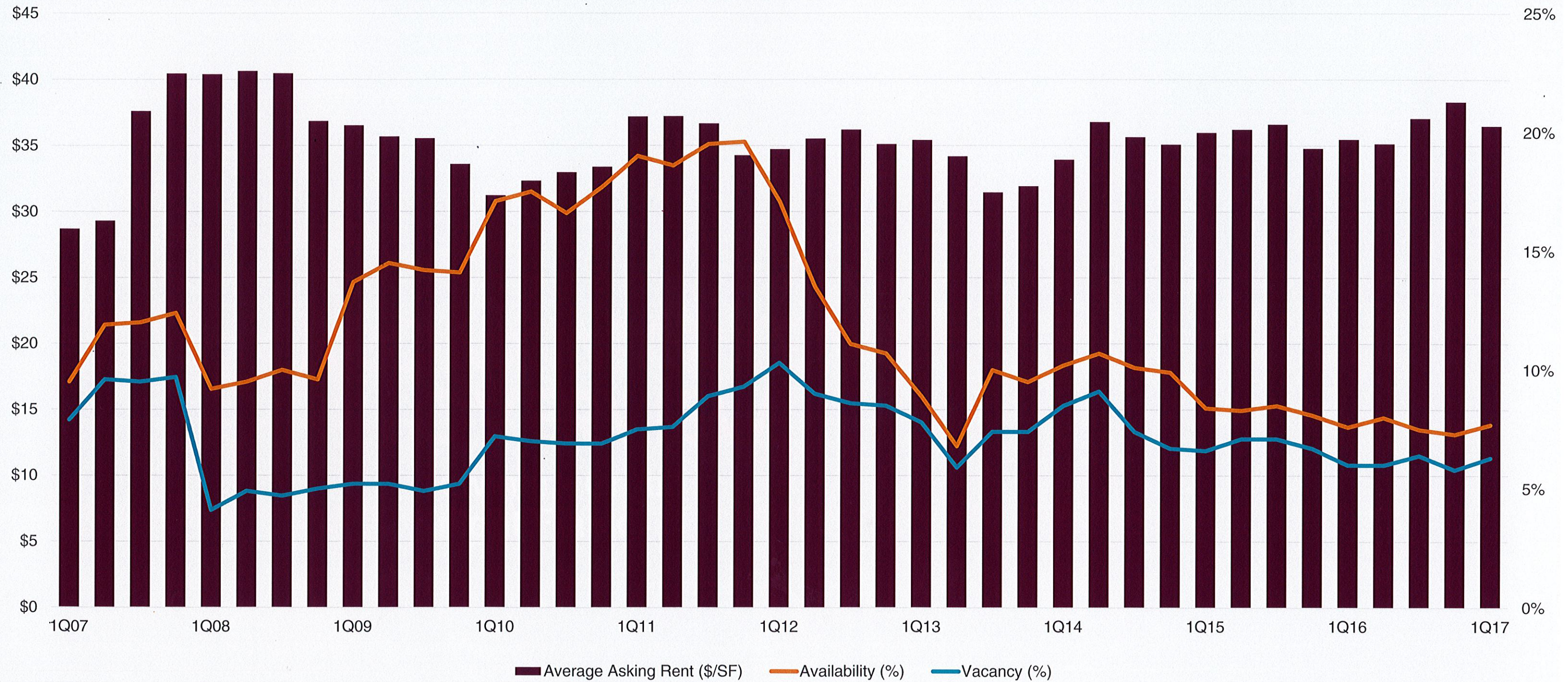
1Q2017 Net Absorption:
+15,021 RSF



Harlem: Submarket Overview



Weighted Average Asking Rent , Availability and Vacancy Trends



Source: Newmark Grubb Knight Frank Research





BRONX MARKET OVERVIEW

**Newmark Grubb
Knight Frank**

The Bronx: Market Statistics



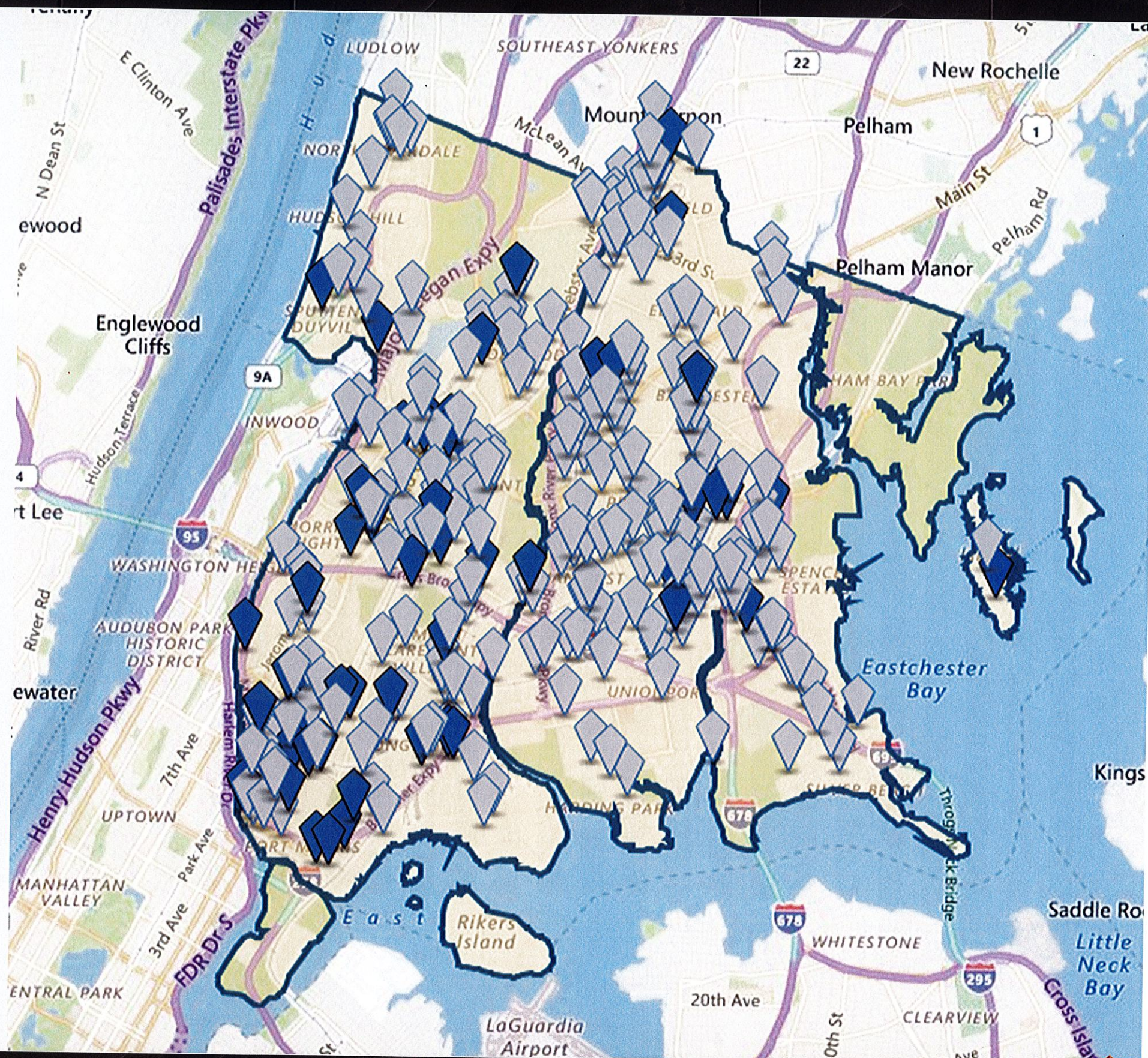
Total Inventory:
11,534,742 RSF
(526 buildings)

Availability Rate:
13.0%

Vacancy Rate:
9.5%

Average Asking Rent:
\$29.62/RSF

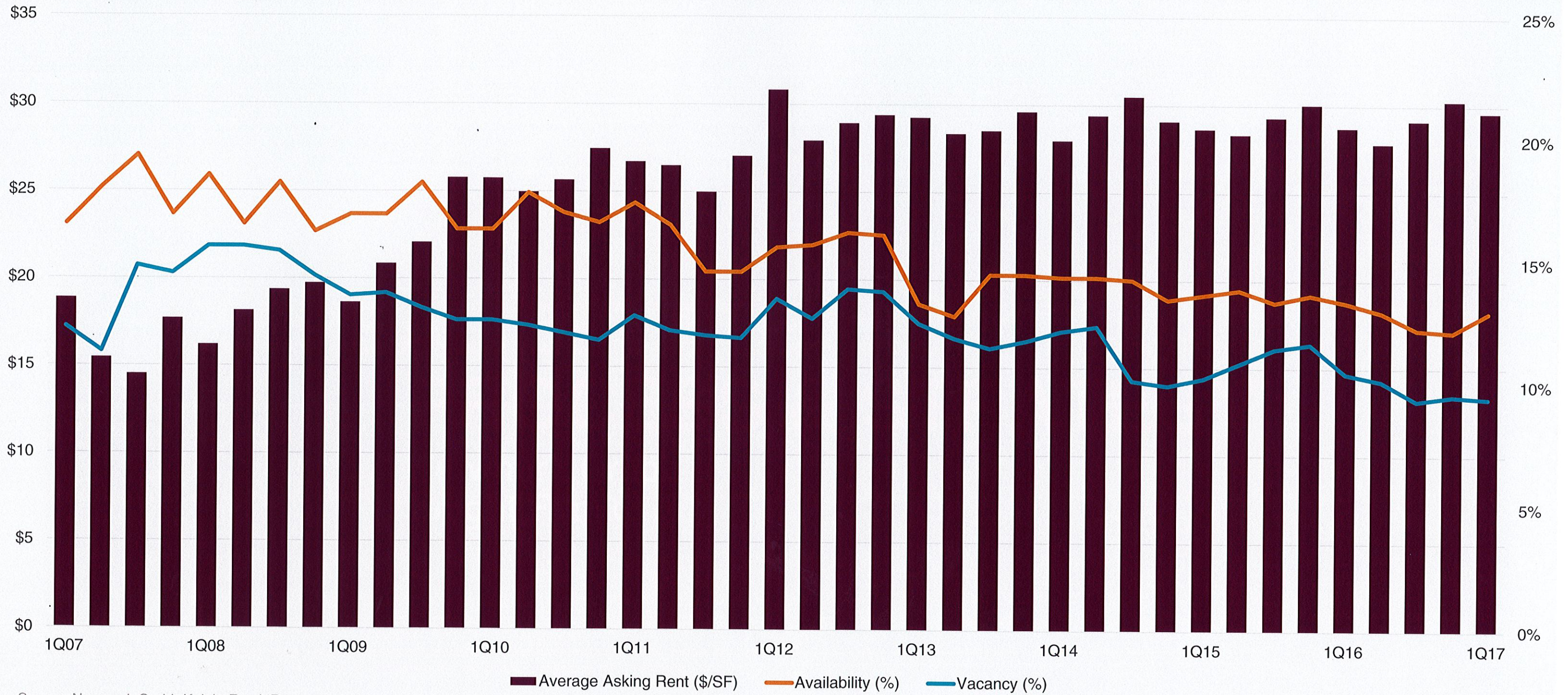
1Q2017 Net Absorption:
+11,657 RSF



The Bronx: Submarket Overview



Weighted Average Asking Rent, Availability and Vacancy Trends



Source: Newmark Grubb Knight Frank Research





REAL ESTATE PROCESS & STRATEGY

**Newmark Grubb
Knight Frank**

Sample Deliverables Best Practices, Process, & Strategy



123 Main Street • Big City, USA
Return on Investment

| | RSF | RSF | |
|------------------------------------|-------------------|----------------|----------------|
| RSF | 120,000 | RSF | |
| Land Purchase | 8,000,000 | | |
| Building development | 24,000,000 | | |
| Soft costs | 4,500,000 | | |
| Debt service | 4,500,000 | | |
| Tenant TI Allowance | 7,800,000 | | |
| Contingency | 1,200,000 | | |
| Total Purchase & Capex | 50,000,000 | | |
| Unleveraged Return | 7.0% | 7.5% | 8.0% |
| Required Net Rent (1) | \$26.45 | \$28.71 | \$30.90 |
| Rent Increase Every 5 Years | 10.0% | 10.0% | 10.0% |

| Lease Year | (50,000,000) | (50,000,000) | (50,000,000) |
|----------------------------|--------------|--------------|--------------|
| Purchase & Capex | | | |
| 1 | 2,380,508 | 2,583,746 | 2,781,111 |
| 2 | 2,380,508 | 2,583,746 | 2,781,111 |
| 3 | 2,380,508 | 2,583,746 | 2,781,111 |
| 4 | 3,174,010 | 3,444,995 | 3,708,148 |
| 5 | 3,174,010 | 3,444,995 | 3,708,148 |
| 6 | 3,174,010 | 3,444,995 | 3,708,148 |
| 7 | 3,491,412 | 3,789,494 | 4,078,962 |
| 8 | 3,491,412 | 3,789,494 | 4,078,962 |
| 9 | 3,491,412 | 3,789,494 | 4,078,962 |
| 10 | 3,491,412 | 3,789,494 | 4,078,962 |
| 11 | 3,491,412 | 3,789,494 | 4,078,962 |
| 12 | 3,840,553 | 4,168,444 | 4,486,859 |
| 13 | 3,840,553 | 4,168,444 | 4,486,859 |
| 14 | 3,840,553 | 4,168,444 | 4,486,859 |
| 15 | 3,840,553 | 4,168,444 | 4,486,859 |
| 16 | 3,840,553 | 4,168,444 | 4,486,859 |
| 17 | 4,224,608 | 4,585,288 | 4,935,545 |
| 18 | 4,224,608 | 4,585,288 | 4,935,545 |
| 19 | 4,224,608 | 4,585,288 | 4,935,545 |
| 20 | 4,224,608 | 4,585,288 | 4,935,545 |
| 21 | 4,224,608 | 4,585,288 | 4,935,545 |
| 22 | 4,647,069 | 5,043,817 | 5,429,099 |
| 23 | 4,647,069 | 5,043,817 | 5,429,099 |
| 24 | 4,647,069 | 5,043,817 | 5,429,099 |
| 25 | 4,647,069 | 5,043,817 | 5,429,099 |
| 26 | 4,647,069 | 5,043,817 | 5,429,099 |
| 27 | 5,111,776 | 5,548,198 | 5,972,009 |
| 28 | 5,111,776 | 5,548,198 | 5,972,009 |
| 29 | 5,111,776 | 5,548,198 | 5,972,009 |
| 30 | 5,111,776 | 5,548,198 | 5,972,009 |
| 31 (includes Residual) (2) | 50,611,776 | 51,048,198 | 51,472,009 |

IRR 7.0% 7.5% 8.0%

| ASSUMPTIONS SUMMARY | | | | | | | | | | | | | | Page 1 | | | |
|---|--------------|-------------|------------|------------------|-----------|------------|-------------------|-------------------------|------------------|----------------|--------------------------|------------------------|---------------------|------------|------------|-----------|-------------|
| Prepared by Newmark Grubb Knight Frank | | | | | | | | | | | | | | | | | |
| | RSF | Lease Comm. | Rent Comm. | Lease Expiration | Free Rent | Lease Term | Initial Base Rent | 5 Year Annual Increases | RE Tax Base Year | OPEX Base Year | CAPITAL / OTHER EXPENSES | | | CASH BASIS | | | |
| | | | | | | | | | | | Buildout Costs | Landlord's Work Allow. | Total Out-Of-Pocket | TOTAL | AVG ANNUAL | NPV 7.00% | EQVLT LEVEL |
| ANALYSIS ASSUMPTIONS COMPARISON | | | | | | | | | | | | | | | | | |
| I. 20 Bruckner Blvd • Landlord's Counter Dated 5/15/2017 | | | | | | | | | | | | | | | | | |
| Partial Ground, Entire 2nd to 6th Floors • 20 Bruckner Blvd | | | | | | | | | | | | | | | | | |
| (includes 11,961 RSF on ground floor) | | | | | | | | | | | | | | | | | |
| | 136,674 PRSF | 08/01/2018 | 08/01/2019 | 07/31/2051 | 12 mos | 33 years | \$24.00 | 10.0% | EXEMPT | NET | \$15.7 MM | (\$3.3 MM) | \$12.4 MM | \$208.8 MM | \$6.7 MM | \$78.1 MM | \$7.0 MM |
| | | | | | | | | | | | \$115.00 | (\$24.00) | \$91.00 | | \$49.02 | | \$51.02 |
| II. 20 Bruckner Blvd • DRAFT Suggested Counter Dated 5/16/17 | | | | | | | | | | | | | | | | | |
| Partial Ground, Entire 2nd to 6th Floors • 20 Bruckner Blvd | | | | | | | | | | | | | | | | | |
| (includes only 3,000 SF on ground floor) | | | | | | | | | | | | | | | | | |
| | 127,713 PRSF | 08/01/2018 | 08/01/2019 | 07/31/2051 | 12 mos | 33 years | \$22.00 | \$2.00 psf | EXEMPT | NET | \$14.7 MM | (\$3.8 MM) | \$10.9 MM | \$176.2 MM | \$5.7 MM | \$66.9 MM | \$6.0 MM |
| | | | | | | | | | | | \$115.00 | (\$30.00) | \$85.00 | | \$44.28 | | \$46.72 |

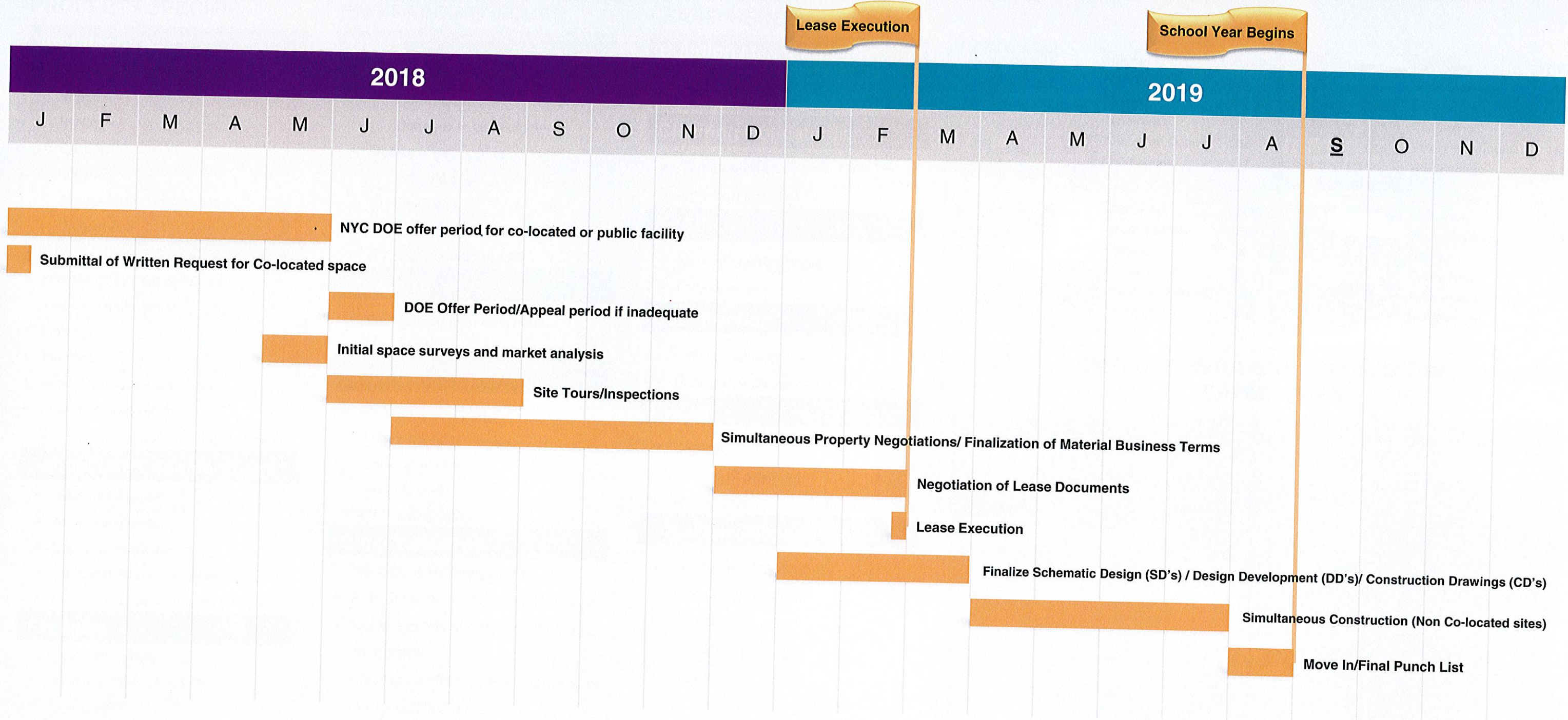
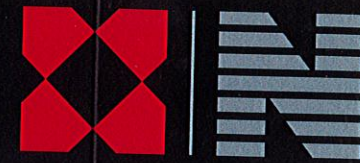


| | Building A N/W/C West 42 nd Street Based on Landlord's Proposal 4.12.12 | Building B Between 45 th & 46 th Street Based on Landlord's Proposal 4.12.12 | Building C N/E/C East 45 th Street Based on Landlord's Proposal 4.12.12 |
|--------------------------------|--|--|---|
| 1. Building Information: | | | |
| Year Built: | 1932 | 1984 | 1927 |
| Building Area: | 687,565 | 790,000 SF | 430,000 SF |
| Total # of Floors: | 59 | 41 | 38 |
| 2. Landlord: | Sublandlord: 123 Company Overlandlord: Landlord X | Landlord Y | Landlord Z |
| 3. Floor/Rentable Area: | Entire 5 th Floor / 24,830 RSF | Entire 11th Floor / 21,150 RSF | Entire 7th Floor / 20,400 RSF |
| 4. Loss Factors & Useable Area | 27% 18,126 USF | 27% 15,439 USF | 25% 15,299 USF |
| 5. Commencement Date: | Upon Execution, Delivery & Consent | Upon Mutual Execution & Substantial Completion of Landlord's Work | June 1, 2012 Delivery Date: November 1, 2012 |
| 6. Term: | Through June 13, 2019 | 15 Years | 10 Years |
| 7. Base Rent PRSF & Annually: | Years 1-4: \$39 prsf / \$968,370 annually Years 5-LXD: \$42 prsf / \$1,042,860 annually | Years 1-5: \$62 prsf / 1,311,300 annually Years 6-10: \$68 prsf / \$1,438,200 annually Years 11-15: \$74 prsf / \$1,565,100 annually | Years 1-5: \$46 prsf / \$938,400 annually Years 6-10: \$50 prsf / \$1,020,000 annually |
| 8. Free Rent | 7 Months from Commencement Date | 2 Months from Commencement Date | 7 months from Delivery Date Rent Commencement: April 1, 2013 |
| 9. Electric: | Submetered | Submetered @ 105% 6 Watts prsf | Submetered @ 107% 6 Watts prsf |
| 10. Escalations: | Operating Expenses: 2% Annual Increases Real Estate Taxes: 2012/2013 Base Year | Operating Expenses: Direct Operating - 2012 Base Year Real Estate Taxes: 2012/2013 Base Year | Operating Expenses: 2% Annual Increases Real Estate Taxes: 2012/2013 Base Year |

(1) Required Net rent is the breakeven starting rent needed to produce the desired unleveraged return.
(2) Residual amount assumed to be a conservative \$45M in year 30



Sample Project Timeline: Charter Schools



Strategic Approach Issues to Consider/Best Practices



PROPERTY SPECIFIC

Architecture

- ◆ Building Lobby/Tenant Lobby
- ◆ Image
- ◆ Inviting +/-
- ◆ Security
- ◆ Location
- ◆ Accessibility, Transportation
- ◆ Uniqueness

Infrastructure

- ◆ HVAC-building capacity
- ◆ Electrical emergency
- ◆ Lighting
- ◆ Plumbing
- ◆ Acoustics – open floor plan
- ◆ Floor-to-ceiling heights
- ◆ Vertical transportation—freight elevator

School Use Considerations

- ◆ Means of Egress
- ◆ ADA Compliance
- ◆ Separate Entrance
- ◆ Dedicated Elevators (ADA)
- ◆ Flexibility & Multi-Purpose Rooms

Facilities

- ◆ Classroom Sizes
- ◆ Bus Drop-off Accessibility
- ◆ Ceiling heights
- ◆ Supportive Services
- ◆ Gym & Athletic Facilities
- ◆ Built-in storage
- ◆ Cafeteria – Venting/cooking on site

ENGINEERING ISSUES

HVAC

- ◆ Quantity of cooling
 - Current load
 - Changes in technology
- ◆ Quality of air
 - Hot/cold spots
 - Fresh air
 - Humidity

- ◆ Hours of operation - 24/7

Elevators

- ◆ Wait times during rush hours
- ◆ Infrastructure upgrade potential

Electrical

- ◆ Uninterruptible power
- ◆ Future capacity needs
- ◆ Back-up power
- ◆ Security tie-in
- ◆ CAD-aided design

Other Concerns

- ◆ Hazardous materials/waste
- ◆ Path of travel for incoming data feeds
- ◆ Multiple points of presence for data connectivity
- ◆ Clean under floor conduits/removal of old wiring/NYC code
- ◆ Column spacing
- ◆ Window mullions

LEASE ISSUES

Building Measurements

- ◆ Rentable vs. useable

Cleaning Obligations

- ◆ Tenant areas
- ◆ Common areas

HVAC Operating Costs

- ◆ Normal building hours
- ◆ Overtime air

Construction

- ◆ Initial renovation
- ◆ Future modifications

Electric

- ◆ Capacity
- ◆ Method of payment
- ◆ Measurement of consumption

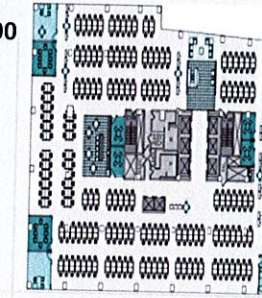
Local Law Obligations

- ◆ Certificate of Occupancy
- ◆ Technology wiring
- ◆ Facade
- ◆ Sprinkler
- ◆ Wiring

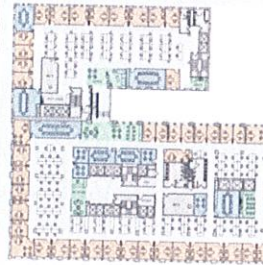
SAMPLE SPACE EFFICIENCY



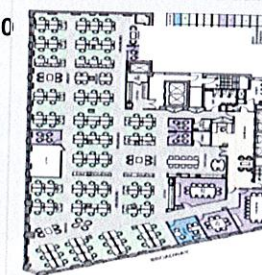
| | |
|-------------------|--------|
| RSF Area: | 40,700 |
| Work Stations: | 252 |
| Offices: | 6 |
| Conference: | 13 |
| Total Head Count: | 258 |
| RSF/Person: | 157 |



| | |
|-------------------|--------|
| RSF Area: | 27,156 |
| Work Stations: | 319 |
| Offices: | 4 |
| Conference: | 7 |
| Total Head Count: | 323 |
| RSF/Person: | 85 |

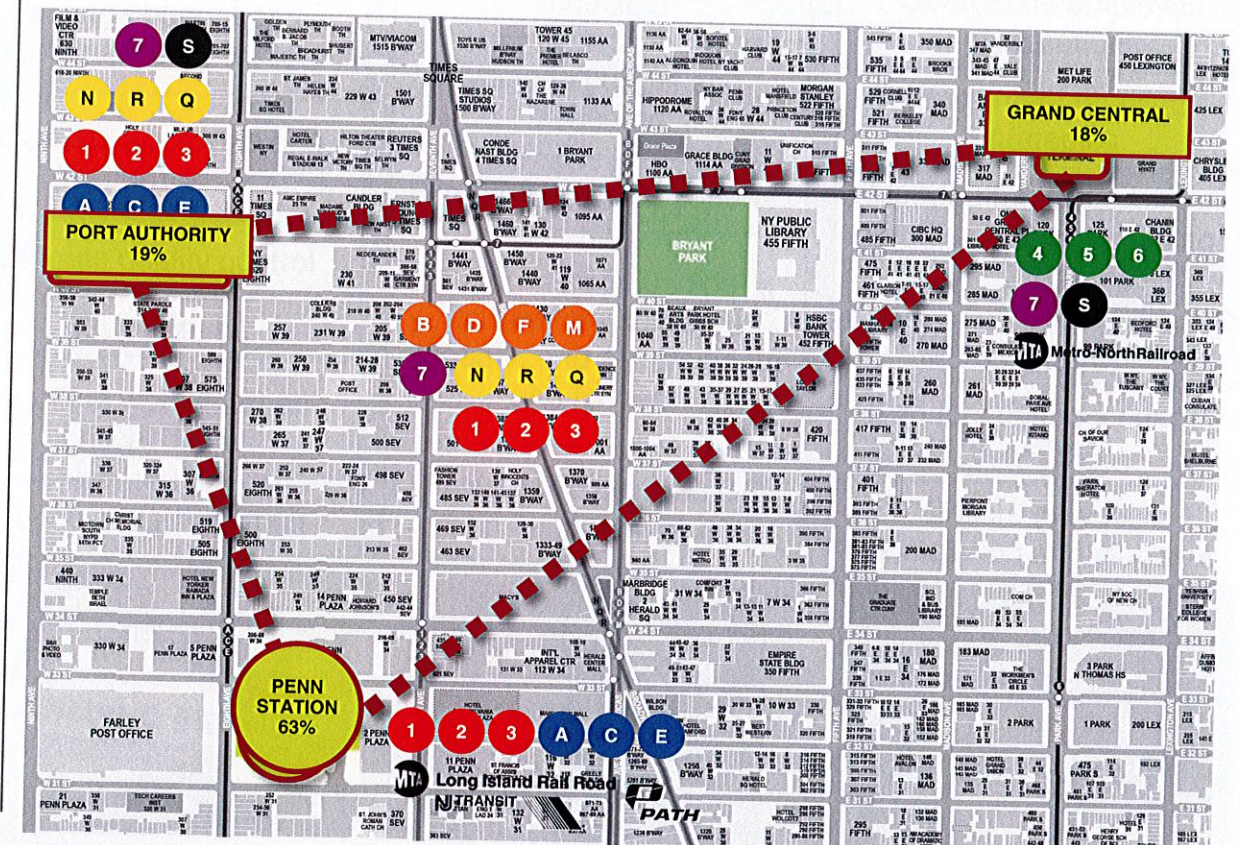


| | |
|-------------------|--------|
| RSF Area: | 40,700 |
| Work Stations: | 144 |
| Offices: | 46 |
| Conference: | 12 |
| Total Head Count: | 190 |
| RSF/Person: | 214 |



| | |
|-------------------|--------|
| RSF Area: | 16,784 |
| Work Stations: | 109 |
| Offices: | 1 |
| Conference: | 7 |
| Total Head Count: | 110 |
| RSF/Person: | 151 |

SAMPLE EMPLOYEE/STUDENT COMMUTATION ANALYSIS CAPABILITIES



Integrated Service Delivery Project Management



SAVE TIME

SAVE MONEY

REDUCE RISK

PROJECT MANAGER

is your advocate to control the process, reduce your risk and save you time and money

An experienced professional will manage the project, eliminating the need to dedicate in-house resources with limited experience to the process.

Results: Project phases are expedited, operational downtime is prevented, loss of key employee productivity is precluded.

Through our leveraged purchasing power, active cost controls and experienced process management, we will save money throughout the planning and execution of the project.

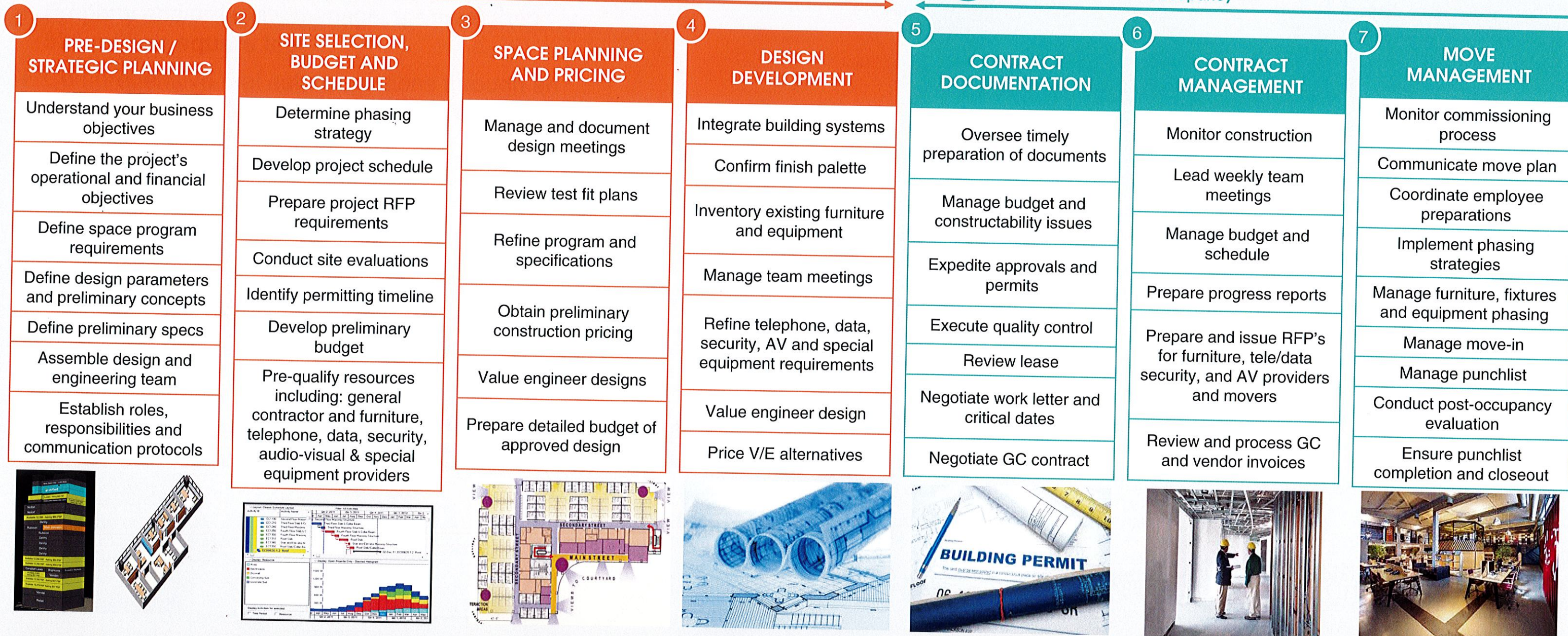
A step-by-step process by an experienced project manager ensures project success. The project manager is your advocate throughout the process, managing risk and ensuring your interests are protected.



80%
Potential Project Savings
Pre-construction



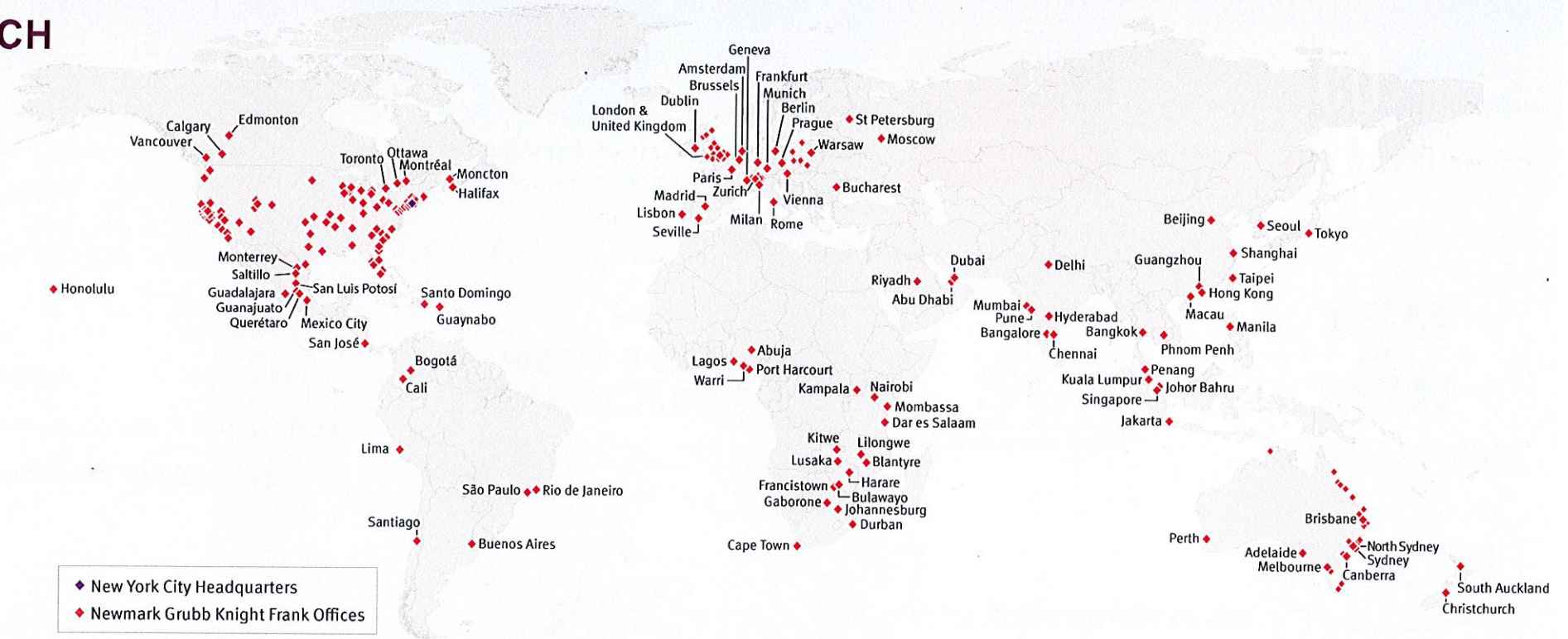
20%
Potential Project Savings
Construction and Occupancy





NEWMARK GRUBB KNIGHT FRANK'S GLOBAL REACH

- ◆ One of the world's leading real estate service firms
- ◆ Global revenues of nearly \$2 billion
- ◆ More than 400 offices in established and emerging property markets, with a global staff of more than 14,100
- ◆ Property and/or facility manager for more than 525 million square feet
- ◆ Comprehensive real estate solutions through an extensive global platform of integrated services



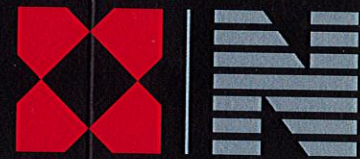
COMPREHENSIVE SERVICES

| | |
|---------------------------------------|--|
| Tenant Representation Services | <ul style="list-style-type: none"> ◆ Strategic Planning ◆ Lease Acquisitions ◆ Lease Dispositions ◆ Program and Project Management |
| Owner Representation Services | <ul style="list-style-type: none"> ◆ Leasing Advisory Services ◆ Investment Sales and Capital Markets ◆ Property Management ◆ Project and Construction Management ◆ Valuation and Advisory Services |
| Global Corporate Services | <ul style="list-style-type: none"> ◆ Global Account Management ◆ Strategic Consulting Services ◆ Global Program Management ◆ Facilities Management ◆ Lease Administration |

SELECT NOT-FOR-PROFIT CLIENTS



NGKF Select School, Not-For-Profit Client List

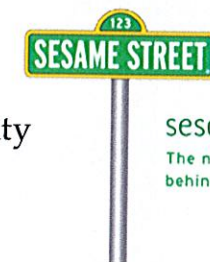


Breast Cancer Research Foundation (BCRF)
 Calling All Kids, Again, Inc.
 Cambium Learning Group, Inc.
 Center for Arts Education (CAE)
 Cornell University
 Girl Scout Council of Greater New York
 Grant Associates
 High Focus Centers
 iMentor
 Innovations High School
 Institute For Student Achievement
 International Communication Associates
 John V. Lindsay Wildcat Charter School
 Penton Learning Systems, LLC
 Polytechnic Institute of New York University
 Public Prep Network, Inc.
 Rebecca School
 Rutgers, The State University of New Jersey
 Santis
 Teacher U
 Technical Career Institutes New York
 University Support Services LLC
 Urban Education Partnership
 Village Academy Schools
 Wall Street Institute School of English

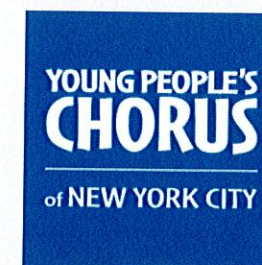
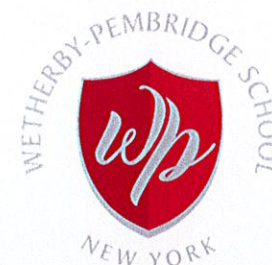
The After School Corporation
 America for the Arts
 Autism Consultants NB Inc.
 The Center for Community and Family Services
 Child Care Resources Inc.
 Child Study Center
 Cradle of Hope Adoption Center
 Jewish Community Centers Association of North America
 The League School and Community Services, Inc.
 Lifespire
 The Media Institute
 Medicare Rights Center
 National Academy Foundation
 New York Association for New Americans (NYANA)
 New York City Police Pension Fund
 New York Society for the Prevention of Cruelty to Children (NYSPCC)
 NYSARD, Inc.
 Partnership for Jewish Life and Learning
 Partnership for New York City
 Success Academy
 School Nutrition Association
 United Jewish Communities
 United Nations Foundation
 Vera Institute of Justice, Inc.
 Youth Connection Charter School
 Young Peoples Chorus (YPC)

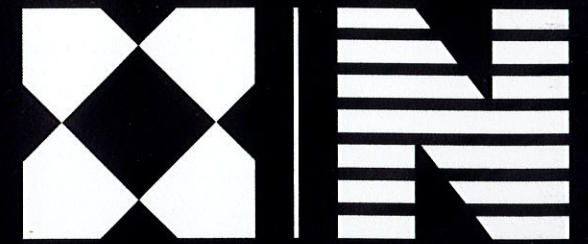


Cornell University



sesameworkshop
 The nonprofit educational organization behind Sesame Street and so much more





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North America

Canada
United States

Europe

Austria
Belgium
Czech Republic
France
Germany
Ireland
Italy
Netherlands
Poland
Portugal
Romania
Russia
Spain
Switzerland
United Kingdom

Latin America

Argentina
Brazil
Chile
Colombia
Costa Rica
Dominican Republic
Mexico
Peru
Puerto Rico

Asia-Pacific

Australia
Cambodia
China
Hong Kong
India
Indonesia
Japan
Malaysia
New Zealand
Philippines
Singapore
South Korea
Taiwan
Thailand

Africa

Botswana
Kenya
Malawi
Nigeria
South Africa
Tanzania
Uganda
Zambia
Zimbabwe

Middle East

Saudi Arabia
United Arab Emirates



Please recycle,
whenever possible
Sustainably
Newmark Grubb Knight Frank

Capital Preparatory Bronx Charter School

Food Services

CP Bronx will participate in the Federal school breakfast and lunch program and will receive its meals for students through NYCDOE's Office of School Food (OSF). All students attending CP Bronx will be eligible for meals provided at the facility. Breakfast, lunch and an afternoon snack will be served each day school is in session. Meals will be in compliance with NYCDOE, state and federal regulations.

If the school is co-located in a DOE school building, school leaders will coordinate with other schools in the building for time and space in the cafeteria for CP Bronx students, relying on DOE food service staff for preparation and serving. If located in a private space, CP Bronx will contract with the OSF to deliver meals to our building. Our facility will be equipped with proper heating ovens and refrigerators as well as a cafeteria in which food will be served and students take their meals.

Health Services

CP Bronx shall comply with all health services requirements applicable to other public schools including, but not limited to, all immunization requirements and diagnostic testing requirements. CP Bronx will provide on-site health care services similar to the extent that such health services are available to children attending other public schools in the district where CP Bronx will be located. This will be done, if possible, through a contractual arrangement with the NYC Department of Health. However, there is a line item in the budget for a nurse should placement be denied. The school nurse is responsible for supervising the disbursement of medication, treating students who are sick or injured, and maintaining records and correspondence in secure facilities in accordance with §2853(4)(a) and §912 of the Education Law.

CP Bronx's health services program ensures that each student has a certificate of immunization that complies with §2164 of the Public Health Law at the time of registration or within the acceptable time frame after enrollment (subject to exceptions permitted under the law for medical contraindications and religious exemptions). Prior to the first day of school, CP Bronx staff will receive training regarding school health policies and procedures, including policies on the storage and administration of students' medications, first aid provisions, and protocols for health emergencies. All faculty and staff have access to first aid resources with at least two staff members being certified in First Aid and cardiopulmonary resuscitation. The school also maintains appropriate access to automated external defibrillators (AED) as required by §917 of the Education Law and ensures that two or more staff members are certified in their operation and use. Prior to beginning each school year, CP Bronx will secure parental consent to identify students with health risks and provide accommodations to faculty and staff when appropriate.

The facility plan for CP Bronx will include a secure, private space for a nursing office that contains running water, secure storage, secure refrigeration, and computer access.

Transportation

NYCDOE is responsible for providing transportation services to CP Bronx's students. CP Bronx's students will receive the same transportation services as other NYC public school students. Eligibility for busing and half-fare or full-fare Metrocards is determined and provided by the Office of Pupil Transportation (OPT). Eligibility for transportation is based on age and distance from the School. Should students be eligible for transportation provided by OPT, only grade 6 students have the possibility for school bus transportation. Grade 7 students and above would only be eligible for half- or full-fare Metrocards. CP Bronx will not guarantee parents a child will have yellow school bus service or half-fare or full-fare Metrocards until such service eligibility has been confirmed by OPT. On days when the regular public schools are not in session but CP Bronx is, CP Bronx will contract directly with a bus service provider to provide bus transportation solely for students who had yellow bus eligibility and will pay for the buses out of the school budget. Funds have been allocated to this transportation need in the school's budget projections and will be an annual CP Bronx budgetary item. CP Bronx will also earmark funds for student transportation for field trips and other extracurricular programming and events that are otherwise not covered by OPT.

SWD often have different eligibility for transportation. Eligibility is dictated by each student's IEP. Transportation for students with disabilities will be provided in accordance with all applicable State and Federal laws. CP Bronx's students will receive transportation services for which they are eligible under Education Law § 2853(4)(b) and § 3635. If a student is not eligible for transportation services, transportation will be the responsibility of each child's parents.

Capital Preparatory Bronx Charter School

Insurance

CP Bronx will carry insurance that includes adequate insurance coverage for liability, property loss and personal injury to students. The School has consulted with the insurance broker of Alliant (which also serves as the broker for CP Harbor, CP Harlem and CPS), which has provided CP Bronx with a quote for insurance that includes:

- Business Personal Property (250k);
- Crime Coverage including Employee Theft (1M),
- Computer Fraud (1M) and Forgery (1M);
- Business Interruption (750K);
- Automobile Liability (1M);
- General Liability including Employee Benefits Liability and Sexual Abuse/Molestation (1M per occurrence/3M aggregate),
- Directors and Officers Liability including Employment Practices Liability, Educators Legal Liability and Fiduciary Liability (1M per occurrence/3M aggregate);
- Umbrella Liability (10M);
- Workers' Compensation and Employers' Liability (statutory limits);
- Cyber Liability (1M aggregate);
- Student Accident (25K) and Catastrophic Student Accident(7.5M).

The particulars of the proposal are provided in the Alliant Insurance estimate, to be made available upon request. The proposed school budget includes over \$43,000 for insurance in Year 1, rising to more than \$52,000 in Year 5.

Fiscal Soundness

(a) Budget Narrative

The budgets (see Response 21e) support the mission and educational plan of CP Bronx. CP Bronx's start-up budget plan, first-year budget and the five-year budget plan use conservative assumptions. The budgets are balanced and produce a growing surplus each year.

Pre-Opening Budget: CP Bronx will use \$350K of the CPS grant to cover expenses incurred prior to CP Bronx's opening. The funds will be used to cover of compensation and benefits for staff needed to get CP Bronx up and running, including the Principal for 6 months, Academic Dean for 3 months and Director of Operations for 3 months. CP Bronx will also be supported by CPS staff during the start-up phase of the school. Additional funds will be used for supplies, equipment, phone, board training, insurance and student recruitment. The school will be solvent at the end of the Pre-Opening Year with an anticipated \$14,615 to carry over to Year One.

Year 1 and Five Year Budget Plan: CP Bronx's budgets were informed by the experience of operating CP Harlem as well as other schools in CT. We based the budget assumptions on the current expenditures of these schools; they reflect prevailing costs for personnel and OTPS costs, including costs associated with operating in a private facility. CP Bronx's budget includes conservative assumptions, including \$15,307 per pupil with no increases in per pupil each year. In addition, this budget relies solely on per pupil and entitlement funding with no additional fundraising or grants. We also assume only a \$550,000 CSP grant, but believe the school will be eligible for additional CSP funds. On the other hand, budgeted expenses, specifically salaries—the largest driver of expenses—include 3% annual increases. All costs necessary to meet the educational, fiscal and operational goals and program have been included in the budget. The school is solvent throughout the five years presented and will have a healthy cash surplus at the end of Year 5.

Contingencies: In the event of budgetary shortfalls we will work with CPS to maintain the integrity of our academic program. As noted, this budget does not include any fundraising or grants, which can be pursued to supplement this budget. We would also consider modifications to reduce expenses and increase grant or loan opportunities from CPS until we reach a more sustainable enrollment size. The school could operate with fewer specialty teachers, limit automatic salary increases, reduce investments in technology, and reduce transportation costs for athletics to reduce costs without harming the academic program.

(b) Financial Planning

Budgeting Process: The CPS President, COO and Finance Manager will work with the school-based staff, including the Principal and the Director of Operations in the preparation of the school's annual budget and would work as the Budget Preparation Team. The Finance Committee of the Board would be responsible for the review and final approval of the budget. The Budget Preparation Team along with the Finance Committee comprise the Budget Team.

Capital Preparatory Bronx Charter School

Needs will be identified and weighed by the Budget Preparation Team. The CP Bronx Principal will present his or her analysis of the coming year's academic personnel and other than personnel needs along with the rationale for those needs, which must include data that support those needs (i.e., student assessment data, teacher surveys, expected student enrollment, expected populations of students who will be served, the educational needs of the expected population, among other forms of data). The CP Bronx Director of Operations will be expected to undertake the same process using the School's operational data to prepare a list of personnel and other personnel needs for the coming year based on the School's operational data. The Budget Preparation Team will review per pupil revenue sources as well as committed private philanthropy and/or public grants, including private philanthropy secured by CPS on behalf of the school.

The CP Bronx Director of Operations with support from the CPS Finance Manager will gather all budgetary information and work together in drafting of the budget. In a collaborative process, the Budget Preparation Team will prioritize the needs based on how they will support increased student achievement, implementation of the school and operational efficiency.

The Budget Preparation Team will review this budget and perform an evaluation of the various material changes in the budget with its current year's actual revenue and costs. The CP Bronx Principal and CPS President with feedback on the budget from other members would evaluate and finalize the draft of the budget. The CPS President and CP Bronx Principal will review the school budget with the Board Finance Committee before presenting the budget to the Board for final approval.

The CPS President and CP Bronx Principal may or may not be asked to make revisions to this draft budget based on recommendations by the Finance Committee. If this is the case, they will work together to review and make the recommended adjustments. The Treasurer with support from the CP Bronx Principal and CPS President will make a budget presentation to the Board at a full Board meeting. Revisions to the budget may arise based on recommendations by the Board. The final budget will be presented for ratification by the Board no later than the May meeting.

The budgeting process will begin formally during January of each year and the budget will be finalized by the June board meeting. The adopted budgets totals are entered in the accounting software by the Director of Operations with oversight from the central office Finance Manager for the new fiscal year, in order to prepare budget to actual reports. The CP Bronx Director of Operations with support from the CPS Finance Manager will be responsible for preparing monthly and/or quarterly budget vs. actual reports which include the annual budget, current month actuals, year to date actuals, year to date budget, budget variance and review these statements with the CP Bronx Principal and the CPS President. The CP Bronx Principal and CPS President will review these presentations with the Finance Committee, which includes the Treasurer prior to the Board meeting. All material deviations will be documented and explained by the Principal. Any expected deviations in a budget category of more than \$5,000 and +/- 10% of the budget amount will be considered material. A discussion will be held regarding any material items by the Finance Committee regarding that particular budget category. If necessary the Finance Committee would bring the deviation to the Board's

Capital Preparatory Bronx Charter School

attention to discuss any negative (or positive) impact that deviation may have on the school's cash flow and financial position. Depending on the material impact to the school's overall budget and its probable impact on the operations, a budget modification could be proposed by the Finance Committee and voted by the full Board. This will allow the Board to make necessary arrangements to secure additional funding (through lines of credit/loans, private philanthropy) to cover expected shortfalls or re-allocate potential surplus funds to other areas of the budget.

Financial Management and Oversight: CP Bronx is committed to developing and maintaining fiscal policies and procedures that ensure sound internal controls, fiscal responsibility and accountability in accordance with Generally Accepted Accounting Principles (GAAP), and adherence to the Financial Accounting Standards Board (FASB) rules and regulations. The following explains the Internal Control System that CP Bronx will implement.

The internal control structure is composed of two basic elements:

1. The Control Environment reflects the importance CP Bronx places on internal controls as part of its day-to-day activities. Factors that influence the control environment include management and Board philosophy, organizational structure, ways of assigning authority and responsibility, methods of management and control, and personnel policies and practices. CP Bronx's BOT will review the fiscal reports as a part of its BOT meetings; the BOT will also ensure that the organization's structure allows for sufficient checks and balances.

2. The Control Procedures will be set up to strengthen CP Bronx's internal control structure and thus safeguard the school's assets. They are divided into the following:

- Segregation of Duties: In general, the transaction approval function, the accounting/reconciliation function and the asset custody function would be separated among employees (Principal, Director of Operations, Office Manager) and the CPS Finance Manager whenever possible. When these functions are not or cannot be separated, then a detailed supervisory review of related activities should be undertaken by managers or officials as a compensatory control.
- Restricted Access: Physical access to valuable and movable assets will be restricted to authorized personnel (Principal and Director of Operations). Systems access to make changes in accounting records will be restricted to authorized personnel (BOT Treasurer and Principal) with changes and explanation for changes documented as a safeguard.
- Document Controls ensure that all documents are captured by the accounting system. To do so all documents will be pre-numbered and the sequence for documents must be accounted for.
- Processing Controls will be designed to catch errors before they are posted to the general ledger. Processing controls CP Bronx expects to implement are the following: source document matching; clerical accuracy of documents; and general ledger account code checking.
- Reconciliation Controls such as reconciling selected general ledger control accounts to subsidiary ledgers, will be designed to catch errors after transactions have been posted to the general ledger. All bank statements will be reviewed by the Treasurer.

Capital Preparatory Bronx Charter School

- Fraud Prevention will include measures in its banking relationship to deter check fraud such as Positive Pay. All purchases over \$5,000 will require approval by the Finance Committee.
- Cash Handling Controls requires cash receipts to be handled exclusively by the Director of Operations or in his/her absence, the office manager. On a periodic basis, CSBM (who is contracted by CPS) performs unannounced review, at least bi-monthly, of cash involving reconciling cash on hand and the expected balance using the opening cash balance and accounting for the receipts and disbursements of cash.

The Board will adopt a fiscal policies and procedures (FPP) that has been created with support from CPS and CSBM. CP Bronx will adopt those fiscal policies and procedures and implement the above-mentioned control structures. The independent auditor will be engaged to form an opinion about the proposed internal controls policies and procedures. Adjustments will be made to the policies and procedures based on any weaknesses identified by the auditor. FPP will be ratified by the School's BOT and adopted by the School.

(c) Fiscal Audits

The CP Bronx Board will be responsible for hiring an independent auditor to perform an annual audit of the financial statements prepared by the management. The Board Finance Committee will have the ultimate responsibility to oversee the audit process. The audit will be performed by the independent auditor in accordance with the Generally Accepted Auditing Standards (GAAS). Upon completion of the audit, the Finance Committee will meet with the independent auditor to discuss the report and any findings. A corrective action plan will be implemented by the Finance Committee to correct any findings by the independent auditor. A copy of the audit report and the auditor's Management Letter will be provided to the full BOT and SUNY by the November 1st deadline.

(d) Dissolution Procedures

CP Bronx will put \$75,000 in escrow over the first three years of operation in order to have available the required designated funds to cover legal, auditing and other expenses related to the dissolution and closure of the school should that event occur. In the event of closure and dissolution of CP Bronx, the school will follow all procedures required by Education Law §§2854(2)(t), 219 and 220 and any Closing Procedures specified by SUNY.

The CP Bronx Board shall delegate to the Principal and the Director of Operations, with support from CPS, the responsibility to manage the dissolution process in accordance with Education Law and SUNY requirements. The dissolution process will begin with a meeting of the leadership team that will include at least the Board Chair, Principal, Director of Operations, CSBM (or other contracted back office provider if not CSBM), the CPS President and Head of Schools and CP Bronx's legal counsel. The purpose of this meeting is to review and approve the dissolution plan and timeline developed by CP Bronx's administrative staff that will be used to guide the dissolution process. Upon approval of the plan and timeline, the Principal and Board

Capital Preparatory Bronx Charter School

Chair will meet with representatives from the SUNY Charter Schools Institute, NYCDOE charter school office or other appropriate staff to review and discuss the dissolution plan and timeline. The outcome of this meeting shall be the adoption of a detailed final dissolution plan and timeline that will be used to manage the dissolution process of CP Bronx that shall cause the school to comply with all Education Law and SUNY requirements including without limitation, ensuring that families/guardians of to-be-displaced students are notified and provided with information regarding placement, notice of closure to the NYCDOE and NYCDOE principals likely to receive the to-be-displaced students, transfer of student records to NYCDOE, developing and implementing a plan to complete payment all of CP Bronx's outstanding debts (if any) and transfer all of CP Bronx's remaining assets (with support from CSBM and legal counsel).

The dissolution timeline will generally conform to these parameters:

Within 10 Days:

- CP Bronx will send a current student roster to the SUNY Charter Schools Institute and each student's district of residence Board and school leadership will meet with authorizer to discuss the closure process and opportunities for student placement in alternative schools.
- The Director of Operations will work to settle all outstanding financial obligations. In addition, the Director of Operations will contact all major vendors and partner organizations to inform them of the closure and arrange for services to be maintained until the end of the closure period.
- The Principal, Director of Operations, and Board Treasurer will work to begin producing final financial statements through the closure and a preliminary process for identifying assets required for transfer.
- The Principal and Board Chair will notify all parents and guardians in writing of the school closure and the placement process.
- School leaders will hold student meetings and share information about the school closure and the placement process.
- CP Bronx will host information sessions for families and students about other school opportunities and assist students in the application process
- CP Bronx will post all official closure information on its website.

Within 20 Days:

- CP Bronx staff will meet with each student and their parents/guardians to determine placement options.
- The school will notify local public and private schools of the planned closure and placement needs of students.
- The Director of Operations will provide a status report to the Principal and Board Finance Committee regarding current vendors and services, including remaining balances and service discontinuation timeline.

Capital Preparatory Bronx Charter School

Within 30 Days:

- CP Bronx staff will continue to meet with each student and their parents until placement is determined.
- The school will transfer students records to the schools in which students are subsequently enrolled.
- Parents of the enrolled students will be informed of the transfer of student records and will be provided a copy.
- The Director of Operations will provide a final report to the Principal and Board Finance Committee regarding current vendors and services, including remaining balances and service discontinuation timeline, and final list of assets.

After 30 Days:

- The Board Finance Committee and remaining school staff will manage the closing of the financial records and resolution of outstanding obligations.
- Upon closure of financial records, the audit firm will complete a final audit and report to the Board of Trustees, which is furnished to the authorizer.
- Available assets after all debts have been met will then be distributed to the charter school selected by the Board of Trustees.



**2018 New School Proposal
Budget(s) & Cash Flow(s) Template**

Capital Preparatory Bronx Charter School

Contact Name: Joan Massey

Contact Title: President

Contact Email:

Contact Phone:

First Academic Year: 2019-20

Pre-Opening Period: January 1, 2019 - June 30, 2019

Note: For pre-opening period if the RFP submission date is:

- a) less than 1 year from the "First Academic Year," select the January through June date range.
- b) 1 year or more before the "First Academic Year," select the July through June date range.

CAPITAL PREPARATORY BRONX CHARTER SCHOOL
2019-20 through 2023-24

| CHARTER ENROLLMENT BY GRADE | | | | | | | |
|-----------------------------|---|------------|------------|------------|------------|------------|-----------|
| GRADES | LEVEL | 2019-20 | 2020-21 | 2021-22 | 2022-23 | 2023-24 | AGE RANGE |
| Kindergarten | Elementary School | | | | | | |
| 1st Grade | Elementary School | | | | | | |
| 2nd Grade | Elementary School | | | | | | |
| 3rd Grade | Elementary School | | | | | | |
| 4th Grade | Elementary School | | | | | | |
| 5th Grade | Select grade 5 level from dropdown list → | | | | | | |
| 6th Grade | Middle School | 80 | 80 | 100 | 100 | 100 | 10-12 |
| 7th Grade | Middle School | 80 | 80 | 100 | 100 | 100 | 11-13 |
| 8th Grade | Middle School | | 80 | 100 | 100 | 100 | 12-14 |
| 9th Grade | High School | | | 100 | 100 | 100 | 13-15 |
| 10th Grade | High School | | | | 100 | 100 | 14-16 |
| 11th Grade | High School | | | | | 100 | 15-17 |
| 12th Grade | High School | | | | | | |
| Ungraded | | | | | | | |
| TOTAL | | 160 | 240 | 400 | 500 | 600 | |

| NUMBER OF CLASSES BY GRADE | | | | | | |
|----------------------------|--------------------------|----------|-----------|-----------|-----------|-----------|
| GRADES | LEVEL | 2019-20 | 2020-21 | 2021-22 | 2022-23 | 2023-24 |
| Kindergarten | Elementary School | | | | | |
| 1st Grade | Elementary School | | | | | |
| 2nd Grade | Elementary School | | | | | |
| 3rd Grade | Elementary School | | | | | |
| 4th Grade | Elementary School | | | | | |
| 5th Grade | Elementary/Middle School | | | | | |
| 6th Grade | Middle School | 4 | 4 | 5 | 5 | 5 |
| 7th Grade | Middle School | 4 | 4 | 5 | 5 | 5 |
| 8th Grade | Middle School | | 4 | 5 | 5 | 5 |
| 9th Grade | High School | | | 5 | 5 | 5 |
| 10th Grade | High School | | | | 5 | 5 |
| 11th Grade | High School | | | | | 5 |
| 12th Grade | High School | | | | | |
| Ungraded | | | | | | |
| TOTAL | | 8 | 12 | 20 | 25 | 30 |

| AVERAGE NUMBER OF STUDENTS PER CLASS BY GRADE | | | | | | |
|---|--------------------------|---------|---------|---------|---------|---------|
| GRADES | LEVEL | 2019-20 | 2020-21 | 2021-22 | 2022-23 | 2023-24 |
| Kindergarten | Elementary School | 0 | 0 | 0 | 0 | 0 |
| 1st Grade | Elementary School | 0 | 0 | 0 | 0 | 0 |
| 2nd Grade | Elementary School | 0 | 0 | 0 | 0 | 0 |
| 3rd Grade | Elementary School | 0 | 0 | 0 | 0 | 0 |
| 4th Grade | Elementary School | 0 | 0 | 0 | 0 | 0 |
| 5th Grade | Elementary/Middle School | 0 | 0 | 0 | 0 | 0 |
| 6th Grade | Middle School | 20 | 20 | 20 | 20 | 20 |
| 7th Grade | Middle School | 20 | 20 | 20 | 20 | 20 |
| 8th Grade | Middle School | 0 | 20 | 20 | 20 | 20 |
| 9th Grade | High School | 0 | 0 | 20 | 20 | 20 |
| 10th Grade | High School | 0 | 0 | 0 | 20 | 20 |
| 11th Grade | High School | 0 | 0 | 0 | 0 | 20 |
| 12th Grade | High School | 0 | 0 | 0 | 0 | 0 |
| Ungraded | | 0 | 0 | 0 | 0 | 0 |

| SUMMARY AND OTHER INFORMATION | | | | | | |
|--|--|------------|------------|------------|------------|------------|
| Total Elementary Enrollment | | - | - | - | - | - |
| Total Middle School Enrollment | | 160 | 240 | 300 | 300 | 300 |
| Total High School Enrollment | | - | - | 100 | 200 | 300 |
| Total Ungraded Enrollment | | - | - | - | - | - |
| Total Enrollment | | 160 | 240 | 400 | 500 | 600 |
| Change in Net Enrollment from Prior Year (Count) | | 160 | 80 | 160 | 100 | 100 |
| Change in Net Enrollment from Prior Year (Percent) | | 100.0% | 50.0% | 66.7% | 25.0% | 20.0% |
| Anticipated rate of attrition (Percent) | | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |

| ADDITIONAL NOTES/COMMENTS | | | | | | |
|---------------------------|--|--|--|--|--|--|
| | | | | | | |

| ESTIMATED ENROLLMENT BY DISTRICT | | | | | |
|--|-----|-----|-----|-----|-----|
| ANNUAL ENROLLMENT BY DISTRICT TOTALS | 160 | 240 | 400 | 500 | 600 |
| Enrollment by Grade vs Enrollment by District (should = 0) | - | - | - | - | - |

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

| PRIMARY SENDING SCHOOL DISTRICT | NYC CHANCELLOR'S OFFICE | 2019-20 | 2020-21 | 2021-22 | 2022-23 | 2023-24 |
|--|---|-------------------|-------------------|-------------------|-------------------|-------------------|
| DISTRICT'S ANNUAL TOTAL OPERATING BUDGET | | \$ 24,300,000,000 | \$ 24,300,000,000 | \$ 24,300,000,000 | \$ 24,300,000,000 | \$ 24,300,000,000 |
| ENROLLMENT (Charter School) | | 160 | 240 | 400 | 500 | 600 |
| DESCRIPTION OF SOURCE FOR DISTRICT'S OPERATING BUDGET (Include web address if available) | http://schools.nyc.gov/aboutus/funding/overview/default.htm | | | | | |

| SECONDARY SENDING SCHOOL DISTRICT | Select from drop-down list → | 2019-20 | 2020-21 | 2021-22 | 2022-23 | 2023-24 |
|--|------------------------------|---------|---------|---------|---------|---------|
| DISTRICT'S ANNUAL TOTAL OPERATING BUDGET | | \$ - | \$ - | \$ - | \$ - | \$ - |
| ENROLLMENT (Charter School) | | | | | | |
| DESCRIPTION OF SOURCE FOR DISTRICT'S OPERATING BUDGET (Include web address if available) | | | | | | |

CAPITAL PREPARATORY BRONX CHARTER SCHOOL

| STAFFING PLAN FTE | | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
|----------------------|------------|---------|---------|---------|---------|---------|
| | Acad Years | 2019-20 | 2020-21 | 2021-22 | 2022-23 | 2023-24 |
| | Grades | 6-7 | 6-8 | 6-9 | 6-10 | 6-11 |
| | Enrollment | 160 | 240 | 400 | 500 | 600 |

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

**NOTE: State the assumptions that are being made for personnel FTE levels in the section provided below.*

| ADMINISTRATIVE PERSONNEL FTE | FTE | | | | |
|-----------------------------------|------------|------------|------------|------------|------------|
| Executive Management | 1.0 | 1.0 | 1.0 | 1.0 | 1.0 |
| Instructional Management | 1.0 | 1.0 | 2.0 | 2.0 | 2.0 |
| Deans, Directors & Coordinators | 1.0 | 1.0 | 1.0 | 3.0 | 3.0 |
| CFO / Director of Finance | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| Operation / Business Manager | 1.0 | 1.0 | 1.0 | 1.0 | 1.0 |
| Administrative Staff | 1.0 | 1.0 | 2.0 | 2.0 | 2.0 |
| TOTAL ADMINISTRATIVE STAFF | 5.0 | 5.0 | 7.0 | 9.0 | 9.0 |

| Description of Assumptions |
|--|
| Principal |
| Y1: Academic Dean; Y3: Academic Dean |
| Y1: Special Education Coordinator; Y4: Dean of Students, Special Education Coordinator |
| Director of Operations |
| Y1: 1 Office Manager; Y3: 2 Office Managers |

| INSTRUCTIONAL PERSONNEL FTE | FTE | | | | |
|-----------------------------|-------------|-------------|-------------|-------------|-------------|
| Teachers - Regular | 8.0 | 12.0 | 16.0 | 20.0 | 24.0 |
| Teachers - SPED | 1.0 | 3.0 | 5.0 | 5.0 | 7.0 |
| Substitute Teachers | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| Teaching Assistants | 2.0 | 6.0 | 6.0 | 8.0 | 8.0 |
| Specialty Teachers | 6.0 | 7.0 | 12.0 | 13.0 | 14.0 |
| Aides | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| Therapists & Counselors | 1.0 | 1.0 | 2.0 | 2.0 | 3.0 |
| Other | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| TOTAL INSTRUCTIONAL | 18.0 | 29.0 | 41.0 | 48.0 | 56.0 |

| |
|--|
| Y1: 8 MS teachers; Y2: 12 MS teachers; Y3: 12 MS teachers & 4 HS |
| Junior Illuminators |
| Music, Art, PE, ELL, Interventionist, LOTE |
| Y1: Social Worker; Y3: Social Worker; Y5: College Counselor |

| NON-INSTRUCTIONAL PERSONNEL FTE | FTE | | | | |
|---------------------------------|------------|------------|------------|------------|------------|
| Nurse | 1.0 | 1.0 | 1.0 | 1.0 | 1.0 |
| 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 | 0.0 | 0.0 | 0.0 |
| TOTAL NON-INSTRUCTIONAL | 1.0 | 1.0 | 1.0 | 1.0 | 1.0 |

| | | | | | |
|------------------------------------|-------------|-------------|-------------|-------------|-------------|
| TOTAL PERSONNEL SERVICE FTE | 24.0 | 35.0 | 49.0 | 58.0 | 66.0 |
|------------------------------------|-------------|-------------|-------------|-------------|-------------|

CAPITAL PREPARATORY BRONX CHARTER SCHOOL

| | | | | | | |
|--------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| STAFFING PLAN WAGES | Acad Years | Year 1 2019-20 | Year 2 2020-21 | Year 3 2021-22 | Year 4 2022-23 | Year 5 2023-24 |
| | Grades | 6-7 | 6-8 | 6-9 | 6-10 | 6-11 |
| | Enrollment | 160.00 | 240.00 | 400.00 | 500.00 | 600.00 |
| | | | | | | |

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

**NOTE: Concisely state the assumptions that are being made for personnel wages in the section provided below.*

| ADMINISTRATIVE PERSONNEL WAGES | WAGES | | | | | |
|-----------------------------------|---------------|------------|------------|------------|------------|------------|
| | Salary/Incr % | 3.00% | 3.00% | 3.00% | 3.00% | 3.00% |
| Executive Management | \$ 125,000 | \$ 125,000 | \$ 128,750 | \$ 132,613 | \$ 136,591 | \$ 140,689 |
| Instructional Management | \$ 100,000 | \$ 100,000 | \$ 103,000 | \$ 206,090 | \$ 212,273 | \$ 218,641 |
| Deans, Directors & Coordinators | \$ 85,000 | \$ 85,000 | \$ 87,550 | \$ 90,177 | \$ 262,882 | \$ 270,768 |
| CFO / Director of Finance | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Operation / Business Manager | \$ 100,000 | \$ 100,000 | \$ 103,000 | \$ 106,090 | \$ 109,273 | \$ 112,551 |
| Administrative Staff | \$ 45,000 | \$ 45,000 | \$ 46,350 | \$ 92,741 | \$ 95,523 | \$ 98,388 |
| TOTAL ADMINISTRATIVE STAFF | | \$ 455,000 | \$ 468,650 | \$ 627,710 | \$ 816,541 | \$ 841,037 |

| Description of Assumptions |
|--|
| Principal |
| Y1: Academic Dean; Y3: Academic Dean |
| Y1: Special Education Coordinator; Y4: Dean of Students, Special Education Coordinator |
| Director of Operations |
| Y1: 1 Office Manager; Y3: 2 Office Managers |

| INSTRUCTIONAL PERSONNEL WAGES | | | | | | |
|-------------------------------|-----------|--------------|--------------|--------------|--------------|--------------|
| Teachers - Regular | \$ 75,000 | \$ 600,000 | \$ 918,000 | \$ 1,245,540 | \$ 1,582,906 | \$ 1,930,393 |
| Teachers - SPED | \$ 75,000 | \$ 75,000 | \$ 227,250 | \$ 384,068 | \$ 395,590 | \$ 557,457 |
| Substitute Teachers | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Teaching Assistants | \$ 42,000 | \$ 84,000 | \$ 254,520 | \$ 262,156 | \$ 354,020 | \$ 364,641 |
| Specialty Teachers | \$ 75,000 | \$ 450,000 | \$ 538,500 | \$ 929,655 | \$ 1,032,545 | \$ 1,138,521 |
| Aides | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Therapists & Counselors | \$ 70,000 | \$ 70,000 | \$ 72,100 | \$ 144,263 | \$ 148,591 | \$ 223,049 |
| Other | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| TOTAL INSTRUCTIONAL | | \$ 1,279,000 | \$ 2,010,370 | \$ 2,965,681 | \$ 3,513,652 | \$ 4,214,061 |

| |
|--|
| Y1: 8 MS teachers; Y2: 12 MS teachers; Y3: 12 MS teachers & 4 HS teachers; Y4: 12 MS teachers & 8 HS teachers; Y5: 12 MS teachers and 12 HS teachers |
| Junior Illumintors |
| Music, Art, PE, ELL, Interventionist, LOTE |
| Y1: Social Worker; Y3: Social Worker; Y5: College Counselor |

| NON-INSTRUCTIONAL PERSONNEL WAGES | | | | | | |
|-----------------------------------|-----------|-----------|-----------|-----------|-----------|-----------|
| Nurse | \$ 60,000 | \$ 60,000 | \$ 61,800 | \$ 63,654 | \$ 65,564 | \$ 67,531 |
| Librarian | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Custodian | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Security | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Other | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| TOTAL NON-INSTRUCTIONAL | | \$ 60,000 | \$ 61,800 | \$ 63,654 | \$ 65,564 | \$ 67,531 |

| | | | | | | |
|--------------------------------------|--|--------------|--------------|--------------|--------------|--------------|
| TOTAL PERSONNEL SERVICE WAGES | | \$ 1,794,000 | \$ 2,540,820 | \$ 3,657,045 | \$ 4,395,756 | \$ 5,122,629 |
|--------------------------------------|--|--------------|--------------|--------------|--------------|--------------|

| |
|--|
| |
| |
| |
| |

CAPITAL PREPARATORY BRONX CHARTER SCHOOL
PROJECTED BUDGET / OPERATING PLAN FOR PRE-OPENING PERIOD
January 1, 2019 - June 30, 2019

**NOTE: Please enter financial data on either tab "5.) Pre-OP Cash Flow 6-Month" OR "6) Pre-OP Cash Flow 1-Year."
The pre-opening budget will be for either a 6-Month Period OR a 1-Year Period as selected on tab #1, School Information.*

| | | DESCRIPTION OF ASSUMPTIONS |
|--|----------------|----------------------------|
| Total Revenue | 350,000 | |
| Total Expenses | 335,385 | |
| Net Income | 14,615 | |
| | | START-UP PERIOD |
| REVENUE | | |
| REVENUES FROM STATE SOURCES | | |
| Grants | | |
| Stimulus | - | |
| DYCD (Department of Youth and Community Developmt.) | - | |
| Other | - | |
| Other | - | |
| TOTAL REVENUE FROM STATE SOURCES | - | |
| REVENUE FROM FEDERAL FUNDING | | |
| Grants | | |
| Charter School Program (CSP) Planning & Implementation | 350,000 | of \$550,000 grant |
| Other | - | |
| Other | - | |
| TOTAL REVENUE FROM FEDERAL SOURCES | 350,000 | |
| LOCAL and OTHER REVENUE | | |
| Contributions and Donations | - | |
| Fundraising | - | |
| Erate Reimbursement | - | |
| Earnings on Investments | - | |
| Interest Income | - | |
| Food Service (Income from meals) | - | |
| Text Book | - | |
| OTHER | - | |
| TOTAL REVENUE FROM LOCAL and OTHER SOURCES | - | |
| TOTAL REVENUE | 350,000 | |

CAPITAL PREPARATORY BRONX CHARTER SCHOOL
PROJECTED BUDGET / OPERATING PLAN FOR PRE-OPENING PERIOD
January 1, 2019 - June 30, 2019

**NOTE: Please enter financial data on either tab "5.) Pre-OP Cash Flow 6-Month" OR "6) Pre-OP Cash Flow 1-Year."
The pre-opening budget will be for either a 6-Month Period OR a 1-Year Period as selected on tab #1, School Information.*

DESCRIPTION OF ASSUMPTIONS

| | | |
|-----------------------|------------------------|--|
| Total Revenue | 350,000 | |
| Total Expenses | 335,385 | |
| Net Income | 14,615 | |
| | START-UP PERIOD | |

EXPENSES

| | FTE No. of Positions | | |
|---|-------------------------|----------------|-------------------------------------|
| ADMINISTRATIVE STAFF PERSONNEL COSTS | | | |
| Executive Management | - | 65,000 | Principal for 6 months |
| Instructional Management | - | - | |
| Deans, Directors & Coordinators | - | 25,000 | Academic Dean for 3 months |
| CFO / Director of Finance | - | - | |
| Operation / Business Manager | - | 33,333 | Director of Operations for 4 months |
| Administrative Staff | - | - | |
| TOTAL ADMINISTRATIVE STAFF | - | 123,333 | |
| INSTRUCTIONAL PERSONNEL COSTS | | | |
| Teachers - Regular | - | - | |
| Teachers - SPED | - | - | |
| Substitute Teachers | - | - | |
| Teaching Assistants | - | - | |
| Specialty Teachers | - | - | |
| Aides | - | - | |
| Therapists & Counselors | - | - | |
| Other | - | - | |
| TOTAL INSTRUCTIONAL | - | - | |
| NON-INSTRUCTIONAL PERSONNEL COSTS | | | |
| Nurse | - | - | |
| Librarian | - | - | |
| Custodian | - | - | |
| Security | - | - | |
| Other | - | - | |
| TOTAL NON-INSTRUCTIONAL | - | - | |
| SUBTOTAL PERSONNEL SERVICE COSTS | - | 123,333 | |
| PAYROLL TAXES AND BENEFITS | | | |
| Payroll Taxes | | 9,435 | |
| Fringe / Employee Benefits | | 17,267 | |
| Retirement / Pension | | - | |
| TOTAL PAYROLL TAXES AND BENEFITS | | 26,702 | |
| TOTAL PERSONNEL SERVICE COSTS | - | 150,035 | |
| CONTRACTED SERVICES | | | |
| Accounting / Audit | | - | |
| Legal | | - | |
| Management Company Fee | | - | |
| Nurse Services | | - | |
| Food Service / School Lunch | | - | |
| Payroll Services | | - | |
| Special Ed Services | | - | |
| Titlement Services (i.e. Title I) | | - | |
| Other Purchased / Professional / Consulting | | 15,000 | consultant services for start-up |
| TOTAL CONTRACTED SERVICES | | 15,000 | |

CAPITAL PREPARATORY BRONX CHARTER SCHOOL
PROJECTED BUDGET / OPERATING PLAN FOR PRE-OPENING PERIOD
January 1, 2019 - June 30, 2019

**NOTE: Please enter financial data on either tab "5.) Pre-OP Cash Flow 6-Month" OR "6) Pre-OP Cash Flow 1-Year."
The pre-opening budget will be for either a 6-Month Period OR a 1-Year Period as selected on tab #1, School Information.*

| | | DESCRIPTION OF ASSUMPTIONS |
|--|----------------|---|
| Total Revenue | 350,000 | |
| Total Expenses | 335,385 | |
| Net Income | 14,615 | |
| | | START-UP PERIOD |
| SCHOOL OPERATIONS | | |
| Board Expenses | - | |
| Classroom / Teaching Supplies & Materials | - | |
| Special Ed Supplies & Materials | - | |
| Textbooks / Workbooks | - | |
| Supplies & Materials other | - | |
| Equipment / Furniture | 150,000 | Classroom furniture, office furniture, etc. |
| Telephone | 1,000 | |
| Technology | 3,600 | 3 computes |
| Student Testing & Assessment | - | |
| Field Trips | - | |
| Transportation (student) | - | |
| Student Services - other | - | |
| Office Expense | 750 | |
| Staff Development | - | |
| Staff Recruitment | - | |
| Student Recruitment / Marketing | 12,000 | printing and marketing |
| School Meals / Lunch | - | |
| Travel (Staff) | - | |
| Fundraising | - | |
| Other | - | |
| TOTAL SCHOOL OPERATIONS | 167,350 | |
| FACILITY OPERATION & MAINTENANCE | | |
| Insurance | 3,000 | D & O Insurance |
| Janitorial | - | |
| Building and Land Rent / Lease / Facility Finance Interest | - | |
| Repairs & Maintenance | - | |
| Equipment / Furniture | - | |
| Security | - | |
| Utilities | - | |
| TOTAL FACILITY OPERATION & MAINTENANCE | 3,000 | |
| DEPRECIATION & AMORTIZATION | | |
| | - | |
| DISSOLUTION ESCROW & RESERVES / CONTINGENCY | | |
| | - | |
| TOTAL EXPENSES | 335,385 | |
| NET INCOME | 14,615 | |

| PRE-OPENING CASH FLOW 6-MONTH | CAPITAL PREPARATORY BRONX CHARTER SCHOOL | | | | | | |
|--|---|----------|----------|----------------|-----------|-----------|----------------|
| *NOTE: <i>Please enter "Description of Assumptions" on tab "4) Pre-Opening Period Budget."</i> | PROJECTED CASH FLOW FOR SCHOOLS PROPOSING TO OPEN IN THE YEAR FOLLOWING PROPOSAL SUBMISSION | | | | | | |
| | January 1, 2019 - June 30, 2019 | | | | | | |
| Total Revenue | 70,000 | - | - | 280,000 | - | - | 350,000 |
| Total Expenses | 20,670 | 19,470 | 29,608 | 40,945 | 112,945 | 111,745 | 335,385 |
| Net Income | 49,330 | (19,470) | (29,608) | 239,055 | (112,945) | (111,745) | 14,615 |
| Cash Flow Adjustments | - | - | - | - | - | - | - |
| Beginning Cash Balance | - | 49,330 | 29,859 | 251 | 239,306 | 126,360 | - |
| Net Income | 49,330 | 29,859 | 251 | 239,306 | 126,360 | 14,615 | 14,615 |
| | JAN | FEB | MAR | APR | MAY | JUN | TOTAL |
| REVENUE | | | | | | | |
| REVENUES FROM STATE SOURCES | | | | | | | |
| Grants | | | | | | | |
| Stimulus | - | - | - | - | - | - | - |
| DYCD (Department of Youth and Community Development) | - | - | - | - | - | - | - |
| Other | - | - | - | - | - | - | - |
| Other | - | - | - | - | - | - | - |
| TOTAL REVENUE FROM STATE SOURCES | - | - | - | - | - | - | - |
| REVENUE FROM FEDERAL FUNDING | | | | | | | |
| Grants | | | | | | | |
| Charter School Program (CSP) Planning & Implementation | 70,000 | - | - | 280,000 | - | - | 350,000 |
| Other | - | - | - | - | - | - | - |
| Other | - | - | - | - | - | - | - |
| TOTAL REVENUE FROM FEDERAL SOURCES | 70,000 | - | - | 280,000 | - | - | 350,000 |
| LOCAL and OTHER REVENUE | | | | | | | |
| Contributions and Donations | - | - | - | - | - | - | - |
| Fundraising | - | - | - | - | - | - | - |
| Erate Reimbursement | - | - | - | - | - | - | - |
| Earnings on Investments | - | - | - | - | - | - | - |
| Interest Income | - | - | - | - | - | - | - |
| Food Service (Income from meals) | - | - | - | - | - | - | - |
| Text Book | - | - | - | - | - | - | - |
| OTHER | - | - | - | - | - | - | - |
| TOTAL REVENUE FROM LOCAL and OTHER SOURCES | - | - | - | - | - | - | - |
| TOTAL REVENUE | 70,000 | - | - | 280,000 | - | - | 350,000 |

| PRE-OPENING CASH FLOW 6-MONTH | CAPITAL PREPARATORY BRONX CHARTER SCHOOL | | | | | | |
|--|---|----------|----------|---------|-----------|-----------|---------|
| *NOTE: <i>Please enter "Description of Assumptions" on tab "4) Pre-Opening Period Budget."</i> | PROJECTED CASH FLOW FOR SCHOOLS PROPOSING TO OPEN IN THE YEAR FOLLOWING PROPOSAL SUBMISSION | | | | | | |
| | January 1, 2019 - June 30, 2019 | | | | | | |
| Total Revenue | 70,000 | - | - | 280,000 | - | - | 350,000 |
| Total Expenses | 20,670 | 19,470 | 29,608 | 40,945 | 112,945 | 111,745 | 335,385 |
| Net Income | 49,330 | (19,470) | (29,608) | 239,055 | (112,945) | (111,745) | 14,615 |
| Cash Flow Adjustments | - | - | - | - | - | - | - |
| Beginning Cash Balance | - | 49,330 | 29,859 | 251 | 239,306 | 126,360 | - |
| Net Income | 49,330 | 29,859 | 251 | 239,306 | 126,360 | 14,615 | 14,615 |
| | JAN | FEB | MAR | APR | MAY | JUN | TOTAL |
| SCHOOL OPERATIONS | | | | | | | |
| Board Expenses | - | - | - | - | - | - | - |
| Classroom / Teaching Supplies & Materials | - | - | - | - | - | - | - |
| Special Ed Supplies & Materials | - | - | - | - | - | - | - |
| Textbooks / Workbooks | - | - | - | - | - | - | - |
| Supplies & Materials other | - | - | - | - | - | - | - |
| Equipment / Furniture | - | - | - | - | 75,000 | 75,000 | 150,000 |
| Telephone | 167 | 167 | 167 | 167 | 167 | 167 | 1,000 |
| Technology | 1,200 | - | - | 1,200 | 1,200 | - | 3,600 |
| Student Testing & Assessment | - | - | - | - | - | - | - |
| Field Trips | - | - | - | - | - | - | - |
| Transportation (student) | - | - | - | - | - | - | - |
| Student Services - other | - | - | - | - | - | - | - |
| Office Expense | 125 | 125 | 125 | 125 | 125 | 125 | 750 |
| Staff Development | - | - | - | - | - | - | - |
| Staff Recruitment | - | - | - | - | - | - | - |
| Student Recruitment / Marketing | 3000 | 3000 | 3000 | 3000 | - | - | 12,000 |
| School Meals / Lunch | - | - | - | - | - | - | - |
| Travel (Staff) | - | - | - | - | - | - | - |
| Fundraising | - | - | - | - | - | - | - |
| Other | - | - | - | - | - | - | - |
| TOTAL SCHOOL OPERATIONS | 4,492 | 3,292 | 3,292 | 4,492 | 76,492 | 75,292 | 167,350 |
| FACILITY OPERATION & MAINTENANCE | | | | | | | |
| Insurance | 500 | 500 | 500 | 500 | 500 | 500 | 3,000 |
| Janitorial | - | - | - | - | - | - | - |
| Building and Land Rent / Lease / Facility Finance Interest | - | - | - | - | - | - | - |
| Repairs & Maintenance | - | - | - | - | - | - | - |
| Equipment / Furniture | - | - | - | - | - | - | - |
| Security | - | - | - | - | - | - | - |
| Utilities | - | - | - | - | - | - | - |
| TOTAL FACILITY OPERATION & MAINTENANCE | 500 | 500 | 500 | 500 | 500 | 500 | 3,000 |
| DEPRECIATION & AMORTIZATION | - | - | - | - | - | - | - |
| DISSOLUTION ESCROW & RESERVES / CONTIGENCY | - | - | - | - | - | - | - |
| TOTAL EXPENSES | 20,670 | 19,470 | 29,608 | 40,945 | 112,945 | 111,745 | 335,385 |
| NET INCOME | 49,330 | (19,470) | (29,608) | 239,055 | (112,945) | (111,745) | 14,615 |

| PRE-OPENING CASH FLOW 6-MONTH | CAPITAL PREPARATORY BRONX CHARTER SCHOOL | | | | | | |
|--|---|----------|----------|---------|-----------|-----------|---------|
| *NOTE: <i>Please enter "Description of Assumptions" on tab "4) Pre-Opening Period Budget."</i> | PROJECTED CASH FLOW FOR SCHOOLS PROPOSING TO OPEN IN THE YEAR FOLLOWING PROPOSAL SUBMISSION | | | | | | |
| | January 1, 2019 - June 30, 2019 | | | | | | |
| Total Revenue | 70,000 | - | - | 280,000 | - | - | 350,000 |
| Total Expenses | 20,670 | 19,470 | 29,608 | 40,945 | 112,945 | 111,745 | 335,385 |
| Net Income | 49,330 | (19,470) | (29,608) | 239,055 | (112,945) | (111,745) | 14,615 |
| Cash Flow Adjustments | - | - | - | - | - | - | - |
| Beginning Cash Balance | - | 49,330 | 29,859 | 251 | 239,306 | 126,360 | - |
| Net Income | 49,330 | 29,859 | 251 | 239,306 | 126,360 | 14,615 | 14,615 |
| | JAN | FEB | MAR | APR | MAY | JUN | TOTAL |
| CASH FLOW ADJUSTMENTS | | | | | | | |
| OPERATING ACTIVITIES | | | | | | | |
| Description (e.g. Add Back Depreciation) | - | - | - | - | - | - | - |
| Other | - | - | - | - | - | - | - |
| Total Operating Activities | - | - | - | - | - | - | - |
| INVESTMENT ACTIVITIES | | | | | | | |
| Description (e.g. Subtract Property and Equipment Expenditures) | - | - | - | - | - | - | - |
| Other | - | - | - | - | - | - | - |
| Total Investment Activities | - | - | - | - | - | - | - |
| FINANCING ACTIVITIES | | | | | | | |
| Description (e.g. Add Expected Proceeds from a Loan) | - | - | - | - | - | - | - |
| Other | - | - | - | - | - | - | - |
| Total Financing Activities | - | - | - | - | - | - | - |
| Total Cash Flow Adjustments | - | - | - | - | - | - | - |
| NET INCOME | 49,330 | (19,470) | (29,608) | 239,055 | (112,945) | (111,745) | 14,615 |
| Beginning Cash Balance | - | 49,330 | 29,859 | 251 | 239,306 | 126,360 | - |
| ENDING CASH BALANCE | 49,330 | 29,859 | 251 | 239,306 | 126,360 | 14,615 | 14,615 |

| YEAR 1 BUDGET AND ASSUMPTION | CAPITAL PREPARATORY BRONX CHARTER SCHOOL | | | | | | DESCRIPTION OF ASSUMPTIONS |
|--|--|-------------------|----------------|------------------|----------------------|------------------|---|
| | PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE | | | | | | |
| | JULY 1, 2019 - JUNE 30, 2020 | | | | | | *NOTE: State assumptions that are being made for the 1-Year Budget in the section provided below. |
| Total Revenue | 2,766,720 | 103,900 | - | - | 764,160 | 3,634,780 | |
| Total Expenses | 2,194,654 | 400,039 | - | 64 | 936,791 | 3,531,549 | |
| Net Income | 572,066 | (296,139) | - | (64) | (172,631) | 103,231 | |
| Budgeted Student Enrollment | 160 | - | | | | 160 | |
| | PROGRAM SERVICES | | | SUPPORT SERVICES | | | |
| | REGULAR EDUCATION | SPECIAL EDUCATION | OTHER | FUNDRAISING | MANAGEMENT & GENERAL | TOTAL | |
| REVENUE | | | | | | | |
| REVENUES FROM STATE SOURCES | | | | | | | |
| Per Pupil Revenue | Basic Tuition (2018-19) | | | | | | |
| PRIMARY School District: NYC CHANCELLOR'S OFFICE | 15,307 | 2,449,120 | | | | 2,449,120 | |
| Other District 1: | - | - | | | | - | |
| Other District 2: | - | - | | | | - | |
| Other District 3: | - | - | | | | - | |
| Other District 4: | - | - | | | | - | |
| Other District 5: | - | - | | | | - | |
| Other District 6: | - | - | | | | - | |
| Other District 7: | - | - | | | | - | |
| Other District 8: | - | - | | | | - | |
| Other District 9: | - | - | | | | - | |
| Other District 10: | - | - | | | | - | |
| Other District 11: | - | - | | | | - | |
| Other District 12: | - | - | | | | - | |
| Other District 13: | - | - | | | | - | |
| Other District 14: | - | - | | | | - | |
| Other School Districts' Revenue: (Weighted Avg.) | - | - | | | | - | |
| TOTAL Per Pupil Revenue (Weighted Avg.) | 15,307 | 2,449,120 | | | | 2,449,120 | |
| Special Education Revenue | | | 103,900 | | | 103,900 | Assumes 25% of SWD @ \$10390 per |
| Grants | | | | | | | |
| Stimulus | | | | | | | |
| DYCD (Department of Youth and Community Development) | | 215,040 | | | | 215,040 | \$135,040k + \$500 per middle school student |
| Other | | | | | | | |
| Other | | | | | 664,160 | 664,160 | Rental reimbursement (up to 30% of per pupil) |
| TOTAL REVENUE FROM STATE SOURCES | | 2,664,160 | 103,900 | | 664,160 | 3,432,220 | |
| REVENUE FROM FEDERAL FUNDING | | | | | | | |
| IDEA Special Needs | | | | | | | |
| Title I | | 72,000 | | | | 72,000 | \$500 per FRL students (90%) |
| Title Funding - Other | | 17,120 | | | | 17,120 | \$107 per eligible students |
| School Food Service (Free Lunch) | | | | | | | |
| Grants | | | | | | | |
| Charter School Program (CSP) Planning & Implementation | | | | | 100,000 | 100,000 | |
| Other | | | | | | | |
| Other | | | | | | | |
| TOTAL REVENUE FROM FEDERAL SOURCES | | 89,120 | | | 100,000 | 189,120 | |
| LOCAL and OTHER REVENUE | | | | | | | |
| Contributions and Donations | | | | | | | |
| Fundraising | | | | | | | |
| Erate Reimbursement | | | | | | | |
| Earnings on Investments | | | | | | | |
| Interest Income | | | | | | | |
| Food Service (Income from meals) | | | | | | | |
| Text Book | | 13,440 | | | | 13,440 | NYSTL: \$84 per student |
| OTHER | | | | | | | |
| TOTAL REVENUE FROM LOCAL and OTHER SOURCES | | 13,440 | | | | 13,440 | |
| TOTAL REVENUE | | 2,766,720 | 103,900 | | 764,160 | 3,634,780 | |

| YEAR 1 BUDGET AND ASSUMPTION | CAPITAL PREPARATORY BRONX CHARTER SCHOOL | | | | | | DESCRIPTION OF ASSUMPTIONS |
|---|--|----------------------|---------|------------------|-------------------------|-----------|--|
| | PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE | | | | | | |
| | JULY 1, 2019 - JUNE 30, 2020 | | | | | | |
| | | | | | | | <i>*NOTE: State assumptions that are being made for the 1-Year Budget in the section provided below.</i> |
| Total Revenue | 2,766,720 | 103,900 | - | - | 764,160 | 3,634,780 | |
| Total Expenses | 2,194,654 | 400,039 | - | 64 | 936,791 | 3,531,549 | |
| Net Income | 572,066 | (296,139) | - | (64) | (172,631) | 103,231 | |
| Budgeted Student Enrollment | 160 | - | | | | 160 | |
| | | | | | | | |
| | PROGRAM SERVICES | | | SUPPORT SERVICES | | | |
| | REGULAR EDUCATION | SPECIAL EDUCATION | OTHER | FUNDRAISING | MANAGEMENT & GENERAL | TOTAL | |
| EXPENSES | | | | | | | |
| ADMINISTRATIVE STAFF PERSONNEL COSTS | | | | | | | |
| | FTE No. of Positions | | | | | | |
| Executive Management | 1.00 | - | - | - | 125,000 | 125,000 | Principal |
| Instructional Management | 1.00 | 100,000 | - | - | - | 100,000 | Academic Dean |
| Deans, Directors & Coordinators | 1.00 | - | 85,000 | - | - | 85,000 | Special Education Coordinator |
| CFO / Director of Finance | - | - | - | - | - | - | |
| Operation / Business Manager | 1.00 | - | - | - | 100,000 | 100,000 | Director of Operations |
| Administrative Staff | 1.00 | - | - | - | 45,000 | 45,000 | Office Manager |
| TOTAL ADMINISTRATIVE STAFF | 5.00 | 100,000 | 85,000 | - | 270,000 | 455,000 | |
| INSTRUCTIONAL PERSONNEL COSTS | | | | | | | |
| Teachers - Regular | 8.00 | 600,000 | - | - | - | 600,000 | |
| Teachers - SPED | 1.00 | - | 75,000 | - | - | 75,000 | |
| Substitute Teachers | - | - | - | - | - | - | |
| Teaching Assistants | 2.00 | 84,000 | - | - | - | 84,000 | Junior Illuminators |
| Specialty Teachers | 6.00 | 450,000 | - | - | - | 450,000 | |
| Aides | - | - | - | - | - | - | |
| Therapists & Counselors | 1.00 | - | 70,000 | - | - | 70,000 | |
| Other | - | - | - | - | - | - | |
| TOTAL INSTRUCTIONAL | 18.00 | 1,134,000 | 145,000 | - | - | 1,279,000 | |
| NON-INSTRUCTIONAL PERSONNEL COSTS | | | | | | | |
| Nurse | 1.00 | - | - | - | 60,000 | 60,000 | |
| Librarian | - | - | - | - | - | - | |
| Custodian | - | - | - | - | - | - | |
| Security | - | - | - | - | - | - | |
| Other | - | - | - | - | - | - | |
| TOTAL NON-INSTRUCTIONAL | 1.00 | - | - | - | 60,000 | 60,000 | |
| SUBTOTAL PERSONNEL SERVICE COSTS | 24.00 | 1,234,000.00 | 230,000 | - | 330,000 | 1,794,000 | |
| PAYROLL TAXES AND BENEFITS | | | | | | | |
| Payroll Taxes | - | 123,400 | 23,000 | - | 33,000 | 179,400 | 10% of salary |
| Fringe / Employee Benefits | - | 172,760 | 32,200 | - | 46,200 | 251,160 | 14% of salary |
| Retirement / Pension | - | 27,765 | 5,175 | - | 7,425 | 40,365 | Anticipating 75% participation in retirement & 3% match |
| TOTAL PAYROLL TAXES AND BENEFITS | - | 323,925 | 60,375 | - | 86,625 | 470,925 | |
| TOTAL PERSONNEL SERVICE COSTS | 24.00 | 1,557,925 | 290,375 | - | 416,625 | 2,264,925 | |
| CONTRACTED SERVICES | | | | | | | |
| Accounting / Audit | - | - | - | - | 24,000 | 24,000 | Estimate based on cost comparisons |
| Legal | - | - | - | - | - | - | |
| Management Company Fee | - | - | - | - | 244,912 | 244,912 | Based on 10% of Gen Per Pupil Revenue |
| Nurse Services | - | - | - | - | - | - | |
| Food Service / School Lunch | - | - | - | - | - | - | |
| Payroll Services | - | - | - | - | 6,240 | 6,240 | \$260 per FTE |
| Special Ed Services | - | 8,000 | - | - | - | 8,000 | |
| Titlement Services (i.e. Title I) | - | - | - | - | 5,000 | 5,000 | |
| Other Purchased / Professional / Consulting | - | - | - | - | - | - | |
| TOTAL CONTRACTED SERVICES | - | 8,000 | - | - | 280,152 | 288,152 | |

| YEAR 1 BUDGET AND ASSUMPTION | CAPITAL PREPARATORY BRONX CHARTER SCHOOL | | | | | | DESCRIPTION OF ASSUMPTIONS |
|--|--|-------------------|----------|------------------|----------------------|----------------|---|
| | PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE | | | | | | |
| | JULY 1, 2019 - JUNE 30, 2020 | | | | | | *NOTE: State assumptions that are being made for the 1-Year Budget in the section provided below. |
| Total Revenue | 2,766,720 | 103,900 | - | - | 764,160 | 3,634,780 | |
| Total Expenses | 2,194,654 | 400,039 | - | 64 | 936,791 | 3,531,549 | |
| Net Income | 572,066 | (296,139) | - | (64) | (172,631) | 103,231 | |
| Budgeted Student Enrollment | 160 | - | | | | 160 | |
| | PROGRAM SERVICES | | | SUPPORT SERVICES | | TOTAL | |
| | REGULAR EDUCATION | SPECIAL EDUCATION | OTHER | FUNDRAISING | MANAGEMENT & GENERAL | | |
| SCHOOL OPERATIONS | | | | | | | |
| Board Expenses | - | - | - | - | 8,000 | 8,000 | meeting supplies and professional development |
| Classroom / Teaching Supplies & Materials | 19,140 | 2,860 | - | - | - | 22,000 | In addition to the curriculum developed by school/management company anticipated costs - \$100 per student for instructional supplies & \$500 per classroom for library books |
| Special Ed Supplies & Materials | - | 6,000 | - | - | - | 6,000 | In addition to the curriculum developed by school/management company anticipated costs - \$150 per student for instructional supplies |
| Textbooks / Workbooks | 13,920 | 2,080 | - | - | - | 16,000 | \$100 per student in Yr1&2, \$150 thereafter |
| Supplies & Materials other | - | - | - | - | - | - | CPS will cover first two years of curriculum |
| Equipment / Furniture | - | - | - | - | - | - | Included in cash flow section below |
| Telephone | - | - | - | - | 7,800 | 7,800 | \$650/month for general school/office phones and phones for staff |
| Technology | 21,854 | 3,266 | - | - | 6,280 | 31,400 | \$950 per month plus \$20,000 for initial technology set -up |
| Student Testing & Assessment | 27,840 | 4,160 | - | - | - | 32,000 | Based on Student - \$200 per student. Student testing & assessment, enrichment, etc. |
| Field Trips | 8,000 | - | - | - | - | 8,000 | Based on \$100 per student in Yr1 & Yr2 and estimated costs of college trips and other activities in years 3-5 |
| Transportation (student) | - | - | - | - | - | - | Students only eligible for busing K-6 and more than 1/2 mile from school (K-2), 1 mile from school (3-6) . Athletics program in years 3-5 |
| Student Services - other | 44,544 | 6,656 | - | - | - | 51,200 | Extracurricular Activities (2 sports per year-\$300 per student) and Parent Activities \$20/student |
| Office Expense | - | - | - | - | 15,000 | 15,000 | Office supplies, Postage (\$30/student). Plus one copier in year 1. Additional Copiers in year 3-5 |
| Staff Development | 8,434 | 2,404 | - | 43 | 1,119 | 12,000 | Based on FT staff - \$500 per staff member (includes conferences, workshops, professional texts, etc.). Management Company will also provide professional development |
| Staff Recruitment | - | - | - | - | - | - | |
| Student Recruitment / Marketing | - | - | - | - | - | - | Paid during Planning Year: Includes ads, community outreach, newspapers, mailings, meetings. Management Company will also provide recruitment services |
| School Meals / Lunch | - | - | - | - | - | - | |
| Travel (Staff) | 4,217 | 1,202 | - | 21 | 560 | 6,000 | Based on \$250 per staff person |
| Fundraising | - | - | - | - | - | - | |
| Other | - | - | - | - | - | - | |
| TOTAL SCHOOL OPERATIONS | 147,949 | 28,628 | - | 64 | 38,759 | 215,400 | |
| FACILITY OPERATION & MAINTENANCE | | | | | | | |
| Insurance | - | - | - | - | 43,245 | 43,245 | Estimate based Alliant proposal |
| Janitorial | - | - | - | - | 49,920 | 49,920 | \$26 per child per month includes services and supplies. |
| Building and Land Rent / Lease / Facility Finance Interest | 400,896 | 59,904 | - | - | 51,200 | 512,000 | 100 sq ft per student, \$32 per square foot |
| Repairs & Maintenance | 7,830 | 1,170 | - | - | 1,000 | 10,000 | \$10k in Yr1 & Yr2 then incremental cost increases thereafter |
| Equipment / Furniture | - | - | - | - | - | - | |
| Security | 46,980 | 7,020 | - | - | 6,000 | 60,000 | Contracted security guards and fire guards |
| Utilities | 33,074 | 4,942 | - | - | 4,224 | 42,240 | \$22 per child per month |

| YEAR 1 BUDGET AND ASSUMPTION | CAPITAL PREPARATORY BRONX CHARTER SCHOOL | | | | | | DESCRIPTION OF ASSUMPTIONS |
|---|--|-------------------|-------|------------------|----------------------|-----------|---|
| | PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE | | | | | | *NOTE: State assumptions that are being made for the 1-Year Budget in the section provided below. |
| | JULY 1, 2019 - JUNE 30, 2020 | | | | | | |
| Total Revenue | 2,766,720 | 103,900 | - | - | 764,160 | 3,634,780 | |
| Total Expenses | 2,194,654 | 400,039 | - | 64 | 936,791 | 3,531,549 | |
| Net Income | 572,066 | (296,139) | - | (64) | (172,631) | 103,231 | |
| Budgeted Student Enrollment | 160 | - | | | | 160 | |
| | PROGRAM SERVICES | | | SUPPORT SERVICES | | | |
| | REGULAR EDUCATION | SPECIAL EDUCATION | OTHER | FUNDRAISING | MANAGEMENT & GENERAL | TOTAL | |
| TOTAL FACILITY OPERATION & MAINTENANCE | 488,780 | 73,036 | - | - | 155,589 | 717,405 | |
| DEPRECIATION & AMORTIZATION | - | - | - | - | 20,667 | 20,667 | |
| DISSOLUTION ESCROW & RESERVES / CONTINGENCY | - | - | - | - | 25,000 | 25,000 | |
| TOTAL EXPENSES | 2,194,654 | 400,039 | - | 64 | 936,791 | 3,531,549 | |
| NET INCOME | 572,066 | (296,139) | - | (64) | (172,631) | 103,231 | |

| YEAR 1 BUDGET AND ASSUMPTION | CAPITAL PREPARATORY BRONX CHARTER SCHOOL | | | | | | DESCRIPTION OF ASSUMPTIONS |
|---|--|-------------------|-------------------|-------|------------------|----------------------|---|
| | PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE | | | | | | *NOTE: State assumptions that are being made for the 1-Year Budget in the section provided below. |
| | JULY 1, 2019 - JUNE 30, 2020 | | | | | | |
| Total Revenue | 2,766,720 | 103,900 | - | - | 764,160 | 3,634,780 | |
| Total Expenses | 2,194,654 | 400,039 | - | 64 | 936,791 | 3,531,549 | |
| Net Income | 572,066 | (296,139) | - | (64) | (172,631) | 103,231 | |
| Budgeted Student Enrollment | 160 | - | | | | 160 | |
| | | PROGRAM SERVICES | | | SUPPORT SERVICES | | |
| | | REGULAR EDUCATION | SPECIAL EDUCATION | OTHER | FUNDRAISING | MANAGEMENT & GENERAL | TOTAL |
| ENROLLMENT - *School Districts Are Linked To Above Entries* | | | | | | | |
| PRIMARY School District: NYC CHANCELLOR'S OFFICE | | 160 | | | | | 160 |
| Other District 1: | | - | | | | | - |
| Other District 2: | | - | | | | | - |
| Other District 3: | | - | | | | | - |
| Other District 4: | | - | | | | | - |
| Other District 5: | | - | | | | | - |
| Other District 6: | | - | | | | | - |
| Other District 7: | | - | | | | | - |
| Other District 8: | | - | | | | | - |
| Other District 9: | | - | | | | | - |
| Other District 10: | | - | | | | | - |
| Other District 11: | | - | | | | | - |
| Other District 12: | | - | | | | | - |
| Other District 13: | | - | | | | | - |
| Other District 14: | | - | | | | | - |
| All Other School Districts | | - | | | | | - |
| TOTAL ENROLLMENT | | 160 | | | | | 160 |
| REVENUE PER PUPIL | | 17,292 | | | | | 22,717 |
| EXPENSES PER PUPIL | | 13,717 | | | | | 22,072 |

| YEAR 1 CASH FLOW (FIRST YEAR OF CHARTER) | CAPITAL PREPARATORY BRONX CHARTER SCHOOL PROJECTED CASH FLOW FOR YEAR ONE OF OPERATIONS JULY 1, 2019 - JUNE 30, 2020 | | | | | | | | | | | | | |
|--|--|-----------|-----------|-----------|-----------|-----------|-----------|----------|-----------|-----------|-----------|-----------|-----------|-----------|
| | JUL | AUG | SEP | OCT | NOV | DEC | JAN | FEB | MAR | APR | MAY | JUN | TOTAL | |
| Total Revenue | 636,197 | - | 536,197 | - | 536,197 | - | 536,197 | 304,160 | 536,197 | 13,440 | 536,197 | - | 3,634,780 | |
| Total Expenses | 131,912 | 337,525 | 279,502 | 320,320 | 279,502 | 320,320 | 317,502 | 320,320 | 279,502 | 320,320 | 279,502 | 345,320 | 3,531,549 | |
| Net Income | 504,284 | (337,525) | 256,695 | (320,320) | 256,695 | (320,320) | 218,695 | (16,160) | 256,695 | (306,880) | 256,695 | (345,320) | 103,231 | |
| Cash Flow Adjustments | (60,278) | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | (41,333) | |
| Beginning Cash Balance | 14,615 | 458,621 | 122,818 | 381,235 | 62,637 | 321,054 | 2,456 | 222,873 | 208,435 | 466,852 | 161,694 | 420,111 | 14,615 | |
| Ending Cash Balance | 458,621 | 122,818 | 381,235 | 62,637 | 321,054 | 2,456 | 222,873 | 208,435 | 466,852 | 161,694 | 420,111 | 76,513 | 76,513 | |
| | JUL | AUG | SEP | OCT | NOV | DEC | JAN | FEB | MAR | APR | MAY | JUN | TOTAL | |
| REVENUE | * Totals (Column U) for all lines above Cash Flow Adjustments should equal the Totals (Column N) on tab "7) Year 1 Budget & Assumptions." | | | | | | | | | | | | | |
| REVENUES FROM STATE SOURCES | | | | | | | | | | | | | | |
| Per Pupil Revenue | Basic Tuition (2018-19) | | | | | | | | | | | | | |
| PRIMARY School District: NYC CHANCELLOR'S OFFICE | 15,307 | ##### | - | ##### | - | ##### | - | ##### | - | ##### | - | ##### | - | 2,449,120 |
| Other District 1: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 2: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 3: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 4: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 5: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 6: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 7: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 8: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 9: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 10: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 11: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 12: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 13: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other District 14: | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other School Districts' Revenue: (Weighted Avg.) | 15,307 | - | - | - | - | - | - | - | - | - | - | - | - | - |
| TOTAL Per Pupil Revenue (Weighted Avg.) | 15,307 | 408,187 | - | 408,187 | - | 408,187 | - | 408,187 | - | 408,187 | - | 408,187 | - | 2,449,120 |
| Special Education Revenue | 17,316.67 | - | 17,316.67 | - | 17,316.67 | - | 17,316.67 | - | 17,316.67 | - | 17,316.67 | - | 103,900 | |
| Grants | | | | | | | | | | | | | | |
| Stimulus | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| DYCD (Department of Youth and Community Developmt.) | - | - | - | - | - | - | - | 215,040 | - | - | - | - | 215,040 | |
| Other | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| Other | 110,693 | - | 110,693 | - | 110,693 | - | 110,693 | - | 110,693 | - | 110,693 | - | 664,160 | |
| TOTAL REVENUE FROM STATE SOURCES | 536,197 | - | 536,197 | - | 536,197 | - | 536,197 | 215,040 | 536,197 | - | 536,197 | - | 3,432,220 | |
| REVENUE FROM FEDERAL FUNDING | | | | | | | | | | | | | | |
| IDEA Special Needs | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| Title I | - | - | - | - | - | - | - | 72,000 | - | - | - | - | 72,000 | |
| Title Funding - Other | - | - | - | - | - | - | - | 17,120 | - | - | - | - | 17,120 | |
| School Food Service (Free Lunch) | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| Grants | | | | | | | | | | | | | | |
| Charter School Program (CSP) Planning & Implementation | 100,000 | - | - | - | - | - | - | - | - | - | - | - | 100,000 | |
| Other | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| Other | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| TOTAL REVENUE FROM FEDERAL SOURCES | 100,000 | - | - | - | - | - | - | 89,120 | - | - | - | - | 189,120 | |
| LOCAL and OTHER REVENUE | | | | | | | | | | | | | | |
| Contributions and Donations | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| Fundraising | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| Erate Reimbursement | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| Earnings on Investments | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| Interest Income | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| Food Service (Income from meals) | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| Text Book | - | - | - | - | - | - | - | - | - | 13,440 | - | - | 13,440 | |
| OTHER | - | - | - | - | - | - | - | - | - | - | - | - | - | |
| TOTAL REVENUE FROM LOCAL and OTHER SOURCES | - | - | - | - | - | - | - | - | - | 13,440 | - | - | 13,440 | |
| TOTAL REVENUE | 636,197 | - | 536,197 | - | 536,197 | - | 536,197 | 304,160 | 536,197 | 13,440 | 536,197 | - | 3,634,780 | |

| YEAR 1 CASH FLOW (FIRST YEAR OF CHARTER) | CAPITAL PREPARATORY BRONX CHARTER SCHOOL PROJECTED CASH FLOW FOR YEAR ONE OF OPERATIONS JULY 1, 2019 - JUNE 30, 2020 | | | | | | | | | | | | |
|---|--|-----------|---------|-----------|---------|-----------|---------|----------|---------|-----------|---------|-----------|-----------|
| | 636,197 | - | 536,197 | - | 536,197 | - | 536,197 | 304,160 | 536,197 | 13,440 | 536,197 | - | 3,634,780 |
| Total Revenue | 131,912 | 337,525 | 279,502 | 320,320 | 279,502 | 320,320 | 317,502 | 320,320 | 279,502 | 320,320 | 279,502 | 345,320 | 3,531,549 |
| Total Expenses | 504,284 | (337,525) | 256,695 | (320,320) | 256,695 | (320,320) | 218,695 | (16,160) | 256,695 | (306,880) | 256,695 | (345,320) | 103,231 |
| Net Income | (60,278) | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | (41,333) |
| Cash Flow Adjustments | 14,615 | 458,621 | 122,818 | 381,235 | 62,637 | 321,054 | 2,456 | 222,873 | 208,435 | 466,852 | 161,694 | 420,111 | 14,615 |
| Beginning Cash Balance | 458,621 | 122,818 | 381,235 | 62,637 | 321,054 | 2,456 | 222,873 | 208,435 | 466,852 | 161,694 | 420,111 | 76,513 | 76,513 |
| Ending Cash Balance | | | | | | | | | | | | | |
| | JUL | AUG | SEP | OCT | NOV | DEC | JAN | FEB | MAR | APR | MAY | JUN | TOTAL |
| SCHOOL OPERATIONS | | | | | | | | | | | | | |
| Board Expenses | 667 | 667 | 667 | 667 | 667 | 667 | 667 | 667 | 667 | 667 | 667 | 667 | 8,000 |
| Classroom / Teaching Supplies & Materials | - | 11,000 | - | - | - | - | 11,000 | - | - | - | - | - | 22,000 |
| Special Ed Supplies & Materials | - | 3,000 | - | - | - | - | 3,000 | - | - | - | - | - | 6,000 |
| Textbooks / Workbooks | - | 8,000 | - | - | - | - | 8,000 | - | - | - | - | - | 16,000 |
| Supplies & Materials other | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Equipment / Furniture | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Telephone | 650 | 650 | 650 | 650 | 650 | 650 | 650 | 650 | 650 | 650 | 650 | 650 | 7,800 |
| Technology | 20,950 | 950 | 950 | 950 | 950 | 950 | 950 | 950 | 950 | 950 | 950 | 950 | 31,400 |
| Student Testing & Assessment | - | 16,000 | - | - | - | - | 16,000 | - | - | - | - | - | 32,000 |
| Field Trips | - | - | 800 | 800 | 800 | 800 | 800 | 800 | 800 | 800 | 800 | 800 | 8,000 |
| Transportation (student) | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Student Services - other | - | - | 5,120 | 5,120 | 5,120 | 5,120 | 5,120 | 5,120 | 5,120 | 5,120 | 5,120 | 5,120 | 51,200 |
| Office Expense | 1,250 | 1,250 | 1,250 | 1,250 | 1,250 | 1,250 | 1,250 | 1,250 | 1,250 | 1,250 | 1,250 | 1,250 | 15,000 |
| Staff Development | 1,000 | 1,000 | 1,000 | 1,000 | 1,000 | 1,000 | 1,000 | 1,000 | 1,000 | 1,000 | 1,000 | 1,000 | 12,000 |
| Staff Recruitment | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Student Recruitment / Marketing | - | - | - | - | - | - | - | - | - | - | - | - | - |
| School Meals / Lunch | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Travel (Staff) | 500 | 500 | 500 | 500 | 500 | 500 | 500 | 500 | 500 | 500 | 500 | 500 | 6,000 |
| Fundraising | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other | - | - | - | - | - | - | - | - | - | - | - | - | - |
| TOTAL SCHOOL OPERATIONS | 25,017 | 43,017 | 10,937 | 10,937 | 10,937 | 10,937 | 48,937 | 10,937 | 10,937 | 10,937 | 10,937 | 10,937 | 215,400 |
| FACILITY OPERATION & MAINTENANCE | | | | | | | | | | | | | |
| Insurance | 3,604 | 3,604 | 3,604 | 3,604 | 3,604 | 3,604 | 3,604 | 3,604 | 3,604 | 3,604 | 3,604 | 3,604 | 43,245 |
| Janitorial | 4,160 | 4,160 | 4,160 | 4,160 | 4,160 | 4,160 | 4,160 | 4,160 | 4,160 | 4,160 | 4,160 | 4,160 | 49,920 |
| Building and Land Rent / Lease / Facility Finance Interest | 42,667 | 42,667 | 42,667 | 42,667 | 42,667 | 42,667 | 42,667 | 42,667 | 42,667 | 42,667 | 42,667 | 42,667 | 512,000 |
| Repairs & Maintenance | 833 | 833 | 833 | 833 | 833 | 833 | 833 | 833 | 833 | 833 | 833 | 833 | 10,000 |
| Equipment / Furniture | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Security | - | - | 6,000 | 6,000 | 6,000 | 6,000 | 6,000 | 6,000 | 6,000 | 6,000 | 6,000 | 6,000 | 60,000 |
| Utilities | 3,520 | 3,520 | 3,520 | 3,520 | 3,520 | 3,520 | 3,520 | 3,520 | 3,520 | 3,520 | 3,520 | 3,520 | 42,240 |
| TOTAL FACILITY OPERATION & MAINTENANCE | 54,784 | 54,784 | 60,784 | 60,784 | 60,784 | 60,784 | 60,784 | 60,784 | 60,784 | 60,784 | 60,784 | 60,784 | 717,405 |
| DEPRECIATION & AMORTIZATION | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 20,667 |
| DISSOLUTION ESCROW & RESERVES / CONTINGENCY | - | - | - | - | - | - | - | - | - | - | - | - | 25,000 |
| TOTAL EXPENSES | 131,912 | 337,525 | 279,502 | 320,320 | 279,502 | 320,320 | 317,502 | 320,320 | 279,502 | 320,320 | 279,502 | 345,320 | 3,531,549 |
| NET INCOME | 504,284 | (337,525) | 256,695 | (320,320) | 256,695 | (320,320) | 218,695 | (16,160) | 256,695 | (306,880) | 256,695 | (345,320) | 103,231 |
| CASH FLOW ADJUSTMENTS | | | | | | | | | | | | | |
| OPERATING ACTIVITIES | | | | | | | | | | | | | |
| Example - Add Back Depreciation | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 20,667 |
| Other | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Operating Activities | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 20,667 |
| INVESTMENT ACTIVITIES | | | | | | | | | | | | | |
| Example - Subtract Property and Equipment Expenditures | (62,000) | - | - | - | - | - | - | - | - | - | - | - | (62,000) |
| Other | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total Investment Activities | (62,000) | - | - | - | - | - | - | - | - | - | - | - | (62,000) |
| FINANCING ACTIVITIES | | | | | | | | | | | | | |
| Example - Add Expected Proceeds from a Loan or Line of Credit | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Other | - | - | - | - | - | - | - | - | - | - | - | - | 0 |
| Total Financing Activities | - | - | - | - | - | - | - | - | - | - | - | - | 0 |
| Total Cash Flow Adjustments | (60,278) | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | 1,722 | (41,333) |
| NET INCOME | 444,006 | (335,803) | 258,417 | (318,598) | 258,417 | (318,598) | 220,417 | (14,438) | 258,417 | (305,158) | 258,417 | (343,598) | 61,898 |
| Beginning Cash Balance | 14,615 | 458,621 | 122,818 | 381,235 | 62,637 | 321,054 | 2,456 | 222,873 | 208,435 | 466,852 | 161,694 | 420,111 | 14,615 |
| ENDING CASH BALANCE | 458,621 | 122,818 | 381,235 | 62,637 | 321,054 | 2,456 | 222,873 | 208,435 | 466,852 | 161,694 | 420,111 | 76,513 | 76,513 |

| 5 YEAR BUDGET AND CASH FLOW ADJUSTMENTS | | CAPITAL PREPARATORY BRONX CHARTER SCHOOL | | | | | DESCRIPTION OF ASSUMPTIONS | |
|---|--|---|-------------------|-------------------|-------------------|-------------------|--|---|
| *NOTE: Projected Five Year Budget on this tab should be for the first five years of actual operations. | | PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD 2019-20 THROUGH 2023-24 | | | | | *NOTE: State assumptions that are being made in the section provided below. | |
| Total Revenue | | 3,634,780 | 5,055,610 | 8,249,350 | 10,349,188 | 12,411,473 | | |
| Total Expenses | | 3,531,549 | 5,010,696 | 7,804,275 | 9,519,145 | 11,214,679 | | |
| Net Income (Before Cash Flow Adjustments) | | 103,231 | 44,914 | 445,075 | 830,042 | 1,196,794 | | |
| Budgeted Student Enrollment | | 160 | 240 | 400 | 500 | 600 | | |
| | | Year 1 2019-20 | Year 2 2020-21 | Year 3 2021-22 | Year 4 2022-23 | Year 5 2023-24 | | |
| | | Per Pupil Revenue Percentage Increase | | | | | | |
| | | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | | |
| REVENUE | | | | | | | | |
| REVENUES FROM STATE SOURCES | | | | | | | | |
| Per Pupil Revenue | | Basic Tuition (2018-19) | | | | | | |
| PRIMARY School District: NYC CHANCELLOR'S OFFICE | | 15,307 | 2,449,120 | 3,673,680 | 6,122,800 | 7,653,500 | 9,184,200 | assumes per pupil remains constant over 5 years |
| Other District 1: | | - | - | - | - | - | - | |
| Other District 2: | | - | - | - | - | - | - | |
| Other District 3: | | - | - | - | - | - | - | |
| Other District 4: | | - | - | - | - | - | - | |
| Other District 5: | | - | - | - | - | - | - | |
| Other District 6: | | - | - | - | - | - | - | |
| Other District 7: | | - | - | - | - | - | - | |
| Other District 8: | | - | - | - | - | - | - | |
| Other District 9: | | - | - | - | - | - | - | |
| Other District 10: | | - | - | - | - | - | - | |
| Other District 11: | | - | - | - | - | - | - | |
| Other District 12: | | - | - | - | - | - | - | |
| Other District 13: | | - | - | - | - | - | - | |
| Other District 14: | | - | - | - | - | - | - | |
| Other School Districts' Revenue: (Weighted Avg.) | | - | - | - | - | - | - | |
| TOTAL Per Pupil Revenue (Weighted Avg.) | | 15,307 | 2,449,120 | 3,673,680 | 6,122,800 | 7,653,500 | 9,184,200 | |
| Special Education Revenue | | | 103,900 | 155,850 | 259,750 | 324,688 | 389,625 | Assumes 25% of SWD @ \$10390 per |
| Grants | | | | | | | | |
| Stimulus | | | - | - | - | - | - | |
| DYCD (Department of Youth and Community Developmt.) | | | 215,040 | - | - | - | - | Year 1 start-up grant |
| Other | | | - | - | - | - | - | |
| Other | | | 664,160 | 966,240 | 1,600,400 | 2,038,000 | 2,438,048 | rental assistance |
| TOTAL REVENUE FROM STATE SOURCES | | | 3,432,220 | 4,795,770 | 7,982,950 | 10,016,188 | 12,011,873 | |
| REVENUE FROM FEDERAL FUNDING | | | | | | | | |
| IDEA Special Needs | | | - | - | - | - | - | |
| Title I | | | 72,000 | 114,000 | 190,000 | 237,500 | 285,000 | \$500 per eligible student |
| Title Funding - Other | | | 17,120 | 25,680 | 42,800 | 53,500 | 64,200 | \$107 per eligible student |
| School Food Service (Free Lunch) | | | - | - | - | - | - | |
| Grants | | | | | | | | |
| Charter School Program (CSP) Planning & Implementation | | | 100,000 | 100,000 | - | - | - | \$350,000 spent in planning year for total of \$550,000 |
| Other | | | - | - | - | - | - | |
| Other | | | - | - | - | - | - | |
| TOTAL REVENUE FROM FEDERAL SOURCES | | | 189,120 | 239,680 | 232,800 | 291,000 | 349,200 | |
| LOCAL and OTHER REVENUE | | | | | | | | |
| Contributions and Donations | | | - | - | - | - | - | |
| Fundraising | | | - | - | - | - | - | |
| Erate Reimbursement | | | - | - | - | - | - | |
| Earnings on Investments | | | - | - | - | - | - | |
| Interest Income | | | - | - | - | - | - | |
| Food Service (Income from meals) | | | - | - | - | - | - | |
| Text Book | | | 13,440 | 20,160 | 33,600 | 42,000 | 50,400 | NYSTL: \$84 per student |
| OTHER | | | - | - | - | - | - | |
| TOTAL REVENUE FROM LOCAL and OTHER SOURCES | | | 13,440 | 20,160 | 33,600 | 42,000 | 50,400 | |
| TOTAL REVENUE | | | 3,634,780 | 5,055,610 | 8,249,350 | 10,349,188 | 12,411,473 | |

| 5 YEAR BUDGET AND CASH FLOW ADJUSTMENTS | | CAPITAL PREPARATORY BRONX CHARTER SCHOOL | | | | | DESCRIPTION OF ASSUMPTIONS | |
|---|--|---|-------------------|-------------------|-------------------|-------------------|---|--|
| *NOTE: Projected Five Year Budget on this tab should be for the first five years of actual operations. | | PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD 2019-20 THROUGH 2023-24 | | | | | *NOTE: State assumptions that are being made in the section provided below. | |
| Total Revenue | | 3,634,780 | 5,055,610 | 8,249,350 | 10,349,188 | 12,411,473 | | |
| Total Expenses | | 3,531,549 | 5,010,696 | 7,804,275 | 9,519,145 | 11,214,679 | | |
| Net Income (Before Cash Flow Adjustments) | | 103,231 | 44,914 | 445,075 | 830,042 | 1,196,794 | | |
| Budgeted Student Enrollment | | 160 | 240 | 400 | 500 | 600 | | |
| | | Year 1 2019-20 | Year 2 2020-21 | Year 3 2021-22 | Year 4 2022-23 | Year 5 2023-24 | | |
| EXPENSES | | | | | | | | |
| ADMINISTRATIVE STAFF PERSONNEL COSTS | | Year 1 No. of Positions | | | | | NOTE: For all 5-Years of FTE/Staffing detail please see the 'Staffing' tab of this file. | |
| Executive Management | | 1.00 | 125,000 | 128,750 | 132,613 | 136,591 | 140,689 | Principal |
| Instructional Management | | 1.00 | 100,000 | 103,000 | 206,090 | 212,273 | 218,641 | Y1: Academic Dean; Y3: Academic Dean |
| Deans, Directors & Coordinators | | 1.00 | 85,000 | 87,550 | 90,177 | 262,882 | 270,768 | Y1: Special Education Coordinator; Y3: 2 Dean of Students; Year 4: Special Education Coordinator |
| CFO / Director of Finance | | - | - | - | - | - | - | |
| Operation / Business Manager | | 1.00 | 100,000 | 103,000 | 106,090 | 109,273 | 112,551 | Director of Operations |
| Administrative Staff | | 1.00 | 45,000 | 46,350 | 92,741 | 95,523 | 98,388 | Y1: 1 Office Manager; Y3: 2 Office Managers |
| TOTAL ADMINISTRATIVE STAFF | | 5.00 | 455,000 | 468,650 | 627,710 | 816,541 | 841,037 | |
| INSTRUCTIONAL PERSONNEL COSTS | | | | | | | | |
| Teachers - Regular | | 8.00 | 600,000 | 918,000 | 1,245,540 | 1,582,906 | 1,930,393 | Y1: 8 MS teachers; Y2: 12 MS teachers; Y3: 12 MS teachers & 4 HS teachers; Y4: 12 MS teachers & 8 HS teachers; Y5: 12 MS teachers and 12 HS teachers |
| Teachers - SPED | | 1.00 | 75,000 | 227,250 | 384,068 | 395,590 | 557,457 | |
| Substitute Teachers | | - | - | - | - | - | - | |
| Teaching Assistants | | 2.00 | 84,000 | 254,520 | 262,156 | 354,020 | 364,641 | Junior Illumintors |
| Specialty Teachers | | 6.00 | 450,000 | 538,500 | 929,655 | 1,032,545 | 1,138,521 | Music, Art, Gym, ELL, Interventionist, LOTE |
| Aides | | - | - | - | - | - | - | |
| Therapists & Counselors | | 1.00 | 70,000 | 72,100 | 144,263 | 148,591 | 223,049 | Y1: Social Worker; Y3: Social Worker; Y5: College Counselor |
| Other | | - | - | - | - | - | - | |
| TOTAL INSTRUCTIONAL | | 18.00 | 1,279,000 | 2,010,370 | 2,965,681 | 3,513,652 | 4,214,061 | |
| NON-INSTRUCTIONAL PERSONNEL COSTS | | | | | | | | |
| Nurse | | 1.00 | 60,000 | 61,800 | 63,654 | 65,564 | 67,531 | |
| Librarian | | - | - | - | - | - | - | |
| Custodian | | - | - | - | - | - | - | |
| Security | | - | - | - | - | - | - | |
| Other | | - | - | - | - | - | - | |
| TOTAL NON-INSTRUCTIONAL | | 1.00 | 60,000 | 61,800 | 63,654 | 65,564 | 67,531 | |
| SUBTOTAL PERSONNEL SERVICE COSTS | | 24.00 | 1,794,000 | 2,540,820 | 3,657,045 | 4,395,756 | 5,122,629 | |
| PAYROLL TAXES AND BENEFITS | | | | | | | | |
| Payroll Taxes | | | 179,400 | 254,082 | 365,704 | 439,576 | 512,263 | 10% of salary |
| Fringe / Employee Benefits | | | 251,160 | 355,715 | 511,986 | 615,406 | 717,168 | 14% of salary |
| Retirement / Pension | | | 40,365 | 57,168 | 82,284 | 98,905 | 115,259 | Anticipating 75% participation in retirement & 3% match |
| TOTAL PAYROLL TAXES AND BENEFITS | | | 470,925 | 666,965 | 959,974 | 1,153,886 | 1,344,690 | |
| TOTAL PERSONNEL SERVICE COSTS | | 24.00 | 2,264,925 | 3,207,785 | 4,617,019 | 5,549,642 | 6,467,319 | |
| CONTRACTED SERVICES | | | | | | | | |
| Accounting / Audit | | | 24,000 | 26,000 | 28,000 | 30,000 | 32,000 | Estimate based on cost comparisons with \$2000 increase per year |
| Legal | | | - | - | - | - | - | |
| Management Company Fee | | | 244,912 | 367,368 | 612,280 | 765,350 | 918,420 | Based on 10% of Gen Per Pupil Revenue |
| Nurse Services | | | - | - | - | - | - | |
| Food Service / School Lunch | | | - | - | - | - | - | |
| Payroll Services | | | 6,240 | 9,100 | 12,740 | 15,080 | 17,160 | \$260 per employee |
| Special Ed Services | | | 8,000 | 12,000 | 20,000 | 25,000 | 30,000 | OT/PT/Speech |
| Titlement Services (i.e. Title I) | | | 5,000 | - | - | - | - | |
| Other Purchased / Professional / Consulting | | | - | - | - | - | - | |
| TOTAL CONTRACTED SERVICES | | | 288,152 | 414,468 | 673,020 | 835,430 | 997,580 | |

| 5 YEAR BUDGET AND CASH FLOW ADJUSTMENTS | CAPITAL PREPARATORY BRONX CHARTER SCHOOL | | | | | DESCRIPTION OF ASSUMPTIONS |
|---|---|-------------------|-------------------|-------------------|-------------------|---|
| | PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD 2019-20 THROUGH 2023-24 | | | | | |
| <i>*NOTE: Projected Five Year Budget on this tab should be for the first five years of actual operations.</i> | | | | | | <i>*NOTE: State assumptions that are being made in the section provided below.</i> |
| Total Revenue | 3,634,780 | 5,055,610 | 8,249,350 | 10,349,188 | 12,411,473 | |
| Total Expenses | 3,531,549 | 5,010,696 | 7,804,275 | 9,519,145 | 11,214,679 | |
| Net Income (Before Cash Flow Adjustments) | 103,231 | 44,914 | 445,075 | 830,042 | 1,196,794 | |
| Budgeted Student Enrollment | 160 | 240 | 400 | 500 | 600 | |
| | Year 1 2019-20 | Year 2 2020-21 | Year 3 2021-22 | Year 4 2022-23 | Year 5 2023-24 | |
| SCHOOL OPERATIONS | | | | | | |
| Board Expenses | 8,000 | 8,000 | 8,000 | 8,000 | 8,000 | meeting supplies and professional development |
| Classroom / Teaching Supplies & Materials | 22,000 | 35,500 | 59,325 | 71,925 | 86,940 | In addition to the curriculum developed by school/management company anticipated costs - \$100 per student for instructional supplies & \$500 per classroom for library books |
| Special Ed Supplies & Materials | 6,000 | 9,300 | 16,695 | 21,525 | 26,396 | In addition to the curriculum developed by school/management company anticipated costs - \$150 per student for instructional supplies |
| Textbooks / Workbooks | 16,000 | 24,000 | 60,000 | 75,000 | 89,700 | \$100 per student in Yr1&2, \$150 thereafter |
| Supplies & Materials other | - | - | 26,000 | 32,500 | 38,870 | CPS will cover first two years of curriculum |
| Equipment / Furniture | - | - | - | - | - | Included in cash flow section below |
| Telephone | 7,800 | 9,000 | 10,200 | 15,000 | 16,200 | \$650/month for general school/office phones and phones for staff |
| Technology | 31,400 | 31,400 | 80,000 | 90,000 | 100,000 | \$950 per month plus \$20,000 for initial technology set -up |
| Student Testing & Assessment | 32,000 | 48,000 | 80,000 | 100,000 | 119,600 | Based on Student - \$200 per student. Student testing & assessment, enrichment, etc. |
| Field Trips | 8,000 | 24,000 | 80,000 | 110,000 | 139,800 | Based on \$100 per student in Yr1 & Yr2 and estimated costs of college trips and other activities in years 3-5 |
| Transportation (student) | - | - | 75,000 | 100,000 | 125,000 | Students only eligible for busing K-6 and more than 1/2 mile from school (K-2), 1 mile from school (3-6) . Athletics program in years 3-5 |
| Student Services - other | 51,200 | 76,800 | 128,000 | 160,000 | 191,360 | Extracurricular Activities (2 sports per year-\$300 per student) and Parent Activities \$20/student |
| Office Expense | 15,000 | 28,200 | 88,000 | 106,000 | 118,940 | Office supplies, Postage (\$30/student). Plus one copier in year 1. Additional Copiers in year 3-5 |
| Staff Development | 12,000 | 17,000 | 25,500 | 28,500 | 33,500 | Based on FT staff - \$500 per staff member (includes conferences, workshops, professional texts, etc.). Management Company will also provide professional development |
| Staff Recruitment | - | - | - | - | - | |
| Student Recruitment / Marketing | - | - | 10,000 | 10,000 | 10,000 | Paid during Planning Year: Includes ads, community outreach, newspapers, mailings, meetings. Management Company will also provide recruitment services |
| School Meals / Lunch | - | - | - | - | - | |
| Travel (Staff) | 6,000 | 8,500 | 12,750 | 14,250 | 16,750 | Based on \$250 per staff person |
| Fundraising | - | - | - | - | - | |
| Other | - | - | - | - | - | |
| TOTAL SCHOOL OPERATIONS | 215,400 | 319,700 | 759,470 | 942,700 | 1,121,056 | |
| FACILITY OPERATION & MAINTENANCE | | | | | | |
| Insurance | 43,245 | 45,407 | 47,678 | 50,061 | 52,565 | Estimate based Alliant proposal |
| Janitorial | 49,920 | 74,880 | 124,800 | 156,000 | 186,576 | \$26 per child per month includes services and supplies. |
| Building and Land Rent / Lease / Facility Finance Interest | 512,000 | 768,000 | 1,280,000 | 1,600,000 | 1,913,600 | 100 sq ft per student, \$32 per square foot |
| Repairs & Maintenance | 10,000 | 10,000 | 20,000 | 40,000 | 50,000 | \$10k in Yr1 & Yr2 then incremental cost increases thereafter |
| Equipment / Furniture | - | - | - | - | - | |
| Security | 60,000 | 60,000 | 90,000 | 150,000 | 180,000 | Contracted security guards and fire guards |
| Utilities | 42,240 | 63,360 | 105,600 | 132,000 | 157,872 | \$22 per child per month |
| TOTAL FACILITY OPERATION & MAINTENANCE | 717,405 | 1,021,647 | 1,668,078 | 2,128,061 | 2,540,613 | |
| DEPRECIATION & AMORTIZATION | 20,667 | 22,095 | 61,688 | 63,312 | 88,112 | |
| DISSOLUTION ESCROW & RESERVES / CONTINGENCY | 25,000 | 25,000 | 25,000 | - | - | \$75,000 in escrow for dissolution |
| TOTAL EXPENSES | 3,531,549 | 5,010,696 | 7,804,275 | 9,519,145 | 11,214,679 | |
| NET INCOME | 103,231 | 44,914 | 445,075 | 830,042 | 1,196,794 | |

| 5 YEAR BUDGET AND CASH FLOW ADJUSTMENTS | CAPITAL PREPARATORY BRONX CHARTER SCHOOL PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD 2019-20 THROUGH 2023-24 | | | | | DESCRIPTION OF ASSUMPTIONS |
|---|---|---------------------------|---------------------------|---------------------------|---------------------------|--|
| <i>*NOTE: Projected Five Year Budget on this tab should be for the first five years of actual operations.</i> | | | | | | <i>*NOTE: State assumptions that are being made in the section provided below.</i> |
| Total Revenue | 3,634,780 | 5,055,610 | 8,249,350 | 10,349,188 | 12,411,473 | |
| Total Expenses | 3,531,549 | 5,010,696 | 7,804,275 | 9,519,145 | 11,214,679 | |
| Net Income (Before Cash Flow Adjustments) | 103,231 | 44,914 | 445,075 | 830,042 | 1,196,794 | |
| Budgeted Student Enrollment | 160 | 240 | 400 | 500 | 600 | |
| | Year 1 2019-20 | Year 2 2020-21 | Year 3 2021-22 | Year 4 2022-23 | Year 5 2023-24 | |
| ENROLLMENT - *School Districts Are Linked To Above Entries* | | | | | | |
| PRIMARY School District: NYC CHANCELLOR'S OFFICE | 160 | 240 | 400 | 500 | 600 | |
| Other District 1: | - | - | - | - | - | |
| Other District 2: | - | - | - | - | - | |
| Other District 3: | - | - | - | - | - | |
| Other District 4: | - | - | - | - | - | |
| Other District 5: | - | - | - | - | - | |
| Other District 6: | - | - | - | - | - | |
| Other District 7: | - | - | - | - | - | |
| Other District 8: | - | - | - | - | - | |
| Other District 9: | - | - | - | - | - | |
| Other District 10: | - | - | - | - | - | |
| Other District 11: | - | - | - | - | - | |
| Other District 12: | - | - | - | - | - | |
| Other District 13: | - | - | - | - | - | |
| Other District 14: | - | - | - | - | - | |
| All Other School Districts | - | - | - | - | - | |
| TOTAL ENROLLMENT | 160 | 240 | 400 | 500 | 600 | |
| REVENUE PER PUPIL | 22,717 | 21,065 | 20,623 | 20,698 | 20,686 | |
| EXPENSES PER PUPIL | 22,072 | 20,878 | 19,511 | 19,038 | 18,691 | |
| CASH FLOW ADJUSTMENTS | | | | | | |
| OPERATING ACTIVITIES | | | | | | |
| Example - Add Back Depreciation | 20,667 | 22,095 | 61,688 | 63,312 | 88,112 | |
| Other | - | - | - | - | - | |
| Total Operating Activities | 20,667 | 22,095 | 61,688 | 63,312 | 88,112 | |
| INVESTMENT ACTIVITIES | | | | | | |
| Example - Subtract Property and Equipment Expenditures | (62,000) | - | (97,350) | (58,300) | (59,400) | |
| Other | - | (10,000) | (50,000) | (20,000) | (45,000) | |
| Total Investment Activities | (62,000) | (10,000) | (147,350) | (78,300) | (104,400) | |
| FINANCING ACTIVITIES | | | | | | |
| Example - Add Expected Proceeds from a Loan or Line of Credit | - | - | - | - | - | |
| Other | 0 | - | - | - | - | |
| Total Financing Activities | 0 | - | - | - | - | |
| Total Cash Flow Adjustments | (41,333) | 12,095 | (85,662) | (14,988) | (16,288) | |
| NET INCOME | 61,898 | 57,010 | 359,414 | 815,054 | 1,180,506 | |
| Beginning Cash Balance | 14,615 | 76,513 | 133,523 | 492,936 | 1,307,990 | |
| ENDING CASH BALANCE | 76,513 | 133,523 | 492,936 | 1,307,990 | 2,488,496 | |

5-YEAR FISCAL IMPACT REPORT

| Largest Enrollment District: NYC CHANCELLOR'S OFFICE | | | | | | | |
|--|---------------------------------|----------------|---------------|---|---|---|---|
| A | B | C | D (B X C) | E | F (D + E) | G | H (F ÷ G) |
| Operational Year | Enrollment (Number of Students) | Per Pupil Rate | Per Pupil Aid | Other District Revenue (SPED Funding, Food Service, Grants, Etc.) | Total Funding to Charter School From District | * Total General Fund Operating Budget for NYC CHANCELLOR'S OFFICE School District | Projected Impact (% of District's Total Budget) |
| Year 1 (2019-20) | 160 | 15,307 | 2,449,120 | 983,100 | 3,432,220 | 24,300,000,000 | 0.014% |
| Year 2 (2020-21) | 240 | 15,307 | 3,673,680 | 1,122,090 | 4,795,770 | 24,300,000,000 | 0.020% |
| Year 3 (2021-22) | 400 | 15,307 | 6,122,800 | 1,860,150 | 7,982,950 | 24,300,000,000 | 0.033% |
| Year 4 (2022-23) | 500 | 15,307 | 7,653,500 | 2,362,688 | 10,016,188 | 24,300,000,000 | 0.041% |
| Year 5 (2023-24) | 600 | 15,307 | 9,184,200 | 2,827,673 | 12,011,873 | 24,300,000,000 | 0.049% |

| | |
|--|---|
| DESCRIPTION OF SOURCE FOR PRIMARY DISTRICT'S OPERATING BUDGET: | http://schools.nyc.gov/aboutus/funding/overview/default.htm |
| OTHER NOTES: | |

| Second Largest Enrollment District: N/A | | | | | | | |
|---|---------------------------------|----------------|---------------|---|---|--|---|
| A | B | C | D (B X C) | E | F (D + E) | G | H (F ÷ G) |
| Operational Year | Enrollment (Number of Students) | Per Pupil Rate | Per Pupil Aid | Other District Revenue (SPED Funding, Food Service, Grants, Etc.) | Total Funding to Charter School From District | * Total General Fund Operating Budget for Select from drop-down list → School District | Projected Impact (% of District's Total Budget) |
| Year 1 (2019-20) | - | - | - | - | - | - | #DIV/0! |
| Year 2 (2020-21) | - | - | - | - | - | - | #DIV/0! |
| Year 3 (2021-22) | - | - | - | - | - | - | #DIV/0! |
| Year 4 (2022-23) | - | - | - | - | - | - | #DIV/0! |
| Year 5 (2023-24) | - | - | - | - | - | - | #DIV/0! |

| | |
|--|--|
| DESCRIPTION OF SOURCE FOR PRIMARY DISTRICT'S OPERATING BUDGET: | |
| OTHER NOTES: | |

Letters of Commitment

Request is not applicable

Form **990**
 Department of the Treasury
 Internal Revenue Service

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter social security numbers on this form as it may be made public
 ▶ Information about Form 990 and its instructions is at www.irs.gov/foi990

OMB No 1545-0047
2015
Open to Public Inspection

A For the 2015 calendar year, or tax year beginning 07-01-2015, and ending 06-30-2016

- B** Check if applicable:
- Address change
 - Name change
 - Initial return
 - Final return/terminated
 - Amended return
 - Application pending

C Name of organization
 CAPITAL PREP HARBOR SCHOOL INC

Doing business as

Number and street (or P O box if mail is not delivered to street address) Room/suite
 777 MAIN STREET

City or town, state or province, country, and ZIP or foreign postal code
 BRIDGEPORT, CT 06604

D Employer identification number

[REDACTED]

E Telephone number

[REDACTED]

G Gross receipts \$ 2,913,872

F Name and address of principal officer
 SHANTE HANKS
 [REDACTED]
 BRIDGEPORT, CT 06604

H(a) Is this a group return for subordinates?
 No Yes

H(b) Are all subordinates included?
 Yes No
 If "No," attach a list (see instructions)

H(c) Group exemption number ▶

I Tax-exempt status 501(c)(3) 501(c) () ◀ (insert no) 4947(a)(1) or 527

J Website: ▶ WWW.CAPITALPREPHARBOR.ORG

K Form of organization Corporation Trust Association Other ▶

L Year of formation 2014

M State of legal domicile CT

Part I Summary

| | | | |
|---|--|---|---------------------|
| Activities & Governance | | <p>1 Briefly describe the organization's mission or most significant activities THE SCHOOL PROVIDES ITS STUDENTS WITH A YEAR-ROUND, COLLEGE PREPARATORY EDUCATION THAT DEVELOPS LIFELONG LEARNERS, LEADERS, AND AGENTS OF SOCIAL CHANGE</p> | |
| | | <p>2 Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets</p> | |
| | | 3 | 8 |
| | | 4 | 8 |
| | | 5 | 27 |
| | | 6 | 8 |
| | | 7a | 0 |
| | | 7b | 0 |
| Revenue | | Prior Year | Current Year |
| 8 Contributions and grants (Part VIII, line 1h) | | 0 | 109,996 |
| 9 Program service revenue (Part VIII, line 2g) | | 0 | 2,803,511 |
| 10 Investment income (Part VIII, column (A), lines 3, 4, and 7d) | | 0 | 0 |
| 11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) | | 0 | 365 |
| 12 Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12) | | 0 | 2,913,872 |
| Expenses | | | |
| 13 Grants and similar amounts paid (Part IX, column (A), lines 1–3) | | 0 | 0 |
| 14 Benefits paid to or for members (Part IX, column (A), line 4) | | 0 | 0 |
| 15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10) | | 0 | 1,706,220 |
| 16a Professional fundraising fees (Part IX, column (A), line 11e) | | 0 | 0 |
| b Total fundraising expenses (Part IX, column (D), line 25) ▶ ⁰ | | | |
| 17 Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e) | | 0 | 707,497 |
| 18 Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25) | | 0 | 2,413,717 |
| 19 Revenue less expenses Subtract line 18 from line 12 | | 0 | 500,155 |
| Net Assets or Fund Balances | | Beginning of Current Year | End of Year |
| 20 Total assets (Part X, line 16) | | 211,240 | 613,079 |
| 21 Total liabilities (Part X, line 26) | | 223,314 | 124,998 |
| 22 Net assets or fund balances Subtract line 21 from line 20 | | -12,074 | 488,081 |

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, in my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here

Signature of officer: [REDACTED]

SHANTE HANKS TREASURER
 Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name: GARRETT M HIGGINS
 Preparer's signature: GARRETT M HIGGINS

Firm's name ▶ PKF O'CONNOR DAVIES LLP
 Firm's address ▶ 665 FIFTH AVENUE
 NEW YORK, NY 10022

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III

1 Briefly describe the organization's mission

THE SCHOOL OPERATES A CHARTER SCHOOL IN BRIDGEPORT CONNECTICUT, PROVIDING ITS STUDENTS WITH A YEAR-ROUND, COLLEGE PREPARATORY EDUCATION THAT DEVELOPS LIFELONG LEARNERS, LEADERS, AND AGENTS OF SOCIAL CHANGE

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? Yes No
If "Yes," describe these new services on Schedule O

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? Yes No
If "Yes," describe these changes on Schedule O

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported

4a (Code) (Expenses \$ 2,168,304 including grants of \$) (Revenue \$ 2,803,511)
THE SCHOOL'S PROVIDES ITS STUDENTS WITH A YEAR-ROUND, COLLEGE PREPARATORY EDUCATION THAT DEVELOPS LIFELONG LEARNERS, LEADERS, AND AGENTS OF SOCIAL CHANGE SERVING AS THE ANCHOR FOR STUDENT DEVELOPMENT, THE SCHOOL'S EDUCATORS PROVIDE AN EDUCATIONAL ENVIRONMENT THAT CREATES OPPORTUNITIES FOR ALL STUDENTS TO REALIZE AND FULFILL THEIR ACADEMIC, SOCIAL, AND CIVIC RESPONSIBILITIES THE SCHOOL PROVIDED EDUCATION TO APPROXIMATELY 250 STUDENTS IN GRADES SIXTH THROUGH TWELFTH DURING THE 2015-2016 ACADEMIC YEAR

4b (Code) (Expenses \$ including grants of \$) (Revenue \$)

4c (Code) (Expenses \$ including grants of \$) (Revenue \$)

4d Other program services (Describe in Schedule O)
(Expenses \$ including grants of \$) (Revenue \$)

4e Total program service expenses ▶ 2,168,304

Part IV Checklist of Required Schedules

| | Yes | No |
|---|-----|----|
| 1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A</i> | Yes | |
| 2 Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> (see instructions)? | | No |
| 3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i> | | No |
| 4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i> | | No |
| 5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III</i> | | No |
| 6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I</i> | | No |
| 7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i> | | No |
| 8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i> | | No |
| 9 Did the organization report an amount in Part X, line 21 for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV</i> | | No |
| 10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V</i> | | No |
| 11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable | | |
| a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI</i> | Yes | |
| b Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII</i> | | No |
| c Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII</i> | | No |
| d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX</i> | Yes | |
| e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i> | Yes | |
| f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X</i> | Yes | |
| 12a Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i> | Yes | |
| b Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i> | | No |
| 13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i> | Yes | |
| 14a Did the organization maintain an office, employees, or agents outside of the United States? | | No |
| b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? <i>If "Yes," complete Schedule F, Parts I and IV</i> | | No |
| 15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? <i>If "Yes," complete Schedule F, Parts II and IV</i> | | No |
| 16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? <i>If "Yes," complete Schedule F, Parts III and IV</i> | | No |
| 17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i> (see instructions) | | No |
| 18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i> | | No |
| 19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i> | | No |
| 20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i> | | No |
| b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return? | | |

Part IV Checklist of Required Schedules (continued)

Table with 3 columns: Question ID, Question Text, and Answer. Rows include questions 21 through 38 regarding organizational reporting, compensation, and tax-exempt status.

Part V Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response or note to any line in this Part V

Table with columns for question numbers (1a-14b), descriptions, and Yes/No columns. Includes sub-questions for various IRS forms and reporting requirements.

Part VI Governance, Management, and Disclosure

For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI

Section A. Governing Body and Management

| | | Yes | No |
|-----------|---|-----|----|
| 1a | Enter the number of voting members of the governing body at the end of the tax year If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O | | |
| 1b | Enter the number of voting members included in line 1a, above, who are independent | | |
| 2 | Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? | | No |
| 3 | Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person? | Yes | |
| 4 | Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? | | No |
| 5 | Did the organization become aware during the year of a significant diversion of the organization's assets? | | No |
| 6 | Did the organization have members or stockholders? | | No |
| 7a | Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? | | No |
| 7b | Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? | | No |
| 8 | Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following | | |
| 8a | The governing body? | Yes | |
| 8b | Each committee with authority to act on behalf of the governing body? | Yes | |
| 9 | Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O | | No |

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

| | | Yes | No |
|------------|--|-----|----|
| 10a | Did the organization have local chapters, branches, or affiliates? | | No |
| 10b | If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? | | |
| 11a | Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? | Yes | |
| 11b | Describe in Schedule O the process, if any, used by the organization to review this Form 990 | | |
| 12a | Did the organization have a written conflict of interest policy? If "No," go to line 13 | Yes | |
| 12b | Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? | Yes | |
| 12c | Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done | Yes | |
| 13 | Did the organization have a written whistleblower policy? | Yes | |
| 14 | Did the organization have a written document retention and destruction policy? | Yes | |
| 15a | Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision? | | No |
| 15b | The organization's CEO, Executive Director, or top management official | | No |
| 15b | Other officers or key employees of the organization | | No |
| 16a | If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions) | | |
| 16a | Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? | | No |
| 16b | If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements? | | |

Section C. Disclosure

- 17** List the States with which a copy of this Form 990 is required to be filed ▶

- 18** Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
 Own website Another's website Upon request Other (explain in Schedule O)
- 19** Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year
- 20** State the name, address, and telephone number of the person who possesses the organization's books and records
 ▶SHANTE HANKS 777 MAIN STREET BRIDGEPORT, CT 06604 (475) 722-5900

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

Check if Schedule O contains a response or note to any line in this Part VII

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed Report compensation for the calendar year ending with or within the organization's tax year

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation Enter -0- in columns (D), (E), and (F) if no compensation was paid
- List all of the organization's **current** key employees, if any See instructions for definition of "key employee "
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations
- List all of the organization's **former** officers, key employees, or highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations

List persons in the following order individual trustees or directors, institutional trustees, officers, key employees, highest compensated employees, and former such persons

Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee

| (A) Name and Title | (B) Average hours per week (list any hours for related organizations below dotted line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W-2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|--|---|-----------------------|---------|--------------|------------------------------|--------|--|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| (1) TERESA WILSON BOARD CHAIR | 1 00 | X | | X | | | | 0 | 0 | 0 |
| (2) RICHARDO GRIFFITH VICE CHAIR | 1 00 | X | | X | | | | 0 | 0 | 0 |
| (3) SHANTE HANKS TREASURER | 1 00 | X | | X | | | | 0 | 0 | 0 |
| (4) GWENDOLYN BRANTLEY SECRETARY | 1 00 | X | | | | | | 0 | 0 | 0 |
| (5) KENNETH MOALES JR MEMBER | 1 00 | X | | | | | | 0 | 0 | 0 |
| (6) NATASHA RIVERS MEMBER | 1 00 | X | | | | | | 0 | 0 | 0 |
| (7) ROBERT MORTON MEMBER | 1 00 | X | | | | | | 0 | 0 | 0 |
| (8) BEN WALKER MEMBER | 1 00 | X | | | | | | 0 | 0 | 0 |
| (9) RICHARD BEGANSKI PRINCIPAL | 35 00 | | | X | | | | 56,555 | 0 | 4,006 |
| (10) DR STEVE PERRY EXECUTIVE DIRECTOR | 5 00 | | | X | | | | 0 | 0 | 0 |
| | | | | | | | | | | |
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Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

| (A) Name and Title | (B) Average hours per week (list any hours for related organizations below dotted line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W-2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|--|--|---|-----------------------|---------|--------------|------------------------------|--------|--|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| | | | | | | | | | | |
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| | | | | | | | | | | |
| 1b Sub-Total | | | | | | | | | | |
| c Total from continuation sheets to Part VII, Section A | | | | | | | | | | |
| d Total (add lines 1b and 1c) | | | | | | | 56,555 | 0 | 4,006 | |

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **0**

| | Yes | No |
|--|----------|----|
| 3 Did the organization list any former officer, director or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i> | 3 | No |
| 4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <i>If "Yes," complete Schedule J for such individual</i> | 4 | No |
| 5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i> | 5 | No |

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization Report compensation for the calendar year ending with or within the organization's tax year

| (A) Name and business address | (B) Description of services | (C) Compensation |
|----------------------------------|--------------------------------|---------------------|
| | | |
| | | |
| | | |
| | | |
| | | |

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **0**

Part VIII Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII

| | | (A) Total revenue | (B) Related or exempt function revenue | (C) Unrelated business revenue | (D) Revenue excluded from tax under sections 512-514 | |
|--|--|--|--|---|---|--|
| Contributions, Gifts, Grants and Other Similar Amounts | 1a Federated campaigns 1a _____ | | | | | |
| | b Membership dues 1b _____ | | | | | |
| | c Fundraising events 1c _____ | | | | | |
| | d Related organizations 1d _____ | | | | | |
| | e Government grants (contributions) 1e _____ 103,762 | | | | | |
| | f All other contributions, gifts, grants, and similar amounts not included above 1f _____ 6,234 | | | | | |
| | g Noncash contributions included in lines 1a-1f \$ _____ | | | | | |
| | h Total. Add lines 1a-1f ▶ | | 109,996 | | | |
| Program Service Revenue | 2a GOV'T PER-PUPIL REV _____ Business Code 900099 | 2,803,511 | 2,803,511 | | | |
| | b _____ | | | | | |
| | c _____ | | | | | |
| | d _____ | | | | | |
| | e _____ | | | | | |
| | f All other program service revenue | | | | | |
| | g Total. Add lines 2a-2f ▶ | | 2,803,511 | | | |
| Other Revenue | 3 Investment income (including dividends, interest, and other similar amounts) ▶ | | | | | |
| | 4 Income from investment of tax-exempt bond proceeds ▶ | | | | | |
| | 5 Royalties ▶ | | | | | |
| | 6a Gross rents | (i) Real | | | | |
| | | (ii) Personal | | | | |
| | | b Less rental expenses | | | | |
| | | c Rental income or (loss) | | | | |
| | d Net rental income or (loss) ▶ | | | | | |
| | 7a Gross amount from sales of assets other than inventory | (i) Securities | | | | |
| | | (ii) Other | | | | |
| | | b Less cost or other basis and sales expenses | | | | |
| | | c Gain or (loss) | | | | |
| | d Net gain or (loss) ▶ | | | | | |
| | 8a Gross income from fundraising events (not including \$ _____ of contributions reported on line 1c) See Part IV, line 18 a | | | | | |
| | | b Less direct expenses b | | | | |
| | | c Net income or (loss) from fundraising events ▶ | | | | |
| | 9a Gross income from gaming activities See Part IV, line 19 a | | | | | |
| | | b Less direct expenses b | | | | |
| | | c Net income or (loss) from gaming activities ▶ | | | | |
| | 10a Gross sales of inventory, less returns and allowances a | | | | | |
| b Less cost of goods sold b | | | | | | |
| c Net income or (loss) from sales of inventory ▶ | | | | | | |
| Miscellaneous Revenue | Business Code | | | | | |
| 11a MISCELLANEOUS _____ Business Code 900099 | 365 | | | 365 | | |
| b _____ | | | | | | |
| c _____ | | | | | | |
| d All other revenue | | | | | | |
| e Total. Add lines 11a-11d ▶ | | 365 | | | | |
| 12 Total revenue. See Instructions ▶ | | 2,913,872 | 2,803,511 | 0 | 365 | |

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A)

Check if Schedule O contains a response or note to any line in this Part IX

| Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII. | | (A) Total expenses | (B) Program service expenses | (C) Management and general expenses | (D) Fundraising expenses |
|---|---|------------------------------|--|---|------------------------------------|
| 1 | Grants and other assistance to domestic organizations and domestic governments See Part IV, line 21 | | | | |
| 2 | Grants and other assistance to domestic individuals See Part IV, line 22 | | | | |
| 3 | Grants and other assistance to foreign organizations, foreign governments, and foreign individuals See Part IV, lines 15 and 16 | | | | |
| 4 | Benefits paid to or for members | | | | |
| 5 | Compensation of current officers, directors, trustees, and key employees | 145,016 | 133,415 | 11,601 | |
| 6 | Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) | | | | |
| 7 | Other salaries and wages | 1,350,107 | 1,239,825 | 110,282 | |
| 8 | Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions) | | | | |
| 9 | Other employee benefits | 74,573 | 68,478 | 6,095 | |
| 10 | Payroll taxes | 136,524 | 125,393 | 11,131 | |
| 11 | Fees for services (non-employees) | | | | |
| a | Management | | | | |
| b | Legal | 16,659 | | 16,659 | |
| c | Accounting | 20,000 | | 20,000 | |
| d | Lobbying | | | | |
| e | Professional fundraising services See Part IV, line 17 | | | | |
| f | Investment management fees | | | | |
| g | Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O) | 28,866 | 10,760 | 18,106 | |
| 12 | Advertising and promotion | 1,450 | 1,332 | 118 | |
| 13 | Office expenses | 25,832 | 23,726 | 2,106 | |
| 14 | Information technology | 35,987 | 33,053 | 2,934 | |
| 15 | Royalties | | | | |
| 16 | Occupancy | 459,784 | 422,297 | 37,487 | |
| 17 | Travel | | | | |
| 18 | Payments of travel or entertainment expenses for any federal, state, or local public officials | | | | |
| 19 | Conferences, conventions, and meetings | | | | |
| 20 | Interest | 2,045 | 1,878 | 167 | |
| 21 | Payments to affiliates | | | | |
| 22 | Depreciation, depletion, and amortization | 50,196 | 46,103 | 4,093 | |
| 23 | Insurance | 26,942 | 24,745 | 2,197 | |
| 24 | Other expenses Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O) | | | | |
| a | REPAIRS & MAINTENANCE | 29,196 | 26,816 | 2,380 | |
| b | STUDENT SUPPLIES/SERVIC | 9,340 | 9,340 | | |
| c | MISCELLANEOUS | 700 | 643 | 57 | |
| d | STAFF DEVELOPMENT | 500 | 500 | | |
| e | All other expenses | | | | |
| 25 | Total functional expenses. Add lines 1 through 24e | 2,413,717 | 2,168,304 | 245,413 | 0 |
| 26 | Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720) | | | | |

Part X Balance Sheet

Check if Schedule O contains a response or note to any line in this Part X

| | | (A) | | (B) |
|---|---|--------------------|-----------|--------------------|
| | | Beginning of year | | End of year |
| Assets | 1 Cash—non-interest-bearing | | 1 | 129,396 |
| | 2 Savings and temporary cash investments | | 2 | |
| | 3 Pledges and grants receivable, net | | 3 | 89,561 |
| | 4 Accounts receivable, net | | 4 | 3,277 |
| | 5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees Complete Part II of Schedule L | | 5 | |
| | 6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) Complete Part II of Schedule L | | 6 | |
| | 7 Notes and loans receivable, net | | 7 | |
| | 8 Inventories for sale or use | | 8 | |
| | 9 Prepaid expenses and deferred charges | 31,112 | 9 | 5,239 |
| | 10a Land, buildings, and equipment cost or other basis Complete Part VI of Schedule D | 10a 311,351 | | |
| | b Less accumulated depreciation | 10b 50,196 | 55,677 | 10c 261,155 |
| | 11 Investments—publicly traded securities | | 11 | |
| | 12 Investments—other securities See Part IV, line 11 | | 12 | |
| | 13 Investments—program-related See Part IV, line 11 | | 13 | |
| | 14 Intangible assets | | 14 | |
| | 15 Other assets See Part IV, line 11 | 124,451 | 15 | 124,451 |
| 16 Total assets. Add lines 1 through 15 (must equal line 34) | 211,240 | 16 | 613,079 | |
| Liabilities | 17 Accounts payable and accrued expenses | | 17 | 63,851 |
| | 18 Grants payable | | 18 | |
| | 19 Deferred revenue | | 19 | |
| | 20 Tax-exempt bond liabilities | | 20 | |
| | 21 Escrow or custodial account liability Complete Part IV of Schedule D | | 21 | |
| | 22 Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons Complete Part II of Schedule L | | 22 | |
| | 23 Secured mortgages and notes payable to unrelated third parties | | 23 | |
| | 24 Unsecured notes and loans payable to unrelated third parties | | 24 | |
| | 25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24) Complete Part X of Schedule D | 223,314 | 25 | 61,147 |
| | 26 Total liabilities. Add lines 17 through 25 | 223,314 | 26 | 124,998 |
| Net Assets or Fund Balances | Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34. | | | |
| | 27 Unrestricted net assets | -12,074 | 27 | 488,081 |
| | 28 Temporarily restricted net assets | | 28 | |
| | 29 Permanently restricted net assets | | 29 | |
| | Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34. | | | |
| | 30 Capital stock or trust principal, or current funds | | 30 | |
| | 31 Paid-in or capital surplus, or land, building or equipment fund | | 31 | |
| | 32 Retained earnings, endowment, accumulated income, or other funds | | 32 | |
| 33 Total net assets or fund balances | -12,074 | 33 | 488,081 | |
| 34 Total liabilities and net assets/fund balances | 211,240 | 34 | 613,079 | |

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI

| | | |
|---|-----------|-----------|
| 1 Total revenue (must equal Part VIII, column (A), line 12) | 1 | 2,913,872 |
| 2 Total expenses (must equal Part IX, column (A), line 25) | 2 | 2,413,717 |
| 3 Revenue less expenses Subtract line 2 from line 1 | 3 | 500,155 |
| 4 Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A)) | 4 | -12,074 |
| 5 Net unrealized gains (losses) on investments | 5 | |
| 6 Donated services and use of facilities | 6 | |
| 7 Investment expenses | 7 | |
| 8 Prior period adjustments | 8 | |
| 9 Other changes in net assets or fund balances (explain in Schedule O) | 9 | 0 |
| 10 Net assets or fund balances at end of year Combine lines 3 through 9 (must equal Part X, line 33, column (B)) | 10 | 488,081 |

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII

| | | Yes | No |
|--|-----------|-----|----|
| 1 Accounting method used to prepare the Form 990 <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O | | | |
| 2a Were the organization's financial statements compiled or reviewed by an independent accountant? If 'Yes,' check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis | 2a | | No |
| b Were the organization's financial statements audited by an independent accountant? If 'Yes,' check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both <input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis | 2b | Yes | |
| c If "Yes," to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O | 2c | Yes | |
| 3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133? | 3a | | No |
| b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits | 3b | | |

**SCHEDULE A
(Form 990 or
990EZ)**

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ.

▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

2015

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

Name of the organization
CAPITAL PREP HARBOR SCHOOL INC

Employer identification number

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is (For lines 1 through 11, check only one box)

- 1 A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i)**.
- 2 A school described in **section 170(b)(1)(A)(ii)**. (Attach Schedule E (Form 990 or 990-EZ))
- 3 A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii)**.
- 4 A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii)**. Enter the hospital's name, city, and state _____
- 5 An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv)**. (Complete Part II)
- 6 A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v)**.
- 7 An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)**. (Complete Part II)
- 8 A community trust described in **section 170(b)(1)(A)(vi)** (Complete Part II)
- 9 An organization that normally receives (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975 See **section 509(a)(2)**. (Complete Part III)
- 10 An organization organized and operated exclusively to test for public safety See **section 509(a)(4)**.
- 11 An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2) See **section 509(a)(3)**. Check the box in lines 11a through 11d that describes the type of supporting organization and complete lines 11e, 11f, and 11g
 - a **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization **You must complete Part IV, Sections A and B.**
 - b **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s) **You must complete Part IV, Sections A and C.**
 - c **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions) **You must complete Part IV, Sections A, D, and E.**
 - d **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions) **You must complete Part IV, Sections A and D, and Part V.**
 - e Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization
 - f Enter the number of supported organizations _____
 - g Provide the following information about the supported organization(s)

| (i) Name of supported organization | (ii)EIN | (iii) Type of organization (described on lines 1- 9 above (see instructions)) | (iv) Is the organization listed in your governing document? | | (v) Amount of monetary support (see instructions) | (vi) Amount of other support (see instructions) |
|---------------------------------------|---------|---|--|----|--|--|
| | | | Yes | No | | |
| | | | | | | |
| Total | | | | | | |

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

| Calendar year (or fiscal year beginning in) ► | (a)2011 | (b)2012 | (c)2013 | (d)2014 | (e)2015 | (f)Total |
|--|---------|---------|---------|---------|---------|----------|
| 1 Gifts, grants, contributions, and membership fees received (Do not include any unusual grants.) | | | | | | |
| 2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf | | | | | | |
| 3 The value of services or facilities furnished by a governmental unit to the organization without charge | | | | | | |
| 4 Total. Add lines 1 through 3 | | | | | | |
| 5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) | | | | | | |
| 6 Public support. Subtract line 5 from line 4 | | | | | | |

Section B. Total Support

| Calendar year (or fiscal year beginning in) ► | (a)2011 | (b)2012 | (c)2013 | (d)2014 | (e)2015 | (f)Total |
|---|---------|---------|---------|---------|-----------|----------|
| 7 Amounts from line 4 | | | | | | |
| 8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources | | | | | | |
| 9 Net income from unrelated business activities, whether or not the business is regularly carried on | | | | | | |
| 10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) | | | | | | |
| 11 Total support. Add lines 7 through 10 | | | | | | |
| 12 Gross receipts from related activities, etc. (see instructions) | | | | | 12 | |
| 13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here <input type="checkbox"/> | | | | | | |

Section C. Computation of Public Support Percentage

| | | |
|---|-----------|--|
| 14 Public support percentage for 2015 (line 6, column (f) divided by line 11, column (f)) | 14 | |
| 15 Public support percentage for 2014 Schedule A, Part II, line 14 | 15 | |
| 16a 33 1/3% support test—2015. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization <input type="checkbox"/> | | |
| b 33 1/3% support test—2014. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization <input type="checkbox"/> | | |
| 17a 10%-facts-and-circumstances test—2015. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the facts-and-circumstances test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization <input type="checkbox"/> | | |
| b 10%-facts-and-circumstances test—2014. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization <input type="checkbox"/> | | |
| 18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions <input type="checkbox"/> | | |

Part III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

| Calendar year (or fiscal year beginning in) ► | (a)2011 | (b)2012 | (c)2013 | (d)2014 | (e)2015 | (f)Total |
|---|---------|---------|---------|---------|---------|----------|
| 1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.") | | | | | | |
| 2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose | | | | | | |
| 3 Gross receipts from activities that are not an unrelated trade or business under section 513 | | | | | | |
| 4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf | | | | | | |
| 5 The value of services or facilities furnished by a governmental unit to the organization without charge | | | | | | |
| 6 Total. Add lines 1 through 5 | | | | | | |
| 7a Amounts included on lines 1, 2, and 3 received from disqualified persons | | | | | | |
| b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year | | | | | | |
| c Add lines 7a and 7b | | | | | | |
| 8 Public support. (Subtract line 7c from line 6.) | | | | | | |

Section B. Total Support

| Calendar year (or fiscal year beginning in) ► | (a)2011 | (b)2012 | (c)2013 | (d)2014 | (e)2015 | (f)Total |
|---|---------|---------|---------|---------|---------|----------|
| 9 Amounts from line 6 | | | | | | |
| 10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources | | | | | | |
| b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 | | | | | | |
| c Add lines 10a and 10b | | | | | | |
| 11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on | | | | | | |
| 12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) | | | | | | |
| 13 Total support. (Add lines 9, 10c, 11, and 12.) | | | | | | |

14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** ▶

Section C. Computation of Public Support Percentage

| | | |
|--|-----------|--|
| 15 Public support percentage for 2015 (line 8, column (f) divided by line 13, column (f)) | 15 | |
| 16 Public support percentage from 2014 Schedule A, Part III, line 15 | 16 | |

Section D. Computation of Investment Income Percentage

| | | |
|--|-----------|--|
| 17 Investment income percentage for 2015 (line 10c, column (f) divided by line 13, column (f)) | 17 | |
| 18 Investment income percentage from 2014 Schedule A, Part III, line 17 | 18 | |

19a 33 1/3% support tests—2015. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization ▶

b 33 1/3% support tests—2014. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization ▶

20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ▶

Part IV Supporting Organizations

(Complete only if you checked a box on line 11 of Part I. If you checked 11a of Part I, complete Sections A and B. If you checked 11b of Part I, complete Sections A and C. If you checked 11c of Part I, complete Sections A, D, and E. If you checked 11d of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

| | Yes | No |
|--|-----|----|
| 1 Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>If "No," describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.</i> | | |
| 2 Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i> | | |
| 3a Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer (b) and (c) below.</i> | | |
| b Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? <i>If "Yes," describe in Part VI when and how the organization made the determination.</i> | | |
| c Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in Part VI what controls the organization put in place to ensure such use.</i> | | |
| 4a Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes" and if you checked 11a or 11b in Part I, answer (b) and (c) below.</i> | | |
| b Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.</i> | | |
| c Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? <i>If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.</i> | | |
| 5a Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed, (ii) the reasons for each such action, (iii) the authority under the organization's organizing document authorizing such action, and (iv) how the action was accomplished (such as by amendment to the organizing document).</i> | | |
| b Type I or Type II only. Was any added or substituted supported organization part of a class already designated in the organization's organizing document? | | |
| c Substitutions only. Was the substitution the result of an event beyond the organization's control? | | |
| 6 Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (a) its supported organizations, (b) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (c) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? <i>If "Yes," provide detail in Part VI.</i> | | |
| 7 Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in IRC 4958(c)(3)(C)), a family member of a substantial contributor, or a 35-percent controlled entity with regard to a substantial contributor? <i>If "Yes," complete Part I of Schedule L (Form 990).</i> | | |
| 8 Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? <i>If "Yes," complete Part II of Schedule L (Form 990).</i> | | |
| 9a Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? <i>If "Yes," provide detail in Part VI.</i> | | |
| b Did one or more disqualified persons (as defined in line 9(a)) hold a controlling interest in any entity in which the supporting organization had an interest? <i>If "Yes," provide detail in Part VI.</i> | | |
| c Did a disqualified person (as defined in line 9(a)) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? <i>If "Yes," provide detail in Part VI.</i> | | |
| 10a Was the organization subject to the excess business holdings rules of IRC 4943 because of IRC 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? <i>If "Yes," answer b below.</i> | | |
| b Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)</i> | | |
| 11 Has the organization accepted a gift or contribution from any of the following persons? | | |
| a A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization? | | |
| b A family member of a person described in (a) above? | | |
| c A 35% controlled entity of a person described in (a) or (b) above? <i>If "Yes" to a, b, or c, provide detail in Part VI.</i> | | |

Part IV Supporting Organizations (continued)**Section B. Type I Supporting Organizations**

- 1** Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? If "No," describe in **Part VI** how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.
- 2** Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If "Yes," explain in **Part VI** how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised or controlled the supporting organization.

| | Yes | No |
|----------|-----|----|
| 1 | | |
| 2 | | |

Section C. Type II Supporting Organizations

- 1** Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? If "No," describe in **Part VI** how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).

| | Yes | No |
|----------|-----|----|
| 1 | | |

Section D. All Type III Supporting Organizations

- 1** Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (1) a written notice describing the type and amount of support provided during the prior tax year, (2) a copy of the Form 990 that was most recently filed as of the date of notification, and (3) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?
- 2** Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? If "No," explain in **Part VI** how the organization maintained a close and continuous working relationship with the supported organization(s).
- 3** By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? If "Yes," describe in **Part VI** the role the organization's supported organizations played in this regard.

| | Yes | No |
|----------|-----|----|
| 1 | | |
| 2 | | |
| 3 | | |

Section E. Type III Functionally-Integrated Supporting Organizations

- 1** Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (**see instructions**)
- a** The organization satisfied the Activities Test. Complete **line 2** below.
- b** The organization is the parent of each of its supported organizations. Complete **line 3** below.
- c** The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions).
- 2** **Activities Test. Answer (a) and (b) below.**

- a** Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If "Yes," then in **Part VI identify those supported organizations and explain** how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.
- b** Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If "Yes," explain in **Part VI** the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.
- 3** **Parent of Supported Organizations. Answer (a) and (b) below.**
- a** Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? Provide details in Part VI.
- b** Did the organization exercise a substantial degree of direction over the policies, programs and activities of each of its supported organizations? If "Yes," describe in Part VI the role played by the organization in this regard.

| | Yes | No |
|-----------|-----|----|
| 2a | | |
| 2b | | |
| 3a | | |
| 3b | | |

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

- 1** Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov 20, 1970 **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E

Section A - Adjusted Net Income

- 1** Net short-term capital gain
- 2** Recoveries of prior-year distributions
- 3** Other gross income (see instructions)
- 4** Add lines 1 through 3
- 5** Depreciation and depletion
- 6** Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)
- 7** Other expenses (see instructions)
- 8** **Adjusted Net Income** (subtract lines 5, 6 and 7 from line 4)

| | (A) Prior Year | (B) Current Year (optional) |
|----------|----------------|-----------------------------|
| 1 | | |
| 2 | | |
| 3 | | |
| 4 | | |
| 5 | | |
| 6 | | |
| 7 | | |
| 8 | | |

Section B - Minimum Asset Amount

- 1** Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year)
- a** Average monthly value of securities
- b** Average monthly cash balances
- c** Fair market value of other non-exempt-use assets
- d** **Total** (add lines 1a, 1b, and 1c)
- e** **Discount** claimed for blockage or other factors (explain in detail in Part VI) _____
- 2** Acquisition indebtedness applicable to non-exempt use assets
- 3** Subtract line 2 from line 1d
- 4** Cash deemed held for exempt use Enter 1-1/2% of line 3 (for greater amount, see instructions)
- 5** Net value of non-exempt-use assets (subtract line 4 from line 3)
- 6** Multiply line 5 by .035
- 7** Recoveries of prior-year distributions
- 8** **Minimum Asset Amount** (add line 7 to line 6)

| | (A) Prior Year | (B) Current Year (optional) |
|-----------|----------------|-----------------------------|
| 1 | | |
| 1a | | |
| 1b | | |
| 1c | | |
| 1d | | |
| 2 | | |
| 3 | | |
| 4 | | |
| 5 | | |
| 6 | | |
| 7 | | |
| 8 | | |

Section C - Distributable Amount

- 1** Adjusted net income for prior year (from Section A, line 8, Column A)
- 2** Enter 85% of line 1
- 3** Minimum asset amount for prior year (from Section B, line 8, Column A)
- 4** Enter greater of line 2 or line 3
- 5** Income tax imposed in prior year
- 6** **Distributable Amount.** Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions)
- 7** Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions)

| | | Current Year |
|----------|--|--------------|
| 1 | | |
| 2 | | |
| 3 | | |
| 4 | | |
| 5 | | |
| 6 | | |

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)

| Section D - Distributions | Current Year |
|---|---------------------|
| 1 Amounts paid to supported organizations to accomplish exempt purposes | |
| 2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity | |
| 3 Administrative expenses paid to accomplish exempt purposes of supported organizations | |
| 4 Amounts paid to acquire exempt-use assets | |
| 5 Qualified set-aside amounts (prior IRS approval required) | |
| 6 Other distributions (describe in Part VI) See instructions | |
| 7 Total annual distributions. Add lines 1 through 6 | |
| 8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI) See instructions | |
| 9 Distributable amount for 2015 from Section C, line 6 | |
| 10 Line 8 amount divided by Line 9 amount | |

| Section E - Distribution Allocations (see instructions) | (i) Excess Distributions | (ii) Underdistributions Pre-2015 | (iii) Distributable Amount for 2015 |
|--|-------------------------------------|---|--|
| 1 Distributable amount for 2015 from Section C, line 6 | | | |
| 2 Underdistributions, if any, for years prior to 2015 (reasonable cause required--see instructions) | | | |
| 3 Excess distributions carryover, if any, to 2015 | | | |
| a | | | |
| b | | | |
| c | | | |
| d From 2013. _____ | | | |
| e From 2014. _____ | | | |
| f Total of lines 3a through e | | | |
| g Applied to underdistributions of prior years | | | |
| h Applied to 2015 distributable amount | | | |
| i Carryover from 2010 not applied (see instructions) | | | |
| j Remainder Subtract lines 3g, 3h, and 3i from 3f | | | |
| 4 Distributions for 2015 from Section D, line 7 | | | |
| \$ _____ | | | |
| a Applied to underdistributions of prior years | | | |
| b Applied to 2015 distributable amount | | | |
| c Remainder Subtract lines 4a and 4b from 4 | | | |
| 5 Remaining underdistributions for years prior to 2015, if any Subtract lines 3g and 4a from line 2 (if amount greater than zero, see instructions) | | | |
| 6 Remaining underdistributions for 2015 Subtract lines 3h and 4b from line 1 (if amount greater than zero, see instructions) | | | |
| 7 Excess distributions carryover to 2016. Add lines 3j and 4c | | | |
| 8 Breakdown of line 7 | | | |
| a | | | |
| b | | | |
| c Excess from 2013. _____ | | | |
| d From 2014. _____ | | | |
| e From 2015. _____ | | | |

Part VI Supplemental Information.

Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b; Part V, line 1; Part V, Section B, line 1e; Part V Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions).

| |
|-------------------------------------|
| Facts And Circumstances Test |
| |

| Return Reference | Explanation |
|------------------|-------------|
| | |

SCHEDULE D
(Form 990)

Supplemental Financial Statements

OMB No 1545-0047
2015
Open to Public Inspection

▶ Complete if the organization answered "Yes," on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.
▶ Attach to Form 990.

Information about Schedule D (Form 990) and its instructions is at www.irs.gov/form990.

Department of the Treasury
Internal Revenue Service

Name of the organization: CAPITAL PREP HARBOR SCHOOL INC
Employer identification number: [REDACTED]

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.
Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

| | (a) Donor advised funds | (b) Funds and other accounts |
|---|---|--|
| 1 | Total number at end of year | |
| 2 | Aggregate value of contributions to (during year) | |
| 3 | Aggregate value of grants from (during year) | |
| 4 | Aggregate value at end of year | |
| 5 | Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 6 | Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

Part II Conservation Easements. Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply):
 Preservation of land for public use (e.g., recreation or education) Preservation of an historically important land area
 Protection of natural habitat Preservation of a certified historic structure
 Preservation of open space

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year

| | Held at the End of the Year |
|---|--|
| a | Total number of conservation easements |
| b | Total acreage restricted by conservation easements |
| c | Number of conservation easements on a certified historic structure included in (a) |
| d | Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register |

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ _____

4 Number of states where property subject to conservation easement is located ▶ _____

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? Yes No

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ _____

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ \$ _____

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4) (B)(i) and section 170(h)(4)(B)(ii)? Yes No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.
Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items

(i) Revenue included on Form 990, Part VIII, line 1 ▶ \$ _____

(ii) Assets included in Form 990, Part X ▶ \$ _____

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items

a Revenue included on Form 990, Part VIII, line 1 ▶ \$ _____

b Assets included in Form 990, Part X ▶ \$ _____

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets

(continued)

- 3** Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply)
- a** Public exhibition
 - b** Scholarly research
 - c** Preservation for future generations
 - d** Loan or exchange programs
 - e** Other
- 4** Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII
- 5** During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? Yes No

Part IV Escrow and Custodial Arrangements.

Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

- 1a** Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? Yes No
- b** If "Yes," explain the arrangement in Part XIII and complete the following table
- | | Amount |
|--|-----------|
| c Beginning balance | 1c |
| d Additions during the year | 1d |
| e Distributions during the year | 1e |
| f Ending balance | 1f |
- 2a** Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? Yes No
- b** If "Yes," explain the arrangement in Part XIII Check here if the explanation has been provided in Part XIII

Part V Endowment Funds. Complete if the organization answered "Yes" to Form 990, Part IV, line 10.

| | (a) Current year | (b) Prior year | (c) Two years back | (d) Three years back | (e) Four years back |
|---|------------------|----------------|--------------------|----------------------|---------------------|
| 1a Beginning of year balance | | | | | |
| b Contributions | | | | | |
| c Net investment earnings, gains, and losses | | | | | |
| d Grants or scholarships | | | | | |
| e Other expenditures for facilities and programs | | | | | |
| f Administrative expenses | | | | | |
| g End of year balance | | | | | |

- 2** Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as
- a** Board designated or quasi-endowment ▶
 - b** Permanent endowment ▶
 - c** Temporarily restricted endowment ▶
- The percentages on lines 2a, 2b, and 2c should equal 100%
- 3a** Are there endowment funds not in the possession of the organization that are held and administered for the organization by
- | | Yes | No |
|--|---------------|----|
| (i) unrelated organizations | 3a(i) | |
| (ii) related organizations | 3a(ii) | |
| b If "Yes" on 3a(ii), are the related organizations listed as required on Schedule R? | 3b | |
- 4** Describe in Part XIII the intended uses of the organization's endowment funds

Part VI Land, Buildings, and Equipment.

Complete if the organization answered 'Yes' to Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

| Description of property | (a) Cost or other basis (investment) | (b) Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value |
|--|--------------------------------------|---------------------------------|------------------------------|----------------|
| 1a Land | | | | |
| b Buildings | | | | |
| c Leasehold improvements | | 83,040 | 7,231 | 75,809 |
| d Equipment | | 228,311 | 42,965 | 185,346 |
| e Other | | | | |
| Total. Add lines 1a through 1e (Column (d) must equal Form 990, Part X, column (B), line 10(c)) ▶ | | | | 261,155 |

Part VII Investments—Other Securities. Complete if the organization answered 'Yes' on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

Table with 3 columns: (a) Description of security or category, (b) Book value, (c) Method of valuation. Includes rows for Financial derivatives, Closely-held equity interests, and Other.

Part VIII Investments—Program Related. Complete if the organization answered 'Yes' on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

Table with 3 columns: (a) Description of investment, (b) Book value, (c) Method of valuation.

Part IX Other Assets. Complete if the organization answered 'Yes' on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

Table with 2 columns: (a) Description, (b) Book value. Includes row for SECURITY DEPOSITS with value 124,451.

Part X Other Liabilities. Complete if the organization answered 'Yes' on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

Table with 2 columns: (a) Description of liability, (b) Book value. Includes rows for Federal income taxes and DEFERRED RENT with value 61,147.

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

| | | | | |
|----------|---|-----------|-----------|-----------|
| 1 | Total revenue, gains, and other support per audited financial statements | | 1 | 3,445,286 |
| 2 | Amounts included on line 1 but not on Form 990, Part VIII, line 12 | | | |
| a | Net unrealized gains (losses) on investments | 2a | | |
| b | Donated services and use of facilities | 2b | 531,414 | |
| c | Recoveries of prior year grants | 2c | | |
| d | Other (Describe in Part XIII) | 2d | | |
| e | Add lines 2a through 2d | | 2e | 531,414 |
| 3 | Subtract line 2e from line 1 | | 3 | 2,913,872 |
| 4 | Amounts included on Form 990, Part VIII, line 12, but not on line 1 | | | |
| a | Investment expenses not included on Form 990, Part VIII, line 7b | 4a | | |
| b | Other (Describe in Part XIII) | 4b | | |
| c | Add lines 4a and 4b | | 4c | 0 |
| 5 | Total revenue Add lines 3 and 4c . (This must equal Form 990, Part I, line 12) | | 5 | 2,913,872 |

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

| | | | | |
|----------|--|-----------|-----------|-----------|
| 1 | Total expenses and losses per audited financial statements | | 1 | 2,957,205 |
| 2 | Amounts included on line 1 but not on Form 990, Part IX, line 25 | | | |
| a | Donated services and use of facilities | 2a | 531,414 | |
| b | Prior year adjustments | 2b | | |
| c | Other losses | 2c | | |
| d | Other (Describe in Part XIII) | 2d | 12,074 | |
| e | Add lines 2a through 2d | | 2e | 543,488 |
| 3 | Subtract line 2e from line 1 | | 3 | 2,413,717 |
| 4 | Amounts included on Form 990, Part IX, line 25, but not on line 1 : | | | |
| a | Investment expenses not included on Form 990, Part VIII, line 7b | 4a | | |
| b | Other (Describe in Part XIII) | 4b | | |
| c | Add lines 4a and 4b | | 4c | 0 |
| 5 | Total expenses Add lines 3 and 4c . (This must equal Form 990, Part I, line 18) | | 5 | 2,413,717 |

Part XIII Supplemental Information

Provide the descriptions required for Part II, lines 3, 5, and 9, Part III, lines 1a and 4, Part IV, lines 1b and 2b, Part V, line 4, Part X, line 2, Part XI, lines 2d and 4b, and Part XII, lines 2d and 4b Also complete this part to provide any additional information

| Return Reference | Explanation |
|------------------|---|
| PART X, LINE 2 | THE SCHOOL'S ACCOUNTING POLICY PROVIDES THAT A TAX EXPENSE OR BENEFIT FROM AN UNCERTAIN TAX POSITION MAY BE RECOGNIZED WHEN IT IS MORE LIKELY THAN NOT THAT THE POSITION WILL BE SUSTAINED UPON EXAMINATION, INCLUDING RESOLUTIONS OF ANY RELATED APPEALS OR LITIGATION PROCESSES, BASED ON THE TECHNICAL MERITS THE SCHOOL HAS NO UNCERTAIN TAX POSITION RESULTING IN AN ACCRUAL OF TAX EXPENSE OR BENEFIT IRS FORMS 990 FILED BY THE SCHOOL ARE SUBJECT TO EXAMINATION BY THE INTERNAL REVENUE SERVICE UP TO THREE YEARS FROM THE EXTENDED DUE DATE OF EACH RETURN ALL FORMS 990 FILED BY THE SCHOOL ARE SUBJECT TO EXAMINATION |

Part XIII Supplemental Information *(continued)*

| Return Reference | Explanation |
|------------------|-------------|
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |

**SCHEDULE E
(Form 990 or
990-EZ)**

Schools

OMB No 1545-0047

2015

**Open to Public
Inspection**

▶ Complete if the organization answered "Yes" on Form 990,
Part IV, line 13, or Form 990-EZ, Part VI, line 48.

▶ Attach to Form 990 or Form 990-EZ.

▶ Information about Schedule E (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

Department of the
Treasury
Internal Revenue
Service

Name of the organization
CAPITAL PREP HARBOR SCHOOL INC

Employer identification number
[REDACTED]

Part I

1 Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body?

| | YES | NO |
|----------|-----|----|
| 1 | Yes | |

2 Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships?

| | | |
|----------|-----|--|
| 2 | Yes | |
|----------|-----|--|

3 Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe. If "No," please explain. If you need more space use Part II.

| | | |
|----------|--|----|
| 3 | | No |
|----------|--|----|

4 Does the organization maintain the following?

- a** Records indicating the racial composition of the student body, faculty, and administrative staff?
- b** Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis?
- c** Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships?
- d** Copies of all material used by the organization or on its behalf to solicit contributions?

| | | |
|-----------|-----|--|
| 4a | Yes | |
| 4b | Yes | |
| 4c | Yes | |
| 4d | Yes | |

If you answered "No" to any of the above, please explain. If you need more space, use Part II.

5 Does the organization discriminate by race in any way with respect to

- a** Students' rights or privileges?
- b** Admissions policies?
- c** Employment of faculty or administrative staff?
- d** Scholarships or other financial assistance?
- e** Educational policies?
- f** Use of facilities?
- g** Athletic programs?
- h** Other extracurricular activities?

| | | |
|-----------|--|----|
| 5a | | No |
| 5b | | No |
| 5c | | No |
| 5d | | No |
| 5e | | No |
| 5f | | No |
| 5g | | No |
| 5h | | No |

If you answered "Yes" to any of the above, please explain. If you need more space, use Part II.

6a Does the organization receive any financial aid or assistance from a governmental agency?

| | | |
|-----------|-----|--|
| 6a | Yes | |
|-----------|-----|--|

b Has the organization's right to such aid ever been revoked or suspended?

| | | |
|-----------|--|----|
| 6b | | No |
|-----------|--|----|

If you answered "Yes" to either line 6a or line 6b, explain on Part II.

7 Does the organization certify that it has complied with the applicable requirements of sections 4 01 through 4 05 of Rev Proc 75-50, 1975-2 C B 587, covering racial nondiscrimination? If "No," explain on Part II.

| | | |
|----------|-----|--|
| 7 | Yes | |
|----------|-----|--|

Part II Supplemental Information.

Provide the explanations required by Part I, lines 3, 4d, 5h, 6b, and 7, as applicable. Also provide any other additional information (see instructions).

| Return Reference | Explanation |
|----------------------------|--|
| SCHEDULE E, PART I, LINE 3 | AS A PUBLIC SCHOOL, SUBJECT TO OPEN ENROLLMENT, THE CHARTER SCHOOL IS NOT SUBJECT TO THE SPECIFIC GUIDELINES SET FORTH IN REV PROV 75-50 |
| SCHEDULE E, PART I, LINE 6 | THE SCHOOL RECEIVES PER PUPIL FUNDING FROM THE NYC DEPARTMENT OF EDUCATION UNDER THEIR CHARTER AGREEMENT. THE SCHOOL ALSO RECEIVES VARIOUS FEDERAL, STATE, AND CITY FUNDS INCLUDING FEDERAL ENTITLEMENTS TO ASSIST WITH COVERING THE COST OF CERTAIN PROGRAMS. |

**SCHEDULE O
(Form 990 or
990-EZ)**

Department of the
Treasury
Internal Revenue
Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on
Form 990 or 990-EZ or to provide any additional information.
▶ Attach to Form 990 or 990-EZ.
▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at
www.irs.gov/form990.

2015

**Open to Public
Inspection**

Name of the organization
CAPITAL PREP HARBOR SCHOOL INC

Employer identification number



990 Schedule O, Supplemental Information

| Return Reference | Explanation |
|---------------------------------------|--|
| FORM 990, PART VI, SECTION A, LINE 3 | THE SCHOOL ENTERED INTO A SERVICE AGREEMENT WITH CAPITAL PREPARATORY SCHOOLS, INC , A CONNECTICUT, NON-STOCK CORPORATION, TO UNDERTAKE, ON ITS BEHALF, FUNCTIONS IN REGARDS TO BUSINESS, ADMINSTRATIVE, AND ACADEMIC SERVICES OF THE SCHOOL FOR THE PERIOD FROM SEPTEMBER 5, 2014 TO JUNE 30, 2016, THE SCHOOL INCURRED \$273,900 IN MANAGEMENT FEES CPS FORGAVE THE SCHOOL THE TOTAL AMOUNT DUE PRIOR TO JUNE 30, 2016 DR STEVE PERRY , IS AN OFFICER OF THE MANAGEMENT ORGANIZATION, CAPITAL PREPARATORY SCHOOLS, INC IN 2015 CPS PAID DR STEVE PERRY , CEO OF CPS BASE SALARY IN THE AMOUNT OF \$75,000 |
| FORM 990, PART VI, SECTION B, LINE 11 | CAPITAL PREP HARBOR SCHOOL, INC HAS ITS FORM 990 PREPARED BY AN OUTSIDE ACCOUNTING FIRM AND HAVE ESTABLISHED THE FOLLOWING REVIEW PROCESS TO ENSURE THAT THE INFORMATION REPORTED IS COMPLETE AND ACCURATE WHEN THE FORM 990 HAS BEEN PREPARED, REVIEWED BY MANAGEMENT AND IS READY TO BE FILED WITH THE INTERNAL REVENUE SERVICE, IT IS ELECTRONICALLY SENT TO THE BOARD MEMBERS OF THE ORGANIZATION FOR ANY COMMENTS ANY COMMENTS ARE THEN GROUPED, SUMMARIZED AND PROVIDED TO THE OUTSIDE ACCOUNTANTS EACH ISSUE IS DOCUMENTED AND ADDRESSED UNTIL THE RETURN IS FINALIZED AND APPROVED FOR FILING |

990 Schedule O, Supplemental Information

| Return Reference | Explanation |
|--|---|
| FORM 990, PART VI, SECTION B, LINE 12C | THE SCHOOL SHARES ITS CONFLICT OF INTEREST POLICY WITH BOARD MEMBERS AND OFFICERS AS PART OF THEIR REGULAR MEETINGS OFFICERS, DIRECTORS, AND KEY EMPLOYEES ARE EXPECTED TO DECLARE IF AT ANY POINT A CONFLICT OF INTEREST ARISES AND THE INTERESTED PERSON SHALL EXCUSE THEMSELVES FROM BOARD DISCUSSION AND ABSTAIN FROM VOTING ON THE POTENTIAL CONFLICT IN ADDITION, THE BOARD OF TRUSTEES SIGN AN ANNUAL CONFLICT OF INTEREST DISCLOSURE FORM |
| FORM 990, PART VI, SECTION B, LINE 15 | THE ORGANIZATION RETAINED AN INDEPENDENT CONSULTANT TO PRESENT TO THE CMO SALARIES OF SIMILAR ORGANIZATIONS FOR A RANGE OF POSITIONS TO BE REPORTED TO THE SCHOOLS |

990 Schedule O, Supplemental Information

| Return Reference | Explanation |
|---------------------------------------|---|
| FORM 990, PART VI, SECTION C, LINE 19 | THE ORGANIZATION MAKES ITS FORM 990 AVAILABLE FOR PUBLIC INSPECTION AS REQUIRED UNDER SECTION 6104 OF THE INTERNAL REVENUE CODE. THE RETURN IS POSTED ON GUIDESTAR.ORG. IN ADDITION, THE FINANCIAL STATEMENTS, CONFLICT OF INTEREST POLICY, ARTICLES OF INCORPORATION AND BY-LAWS ARE ALSO AVAILABLE UPON WRITTEN REQUEST AT 777 MAIN STREET, BRIDGEPORT, CT 06604, OR BY CALLING THE ORGANIZATION DIRECTLY AT (475)722-5900. |
| FORM 990, PART XII, LINE 2C | THE CAPITAL PREPARATORY HARBOR SCHOOL, INC. BOARD ASSUMES RESPONSIBILITY FOR THE OVERSIGHT OF THE AUDIT OF ITS FINANCIAL STATEMENTS AND SELECTION OF ITS INDEPENDENT AUDITOR. |

Form **8879-EO**

IRS e-file Signature Authorization for an Exempt Organization

OMB No. 1545-1878

For calendar year 2016, or fiscal year beginning JUL 1, 2016, and ending JUN 30, 2017

2016

Department of the Treasury
Internal Revenue Service

▶ **Do not send to the IRS. Keep for your records.**

▶ **Information about Form 8879-EO and its instructions is at www.irs.gov/form8879eo.**

Name of exempt organization

Employer identification number

CAPITAL PREP HARBOR SCHOOL INC



Name and title of officer

**RICHARDO GRIFFITH
PRINCIPAL OFFICER**

Part I Type of Return and Return Information (Whole Dollars Only)

Check the box for the return for which you are using this Form 8879-EO and enter the applicable amount, if any, from the return. If you check the box on line **1a, 2a, 3a, 4a, or 5a**, below, and the amount on that line for the return being filed with this form was blank, then leave line **1b, 2b, 3b, 4b, or 5b**, whichever is applicable, blank (do not enter -0-). But, if you entered -0- on the return, then enter -0- on the applicable line below. **Do not** complete more than 1 line in Part I.

| | | |
|---|--|-----------------------------|
| 1a Form 990 check here ▶ <input checked="" type="checkbox"/> | b Total revenue , if any (Form 990, Part VIII, column (A), line 12) | 1b <u>2,995,103.</u> |
| 2a Form 990-EZ check here ▶ <input type="checkbox"/> | b Total revenue , if any (Form 990-EZ, line 9) | 2b _____ |
| 3a Form 1120-POL check here ▶ <input type="checkbox"/> | b Total tax (Form 1120-POL, line 22) | 3b _____ |
| 4a Form 990-PF check here ▶ <input type="checkbox"/> | b Tax based on investment income (Form 990-PF, Part VI, line 5) | 4b _____ |
| 5a Form 8868 check here ▶ <input type="checkbox"/> | b Balance Due (Form 8868, line 3c) | 5b _____ |

Part II Declaration and Signature Authorization of Officer

Under penalties of perjury, I declare that I am an officer of the above organization and that I have examined a copy of the organization's 2016 electronic return and accompanying schedules and statements and to the best of my knowledge and belief, they are true, correct, and complete. I further declare that the amount in Part I above is the amount shown on the copy of the organization's electronic return. I consent to allow my intermediate service provider, transmitter, or electronic return originator (ERO) to send the organization's return to the IRS and to receive from the IRS (a) an acknowledgement of receipt or reason for rejection of the transmission, (b) the reason for any delay in processing the return or refund, and (c) the date of any refund. If applicable, I authorize the U.S. Treasury and its designated Financial Agent to initiate an electronic funds withdrawal (direct debit) entry to the financial institution account indicated in the tax preparation software for payment of the organization's federal taxes owed on this return, and the financial institution to debit the entry to this account. To revoke a payment, I must contact the U.S. Treasury Financial Agent at 1-888-353-4537 no later than 2 business days prior to the payment (settlement) date. I also authorize the financial institutions involved in the processing of the electronic payment of taxes to receive confidential information necessary to answer inquiries and resolve issues related to the payment. I have selected a personal identification number (PIN) as my signature for the organization's electronic return and, if applicable, the organization's consent to electronic funds withdrawal.

Officer's PIN: check one box only

I authorize PKF O'CONNOR DAVIES, LLP to enter my PIN 25777
ERO firm name Enter five numbers, but do not enter all zeros

as my signature on the organization's tax year 2016 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I also authorize the aforementioned ERO to enter my PIN on the return's disclosure consent screen.

As an officer of the organization, I will enter my PIN as my signature on the organization's tax year 2016 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I will enter my PIN on the return's disclosure consent screen.

Officer's signature ▶ _____ Date ▶ _____

Part III Certification and Authentication

ERO's EFIN/PIN. Enter your six-digit electronic filing identification number (EFIN) followed by your five-digit self-selected PIN.

26242303218
do not enter all zeros

I certify that the above numeric entry is my PIN, which is my signature on the 2016 electronically filed return for the organization indicated above. I confirm that I am submitting this return in accordance with the requirements of **Pub. 4163**, Modernized e-File (MeF) Information for Authorized IRS e-file Providers for Business Returns.

ERO's signature ▶ PKF O'CONNOR DAVIES, LLP Date ▶ 05/15/18

**ERO Must Retain This Form - See Instructions
Do Not Submit This Form To the IRS Unless Requested To Do So**

LHA For Paperwork Reduction Act Notice, see instructions.

Form **8879-EO** (2016)

623051 09-26-16

Form **990**

Return of Organization Exempt From Income Tax

OMB No. 1545-0047

Department of the Treasury
Internal Revenue Service

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

Do not enter social security numbers on this form as it may be made public.

Information about Form 990 and its instructions is at www.irs.gov/form990.

2016
Open to Public Inspection

A For the 2016 calendar year, or tax year beginning **JUL 1, 2016** and ending **JUN 30, 2017**

| | | |
|--|---|---|
| B Check if applicable: <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Final return/terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending | C Name of organization CAPITAL PREP HARBOR SCHOOL INC Doing business as Number and street (or P.O. box if mail is not delivered to street address) Room/suite City or town, state or province, country, and ZIP or foreign postal code BRIDGEPORT, CT 06604 F Name and address of principal officer: RICHARDO GRIFFITH SAME AS C ABOVE | D Employer identification number 47-3525777 E Telephone number Gross receipts \$ 2,995,103. H(a) Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No H(b) Are all subordinates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list. (see instructions) H(c) Group exemption number ▶ |
| I Tax-exempt status: <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) () (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527 | | |
| J Website: ▶ WWW.CAPITALPREPHARBOR.ORG | | |
| K Form of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶ | | |
| L Year of formation: 2014 | | M State of legal domicile: CT |

Part I Summary

| | | | | |
|------------------------------------|----------------|--|---|--------------------|
| | 1 | Briefly describe the organization's mission or most significant activities: THE SCHOOL PROVIDES ITS STUDENTS WITH A YEAR-ROUND, COLLEGE PREPARATORY EDUCATION THAT DEVELOPS | | |
| | 2 | Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets. | | |
| Activities & Governance | 3 | Number of voting members of the governing body (Part VI, line 1a) | 3 | 7 |
| | 4 | Number of independent voting members of the governing body (Part VI, line 1b) | 4 | 7 |
| | 5 | Total number of individuals employed in calendar year 2016 (Part V, line 2a) | 5 | 43 |
| | 6 | Total number of volunteers (estimate if necessary) | 6 | 10 |
| | 7a | Total unrelated business revenue from Part VIII, column (C), line 12 | 7a | 0. |
| | 7b | Net unrelated business taxable income from Form 990-T, line 34 | 7b | 0. |
| | Revenue | 8 | Contributions and grants (Part VIII, line 1h) | Prior Year |
| 9 | | Program service revenue (Part VIII, line 2g) | 109,996. | 150,853. |
| 10 | | Investment income (Part VIII, column (A), lines 3, 4, and 7d) | 2,803,511. | 2,844,250. |
| 11 | | Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) | 0. | 0. |
| 12 | | Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) | 365. | 0. |
| 12 | | | 2,913,872. | 2,995,103. |
| Expenses | 13 | Grants and similar amounts paid (Part IX, column (A), lines 1-3) | 0. | 0. |
| | 14 | Benefits paid to or for members (Part IX, column (A), line 4) | 0. | 0. |
| | 15 | Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10) | 1,706,220. | 1,813,715. |
| | 16a | Professional fundraising fees (Part IX, column (A), line 11e) | 0. | 0. |
| | b | Total fundraising expenses (Part IX, column (D), line 25) ▶ 3,839. | | |
| | 17 | Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) | 707,497. | 1,350,977. |
| | 18 | Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) | 2,413,717. | 3,164,692. |
| | 19 | Revenue less expenses. Subtract line 18 from line 12 | 500,155. | -169,589. |
| Net Assets or Fund Balances | 20 | Total assets (Part X, line 16) | Beginning of Current Year | End of Year |
| | 21 | Total liabilities (Part X, line 26) | 613,079. | 875,276. |
| | 22 | Net assets or fund balances. Subtract line 21 from line 20 | 124,998. | 556,784. |
| | 22 | | 488,081. | 318,492. |

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

| | | | | | |
|-------------------------------|---|---|-------------------------|---|--------------------------|
| Sign Here | Signature of officer RICHARDO GRIFFITH, PRINCIPAL OFFICER Type or print name and title | Date _____ | | | |
| Paid Preparer Use Only | Print/Type preparer's name GARRETT M. HIGGINS | Preparer's signature GARRETT M. HIGGINS | Date 05/15/18 | Check if self-employed <input type="checkbox"/> | PTIN P00543209 |
| | Firm's name ▶ PKF O'CONNOR DAVIES, LLP | Firm's EIN ▶ 27-1728945 | | | |
| | Firm's address ▶ NEW YORK, NY 10022 | Phone no. _____ | | | |

May the IRS discuss this return with the preparer shown above? (see instructions) Yes No

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III

1 Briefly describe the organization's mission: THE SCHOOL OPERATES A CHARTER SCHOOL IN BRIDGEPORT CONNECTICUT, PROVIDING ITS STUDENTS WITH A YEAR-ROUND, COLLEGE PREPARATORY EDUCATION THAT DEVELOPS LIFELONG LEARNERS, LEADERS, AND AGENTS OF SOCIAL CHANGE.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? Yes No

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? Yes No

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses.

4a (Code:) (Expenses \$ 2,685,814. including grants of \$) (Revenue \$ 2,844,250.) THE SCHOOL'S PROVIDES ITS STUDENTS WITH A YEAR-ROUND, COLLEGE PREPARATORY EDUCATION THAT DEVELOPS LIFELONG LEARNERS, LEADERS, AND AGENTS OF SOCIAL CHANGE. SERVING AS THE ANCHOR FOR STUDENT DEVELOPMENT, THE SCHOOL'S EDUCATORS PROVIDE AN EDUCATIONAL ENVIRONMENT THAT CREATES OPPORTUNITIES FOR ALL STUDENTS TO REALIZE AND FULFILL THEIR ACADEMIC, SOCIAL, AND CIVIC RESPONSIBILITIES. THE SCHOOL PROVIDED EDUCATION TO APPROXIMATELY 250 STUDENTS IN GRADES SIXTH THROUGH TWELFTH DURING THE 2016-2017 ACADEMIC YEAR.

4b (Code:) (Expenses \$ including grants of \$) (Revenue \$)

4c (Code:) (Expenses \$ including grants of \$) (Revenue \$)

4d Other program services (Describe in Schedule O.) (Expenses \$ including grants of \$) (Revenue \$)

4e Total program service expenses 2,685,814.

Part IV Checklist of Required Schedules

| | Yes | No |
|---|-----|----|
| 1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A</i> | X | |
| 2 Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> ? | | X |
| 3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i> | | X |
| 4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i> | | X |
| 5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III</i> | | X |
| 6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I</i> | | X |
| 7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i> | | X |
| 8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i> | | X |
| 9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV</i> | | X |
| 10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V</i> | | X |
| 11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable. | | |
| a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI</i> | X | |
| b Did the organization report an amount for investments - other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII</i> | | X |
| c Did the organization report an amount for investments - program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII</i> | | X |
| d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX</i> | X | |
| e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i> | X | |
| f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X</i> | X | |
| 12a Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i> | X | |
| b Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i> | | X |
| 13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i> | X | |
| 14a Did the organization maintain an office, employees, or agents outside of the United States? | | X |
| b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? <i>If "Yes," complete Schedule F, Parts I and IV</i> | | X |
| 15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? <i>If "Yes," complete Schedule F, Parts II and IV</i> | | X |
| 16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? <i>If "Yes," complete Schedule F, Parts III and IV</i> | | X |
| 17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i> | | X |
| 18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i> | | X |
| 19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i> | | X |

Part IV Checklist of Required Schedules (continued)

| | Yes | No |
|--|-----|----|
| 20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i> | | X |
| b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return? | | |
| 21 Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i> | | X |
| 22 Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i> | | X |
| 23 Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i> | | X |
| 24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a</i> | | X |
| b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? | | |
| c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? | | |
| d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? | | |
| 25a Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i> | | X |
| b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i> | | X |
| 26 Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? <i>If "Yes," complete Schedule L, Part II</i> | | X |
| 27 Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III</i> | | X |
| 28 Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions): | | |
| a A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> | | X |
| b A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> | | X |
| c An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV</i> | | X |
| 29 Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i> | | X |
| 30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i> | | X |
| 31 Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i> | | X |
| 32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i> | | X |
| 33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i> | | X |
| 34 Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1</i> | | X |
| 35a Did the organization have a controlled entity within the meaning of section 512(b)(13)? | | X |
| b If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2</i> | | |
| 36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i> | | X |
| 37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i> | | X |
| 38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? Note. All Form 990 filers are required to complete Schedule O | X | |

Part V Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response or note to any line in this Part V

Table with columns for question numbers (1a-14b), Yes/No checkboxes, and numerical input fields. Includes questions about Form 1096, Form W-2G, Form W-3, Form 990-T, Form 8886-T, Form 8899, Form 1098-C, Form 990, Form 1041, and Form 720.

Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI [X]

Section A. Governing Body and Management

Table with 3 columns: Question, Yes, No. Rows include: 1a Enter the number of voting members of the governing body at the end of the tax year; 1b Enter the number of voting members included in line 1a, above, who are independent; 2 Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?; 3 Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person?; 4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?; 5 Did the organization become aware during the year of a significant diversion of the organization's assets?; 6 Did the organization have members or stockholders?; 7a Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?; 7b Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?; 8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following: a The governing body? b Each committee with authority to act on behalf of the governing body?; 9 Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O.

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

Table with 3 columns: Question, Yes, No. Rows include: 10a Did the organization have local chapters, branches, or affiliates?; 10b If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?; 11a Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?; 11b Describe in Schedule O the process, if any, used by the organization to review this Form 990.; 12a Did the organization have a written conflict of interest policy? If "No," go to line 13; 12b Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?; 12c Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done; 13 Did the organization have a written whistleblower policy?; 14 Did the organization have a written document retention and destruction policy?; 15 Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?; 15a The organization's CEO, Executive Director, or top management official; 15b Other officers or key employees of the organization; 16a Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?; 16b If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?

Section C. Disclosure

- 17 List the states with which a copy of this Form 990 is required to be filed NONE
18 Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply. [] Own website [] Another's website [X] Upon request [] Other (explain in Schedule O)
19 Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.
20 State the name, address, and telephone number of the person who possesses the organization's books and records: RICHARDO GRIFFITH - BRIDGEPORT, CT 06604

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

Check if Schedule O contains a response or note to any line in this Part VII

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

| (A) Name and Title | (B) Average hours per week (list any hours for related organizations below line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W-2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|--|-----------------------|---------|--------------|------------------------------|--------|--|---|---|
| | | Individual trustee or director | Institutional trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| (1) RICHARD GRIFFITH BOARD CHAIR (AFTER 07/2016) | 2.00 | X | | X | | | | 0. | 0. | 0. |
| (2) TERESA WILSON BOARD CHAIR (THRU 07/2016) | 2.00 | X | | X | | | | 0. | 0. | 0. |
| (3) ROBERT MORTON VICE CHAIR | 2.00 | X | | X | | | | 0. | 0. | 0. |
| (4) SHANTE HANKS TREASURER | 2.00 | X | | X | | | | 0. | 0. | 0. |
| (5) GWENDOLYN BRANTLEY SECRETARY | 2.00 | X | | X | | | | 0. | 0. | 0. |
| (6) KENNETH MOALES, JR. MEMBER | 2.00 | X | | | | | | 0. | 0. | 0. |
| (7) NATASHA RIVERS MEMBER | 2.00 | X | | | | | | 0. | 0. | 0. |
| (8) BEN WALKER MEMBER (THRU 07/2016) | 2.00 | X | | | | | | 0. | 0. | 0. |
| (9) SAMARIS SMITH MEMBER | 2.00 | X | | | | | | 0. | 0. | 0. |
| (10) SAMARIS ROSE MEMBER (THRU 07/2016) | 2.00 | X | | | | | | 0. | 0. | 0. |
| (11) RICHARD BEGANSKI PRINCIPAL | 55.00 | | | X | | | | 122,331. | 0. | 18,858. |
| (12) DR. STEVE PERRY EXECUTIVE DIRECTOR | 35.00 | | | X | | | | 0. | 0. | 0. |
| | | | | | | | | | | |
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Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

| (A) Name and title | (B) Average hours per week (list any hours for related organizations below line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W-2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|--|---|---|-----------------------|---------|--------------|------------------------------|----------|--|---|---|
| | | Individual trustee or director | Institutional trustee | Officer | Key employee | Highest compensated employee | Former | | | |
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| | | | | | | | | | | |
| 1b Sub-total | | | | | | | 122,331. | 0. | 18,858. | |
| c Total from continuation sheets to Part VII, Section A | | | | | | | 0. | 0. | 0. | |
| d Total (add lines 1b and 1c) | | | | | | | 122,331. | 0. | 18,858. | |

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization 1

| | Yes | No |
|--|-----|----|
| 3 Did the organization list any former officer, director, or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i> | | X |
| 4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <i>If "Yes," complete Schedule J for such individual</i> | | X |
| 5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i> | | X |

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

| (A) Name and business address | (B) Description of services | (C) Compensation |
|----------------------------------|--------------------------------|---------------------|
| NONE | | |
| | | |
| | | |
| | | |
| | | |

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization 0

Part VIII Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII

| | | | (A) | (B) | (C) | (D) | |
|---|---|---|---------------|------------------------------------|----------------------------|--|--|
| | | | Total revenue | Related or exempt function revenue | Unrelated business revenue | Revenue excluded from tax under sections 512 - 514 | |
| Contributions, Gifts, Grants and Other Similar Amounts | 1 a Federated campaigns | 1a | | | | | |
| | b Membership dues | 1b | | | | | |
| | c Fundraising events | 1c | | | | | |
| | d Related organizations | 1d | | | | | |
| | e Government grants (contributions) | 1e | 146,058. | | | | |
| | f All other contributions, gifts, grants, and similar amounts not included above | 1f | 4,795. | | | | |
| | g Noncash contributions included in lines 1a-1f: \$ | | | | | | |
| | h Total. Add lines 1a-1f | | | 150,853. | | | |
| Program Service Revenue | 2 a <u>GOV'T PER-PUPIL REV.</u> | Business Code 611000 | 2,844,250. | 2,844,250. | | | |
| | b | | | | | | |
| | c | | | | | | |
| | d | | | | | | |
| | e | | | | | | |
| | f All other program service revenue | | | | | | |
| | g Total. Add lines 2a-2f | | | 2,844,250. | | | |
| Other Revenue | 3 Investment income (including dividends, interest, and other similar amounts) | | | | | | |
| | 4 Income from investment of tax-exempt bond proceeds | | | | | | |
| | 5 Royalties | | | | | | |
| | 6 a Gross rents | (i) Real | (ii) Personal | | | | |
| | | b Less: rental expenses | | | | | |
| | | c Rental income or (loss) | | | | | |
| | | d Net rental income or (loss) | | | | | |
| | 7 a Gross amount from sales of assets other than inventory | (i) Securities | (ii) Other | | | | |
| | | b Less: cost or other basis and sales expenses | | | | | |
| | | c Gain or (loss) | | | | | |
| | | d Net gain or (loss) | | | | | |
| | 8 a Gross income from fundraising events (not including \$ _____ of contributions reported on line 1c). See Part IV, line 18 | a | | | | | |
| | | b Less: direct expenses | b | | | | |
| | | c Net income or (loss) from fundraising events | | | | | |
| | 9 a Gross income from gaming activities. See Part IV, line 19 | a | | | | | |
| b Less: direct expenses | | b | | | | | |
| c Net income or (loss) from gaming activities | | | | | | | |
| 10 a Gross sales of inventory, less returns and allowances | a | | | | | | |
| | b Less: cost of goods sold | b | | | | | |
| | c Net income or (loss) from sales of inventory | | | | | | |
| Miscellaneous Revenue | | Business Code | | | | | |
| 11 a | | | | | | | |
| | b | | | | | | |
| | c | | | | | | |
| | d All other revenue | | | | | | |
| | e Total. Add lines 11a-11d | | | | | | |
| 12 Total revenue. See instructions. | | | 2,995,103. | 2,844,250. | 0. | 0. | |

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX

| Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII. | (A) Total expenses | (B) Program service expenses | (C) Management and general expenses | (D) Fundraising expenses |
|--|-----------------------|---------------------------------|--|-----------------------------|
| 1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21 | | | | |
| 2 Grants and other assistance to domestic individuals. See Part IV, line 22 | | | | |
| 3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16 | | | | |
| 4 Benefits paid to or for members | | | | |
| 5 Compensation of current officers, directors, trustees, and key employees | 158,771. | 134,956. | 23,815. | |
| 6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) | | | | |
| 7 Other salaries and wages | 1,387,212. | 1,179,130. | 208,082. | |
| 8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions) | | | | |
| 9 Other employee benefits | 121,551. | 103,318. | 18,233. | |
| 10 Payroll taxes | 146,181. | 124,254. | 21,927. | |
| 11 Fees for services (non-employees): | | | | |
| a Management | 275,000. | 246,161. | 25,000. | 3,839. |
| b Legal | 19,303. | | 19,303. | |
| c Accounting | 20,000. | | 20,000. | |
| d Lobbying | | | | |
| e Professional fundraising services. See Part IV, line 17 | | | | |
| f Investment management fees | | | | |
| g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.) | 49,229. | 31,150. | 18,079. | |
| 12 Advertising and promotion | 253. | 215. | 38. | |
| 13 Office expenses | 25,015. | 21,270. | 3,745. | |
| 14 Information technology | 39,888. | 33,916. | 5,972. | |
| 15 Royalties | | | | |
| 16 Occupancy | 599,396. | 509,650. | 89,746. | |
| 17 Travel | 30,373. | 30,373. | | |
| 18 Payments of travel or entertainment expenses for any federal, state, or local public officials | | | | |
| 19 Conferences, conventions, and meetings | | | | |
| 20 Interest | | | | |
| 21 Payments to affiliates | | | | |
| 22 Depreciation, depletion, and amortization | 60,526. | 51,464. | 9,062. | |
| 23 Insurance | 32,971. | 28,034. | 4,937. | |
| 24 Other expenses. Itemize expenses not covered above. (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.) | | | | |
| a FOOD SERVICE FEES | 121,294. | 121,294. | | |
| b REPAIRS & MAINTENANCE | 47,419. | 40,319. | 7,100. | |
| c STUDENT SUPPLIES/SERVIC | 30,134. | 30,134. | | |
| d STAFF DEVELOPMENT | 176. | 176. | | |
| e All other expenses | | | | |
| 25 Total functional expenses. Add lines 1 through 24e | 3,164,692. | 2,685,814. | 475,039. | 3,839. |
| 26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. | | | | |

Check here if following SOP 98-2 (ASC 958-720)

Part X Balance Sheet

Check if Schedule O contains a response or note to any line in this Part X

| | | (A) Beginning of year | | (B) End of year |
|---|--|--------------------------|-----------|---------------------|
| Assets | 1 Cash - non-interest-bearing | 129,396. | 1 | 443,310. |
| | 2 Savings and temporary cash investments | | 2 | |
| | 3 Pledges and grants receivable, net | 89,561. | 3 | 72,497. |
| | 4 Accounts receivable, net | 3,277. | 4 | 6,311. |
| | 5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L | | 5 | |
| | 6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instr). Complete Part II of Sch L | | 6 | |
| | 7 Notes and loans receivable, net | | 7 | |
| | 8 Inventories for sale or use | | 8 | |
| | 9 Prepaid expenses and deferred charges | 5,239. | 9 | 18,043. |
| | 10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D | 10a 321,386. | | |
| | b Less: accumulated depreciation | 10b 110,722. | 261,155. | 10c 210,664. |
| | 11 Investments - publicly traded securities | | 11 | |
| | 12 Investments - other securities. See Part IV, line 11 | | 12 | |
| | 13 Investments - program-related. See Part IV, line 11 | | 13 | |
| | 14 Intangible assets | | 14 | |
| | 15 Other assets. See Part IV, line 11 | 124,451. | 15 | 124,451. |
| 16 Total assets. Add lines 1 through 15 (must equal line 34) | 613,079. | 16 | 875,276. | |
| Liabilities | 17 Accounts payable and accrued expenses | 63,851. | 17 | 120,075. |
| | 18 Grants payable | | 18 | |
| | 19 Deferred revenue | | 19 | |
| | 20 Tax-exempt bond liabilities | | 20 | |
| | 21 Escrow or custodial account liability. Complete Part IV of Schedule D | | 21 | |
| | 22 Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L | | 22 | |
| | 23 Secured mortgages and notes payable to unrelated third parties | | 23 | |
| | 24 Unsecured notes and loans payable to unrelated third parties | | 24 | |
| | 25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D | 61,147. | 25 | 436,709. |
| | 26 Total liabilities. Add lines 17 through 25 | 124,998. | 26 | 556,784. |
| Net Assets or Fund Balances | Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34. | | | |
| | 27 Unrestricted net assets | 488,081. | 27 | 318,492. |
| | 28 Temporarily restricted net assets | | 28 | |
| | 29 Permanently restricted net assets | | 29 | |
| | Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34. | | | |
| | 30 Capital stock or trust principal, or current funds | | 30 | |
| | 31 Paid-in or capital surplus, or land, building, or equipment fund | | 31 | |
| | 32 Retained earnings, endowment, accumulated income, or other funds | | 32 | |
| 33 Total net assets or fund balances | 488,081. | 33 | 318,492. | |
| 34 Total liabilities and net assets/fund balances | 613,079. | 34 | 875,276. | |

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI

| | | | |
|----|--|----|------------|
| 1 | Total revenue (must equal Part VIII, column (A), line 12) | 1 | 2,995,103. |
| 2 | Total expenses (must equal Part IX, column (A), line 25) | 2 | 3,164,692. |
| 3 | Revenue less expenses. Subtract line 2 from line 1 | 3 | -169,589. |
| 4 | Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A)) | 4 | 488,081. |
| 5 | Net unrealized gains (losses) on investments | 5 | |
| 6 | Donated services and use of facilities | 6 | |
| 7 | Investment expenses | 7 | |
| 8 | Prior period adjustments | 8 | |
| 9 | Other changes in net assets or fund balances (explain in Schedule O) | 9 | 0. |
| 10 | Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B)) | 10 | 318,492. |

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII

- 1 Accounting method used to prepare the Form 990: Cash Accrual Other _____
If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.
- 2a Were the organization's financial statements compiled or reviewed by an independent accountant?
If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both:
 Separate basis Consolidated basis Both consolidated and separate basis
- b Were the organization's financial statements audited by an independent accountant?
If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both:
 Separate basis Consolidated basis Both consolidated and separate basis
- c If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?
If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.
- 3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?
- b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits

| | Yes | No |
|----|-----|----|
| 2a | | X |
| 2b | X | |
| 2c | X | |
| 3a | | X |
| 3b | | |

Form 990 (2016)

SCHEDULE A
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.
▶ Attach to Form 990 or Form 990-EZ.

▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No. 1545-0047

2016

Open to Public Inspection

Name of the organization **CAPITAL PREP HARBOR SCHOOL INC** Employer identification number XXXXXXXXXX

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

- 1 A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i)**.
- 2 A school described in **section 170(b)(1)(A)(ii)**. (Attach Schedule E (Form 990 or 990-EZ).)
- 3 A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii)**.
- 4 A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii)**. Enter the hospital's name, city, and state: _____
- 5 An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv)**. (Complete Part II.)
- 6 A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v)**.
- 7 An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 8 A community trust described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 9 An agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university: _____
- 10 An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2)**. (Complete Part III.)
- 11 An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**.
- 12 An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2)**. See **section 509(a)(3)**. Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
 - a **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
 - b **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
 - c **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
 - d **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
 - e Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
- f Enter the number of supported organizations
- g Provide the following information about the supported organization(s).

| (i) Name of supported organization | (ii) EIN | (iii) Type of organization (described on lines 1-10 above (see instructions)) | (iv) Is the organization listed in your governing document? | | (v) Amount of monetary support (see instructions) | (vi) Amount of other support (see instructions) |
|------------------------------------|----------|---|---|----|---|---|
| | | | Yes | No | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| Total | | | | | | |

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

| Calendar year (or fiscal year beginning in) ► | (a) 2012 | (b) 2013 | (c) 2014 | (d) 2015 | (e) 2016 | (f) Total |
|--|----------|----------|----------|----------|----------|-----------|
| 1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") | | | | | | |
| 2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf | | | | | | |
| 3 The value of services or facilities furnished by a governmental unit to the organization without charge | | | | | | |
| 4 Total. Add lines 1 through 3 | | | | | | |
| 5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) | | | | | | |
| 6 Public support. Subtract line 5 from line 4. | | | | | | |

Section B. Total Support

| Calendar year (or fiscal year beginning in) ► | (a) 2012 | (b) 2013 | (c) 2014 | (d) 2015 | (e) 2016 | (f) Total |
|--|----------|----------|----------|----------|----------|--------------------------|
| 7 Amounts from line 4 | | | | | | |
| 8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources | | | | | | |
| 9 Net income from unrelated business activities, whether or not the business is regularly carried on | | | | | | |
| 10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) | | | | | | |
| 11 Total support. Add lines 7 through 10 | | | | | | |
| 12 Gross receipts from related activities, etc. (see instructions) | | | | | 12 | |
| 13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here | | | | | | <input type="checkbox"/> |

Section C. Computation of Public Support Percentage

| | | |
|---|----|--------------------------|
| 14 Public support percentage for 2016 (line 6, column (f) divided by line 11, column (f)) | 14 | % |
| 15 Public support percentage from 2015 Schedule A, Part II, line 14 | 15 | % |
| 16a 33 1/3% support test - 2016. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization | | <input type="checkbox"/> |
| b 33 1/3% support test - 2015. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization | | <input type="checkbox"/> |
| 17a 10% -facts-and-circumstances test - 2016. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization | | <input type="checkbox"/> |
| b 10% -facts-and-circumstances test - 2015. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization | | <input type="checkbox"/> |
| 18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions | | <input type="checkbox"/> |

Part III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

| Calendar year (or fiscal year beginning in) ► | (a) 2012 | (b) 2013 | (c) 2014 | (d) 2015 | (e) 2016 | (f) Total |
|---|----------|----------|----------|----------|----------|-----------|
| 1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") | | | | | | |
| 2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose | | | | | | |
| 3 Gross receipts from activities that are not an unrelated trade or business under section 513 | | | | | | |
| 4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf | | | | | | |
| 5 The value of services or facilities furnished by a governmental unit to the organization without charge | | | | | | |
| 6 Total. Add lines 1 through 5 | | | | | | |
| 7a Amounts included on lines 1, 2, and 3 received from disqualified persons | | | | | | |
| b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year | | | | | | |
| c Add lines 7a and 7b | | | | | | |
| 8 Public support. (Subtract line 7c from line 6.) | | | | | | |

Section B. Total Support

| Calendar year (or fiscal year beginning in) ► | (a) 2012 | (b) 2013 | (c) 2014 | (d) 2015 | (e) 2016 | (f) Total |
|---|----------|----------|----------|----------|----------|-----------|
| 9 Amounts from line 6 | | | | | | |
| 10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources | | | | | | |
| b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 | | | | | | |
| c Add lines 10a and 10b | | | | | | |
| 11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on | | | | | | |
| 12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) | | | | | | |
| 13 Total support. (Add lines 9, 10c, 11, and 12.) | | | | | | |

14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here**

Section C. Computation of Public Support Percentage

| | | |
|--|-----------|---|
| 15 Public support percentage for 2016 (line 8, column (f) divided by line 13, column (f)) | 15 | % |
| 16 Public support percentage from 2015 Schedule A, Part III, line 15 | 16 | % |

Section D. Computation of Investment Income Percentage

| | | |
|---|-----------|---|
| 17 Investment income percentage for 2016 (line 10c, column (f) divided by line 13, column (f)) | 17 | % |
| 18 Investment income percentage from 2015 Schedule A, Part III, line 17 | 18 | % |

19a 33 1/3% support tests - 2016. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization

b 33 1/3% support tests - 2015. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization

20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions

Part IV Supporting Organizations

(Complete only if you checked a box in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

| | Yes | No |
|--|-----|----|
| 1 Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>If "No," describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.</i> | | |
| 2 Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i> | | |
| 3a Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer (b) and (c) below.</i> | | |
| b Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? <i>If "Yes," describe in Part VI when and how the organization made the determination.</i> | | |
| c Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in Part VI what controls the organization put in place to ensure such use.</i> | | |
| 4a Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes," and if you checked 12a or 12b in Part I, answer (b) and (c) below.</i> | | |
| b Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.</i> | | |
| c Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? <i>If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.</i> | | |
| 5a Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).</i> | | |
| b Type I or Type II only. Was any added or substituted supported organization part of a class already designated in the organization's organizing document? | | |
| c Substitutions only. Was the substitution the result of an event beyond the organization's control? | | |
| 6 Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? <i>If "Yes," provide detail in Part VI.</i> | | |
| 7 Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i> | | |
| 8 Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i> | | |
| 9a Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? <i>If "Yes," provide detail in Part VI.</i> | | |
| b Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? <i>If "Yes," provide detail in Part VI.</i> | | |
| c Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? <i>If "Yes," provide detail in Part VI.</i> | | |
| 10a Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? <i>If "Yes," answer 10b below.</i> | | |
| b Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)</i> | | |

Part IV Supporting Organizations (continued)

| | Yes | No |
|--|-----|----|
| 11 Has the organization accepted a gift or contribution from any of the following persons? | | |
| a A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization? | | |
| b A family member of a person described in (a) above? | | |
| c A 35% controlled entity of a person described in (a) or (b) above? <i>If "Yes" to a, b, or c, provide detail in Part VI.</i> | | |

Section B. Type I Supporting Organizations

| | Yes | No |
|---|-----|----|
| 1 Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? <i>If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.</i> | | |
| 2 Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? <i>If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.</i> | | |

Section C. Type II Supporting Organizations

| | Yes | No |
|--|-----|----|
| 1 Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? <i>If "No," describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).</i> | | |

Section D. All Type III Supporting Organizations

| | Yes | No |
|---|-----|----|
| 1 Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided? | | |
| 2 Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? <i>If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).</i> | | |
| 3 By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? <i>If "Yes," describe in Part VI the role the organization's supported organizations played in this regard.</i> | | |

Section E. Type III Functionally Integrated Supporting Organizations

| | | |
|---|--|--|
| 1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions). | | |
| a <input type="checkbox"/> The organization satisfied the Activities Test. Complete line 2 below. | | |
| b <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete line 3 below. | | |
| c <input type="checkbox"/> The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions). | | |
| 2 Activities Test. Answer (a) and (b) below. | | |
| a Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? <i>If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.</i> | | |
| b Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? <i>If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.</i> | | |
| 3 Parent of Supported Organizations. Answer (a) and (b) below. | | |
| a Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? <i>Provide details in Part VI.</i> | | |
| b Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? <i>If "Yes," describe in Part VI the role played by the organization in this regard.</i> | | |

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

1 Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI.) **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

| Section A - Adjusted Net Income | | (A) Prior Year | (B) Current Year (optional) |
|---------------------------------|--|----------------|-----------------------------|
| 1 | Net short-term capital gain | 1 | |
| 2 | Recoveries of prior-year distributions | 2 | |
| 3 | Other gross income (see instructions) | 3 | |
| 4 | Add lines 1 through 3 | 4 | |
| 5 | Depreciation and depletion | 5 | |
| 6 | Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions) | 6 | |
| 7 | Other expenses (see instructions) | 7 | |
| 8 | Adjusted Net Income (subtract lines 5, 6, and 7 from line 4) | 8 | |

| Section B - Minimum Asset Amount | | (A) Prior Year | (B) Current Year (optional) |
|----------------------------------|---|----------------|-----------------------------|
| 1 | Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year): | | |
| a | Average monthly value of securities | 1a | |
| b | Average monthly cash balances | 1b | |
| c | Fair market value of other non-exempt-use assets | 1c | |
| d | Total (add lines 1a, 1b, and 1c) | 1d | |
| e | Discount claimed for blockage or other factors (explain in detail in Part VI): | | |
| 2 | Acquisition indebtedness applicable to non-exempt-use assets | 2 | |
| 3 | Subtract line 2 from line 1d | 3 | |
| 4 | Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions) | 4 | |
| 5 | Net value of non-exempt-use assets (subtract line 4 from line 3) | 5 | |
| 6 | Multiply line 5 by .035 | 6 | |
| 7 | Recoveries of prior-year distributions | 7 | |
| 8 | Minimum Asset Amount (add line 7 to line 6) | 8 | |

| Section C - Distributable Amount | | (A) Prior Year | Current Year |
|----------------------------------|---|----------------|--------------|
| 1 | Adjusted net income for prior year (from Section A, line 8, Column A) | 1 | |
| 2 | Enter 85% of line 1 | 2 | |
| 3 | Minimum asset amount for prior year (from Section B, line 8, Column A) | 3 | |
| 4 | Enter greater of line 2 or line 3 | 4 | |
| 5 | Income tax imposed in prior year | 5 | |
| 6 | Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions) | 6 | |
| 7 | <input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions). | | |

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)

| Section D - Distributions | Current Year |
|--|--------------|
| 1 Amounts paid to supported organizations to accomplish exempt purposes | |
| 2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity | |
| 3 Administrative expenses paid to accomplish exempt purposes of supported organizations | |
| 4 Amounts paid to acquire exempt-use assets | |
| 5 Qualified set-aside amounts (prior IRS approval required) | |
| 6 Other distributions (describe in Part VI). See instructions | |
| 7 Total annual distributions. Add lines 1 through 6 | |
| 8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions | |
| 9 Distributable amount for 2016 from Section C, line 6 | |
| 10 Line 8 amount divided by Line 9 amount | |

| Section E - Distribution Allocations (see instructions) | (i) Excess Distributions | (ii) Underdistributions Pre-2016 | (iii) Distributable Amount for 2016 |
|---|-----------------------------|--|---|
| 1 Distributable amount for 2016 from Section C, line 6 | | | |
| 2 Underdistributions, if any, for years prior to 2016 (reasonable cause required- explain in Part VI). See instructions | | | |
| 3 Excess distributions carryover, if any, to 2016: | | | |
| a | | | |
| b | | | |
| c From 2013 | | | |
| d From 2014 | | | |
| e From 2015 | | | |
| f Total of lines 3a through e | | | |
| g Applied to underdistributions of prior years | | | |
| h Applied to 2016 distributable amount | | | |
| i Carryover from 2011 not applied (see instructions) | | | |
| j Remainder. Subtract lines 3g, 3h, and 3i from 3f. | | | |
| 4 Distributions for 2016 from Section D, line 7: \$ | | | |
| a Applied to underdistributions of prior years | | | |
| b Applied to 2016 distributable amount | | | |
| c Remainder. Subtract lines 4a and 4b from 4 | | | |
| 5 Remaining underdistributions for years prior to 2016, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in Part VI. See instructions | | | |
| 6 Remaining underdistributions for 2016. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in Part VI. See instructions | | | |
| 7 Excess distributions carryover to 2017. Add lines 3j and 4c | | | |
| 8 Breakdown of line 7: | | | |
| a | | | |
| b Excess from 2013 | | | |
| c Excess from 2014 | | | |
| d Excess from 2015 | | | |
| e Excess from 2016 | | | |

Part VI **Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a, and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions.)

Multiple horizontal lines for supplemental information.

SCHEDULE D
(Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b. Attach to Form 990.**

▶ **Information about Schedule D (Form 990) and its instructions is at www.irs.gov/form990.**

OMB No. 1545-0047

2016
Open to Public Inspection

Name of the organization **CAPITAL PREP HARBOR SCHOOL INC** Employer identification number **[REDACTED]**

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts. Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

| | (a) Donor advised funds | (b) Funds and other accounts |
|---|--|------------------------------|
| 1 Total number at end of year | | |
| 2 Aggregate value of contributions to (during year) | | |
| 3 Aggregate value of grants from (during year) | | |
| 4 Aggregate value at end of year | | |
| 5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? | <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| 6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? | <input type="checkbox"/> Yes <input type="checkbox"/> No | |

Part II Conservation Easements. Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).
 Preservation of land for public use (e.g., recreation or education) Preservation of a historically important land area
 Protection of natural habitat Preservation of a certified historic structure
 Preservation of open space

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

| | Held at the End of the Tax Year |
|--|---------------------------------|
| a Total number of conservation easements | 2a |
| b Total acreage restricted by conservation easements | 2b |
| c Number of conservation easements on a certified historic structure included in (a) | 2c |
| d Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register | 2d |

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ _____

4 Number of states where property subject to conservation easement is located ▶ _____

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds?

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ _____

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ \$ _____

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)?

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets. Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1

(ii) Assets included in Form 990, Part X

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items:

a Revenue included on Form 990, Part VIII, line 1

b Assets included in Form 990, Part X

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990. Schedule D (Form 990) 2016

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)

- 3 Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):
- a Public exhibition
 - b Scholarly research
 - c Preservation for future generations
 - d Loan or exchange programs
 - e Other _____
- 4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.
- 5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? Yes No

Part IV Escrow and Custodial Arrangements. Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

- 1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? Yes No
- b If "Yes," explain the arrangement in Part XIII and complete the following table:
- | | Amount |
|---------------------------------|--------|
| c Beginning balance | 1c |
| d Additions during the year | 1d |
| e Distributions during the year | 1e |
| f Ending balance | 1f |
- 2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? Yes No
- b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII

Part V Endowment Funds. Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

| | (a) Current year | (b) Prior year | (c) Two years back | (d) Three years back | (e) Four years back |
|--|------------------|----------------|--------------------|----------------------|---------------------|
| 1a Beginning of year balance | | | | | |
| b Contributions | | | | | |
| c Net investment earnings, gains, and losses | | | | | |
| d Grants or scholarships | | | | | |
| e Other expenditures for facilities and programs | | | | | |
| f Administrative expenses | | | | | |
| g End of year balance | | | | | |

- 2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:
- a Board designated or quasi-endowment _____ %
 - b Permanent endowment _____ %
 - c Temporarily restricted endowment _____ %
- The percentages on lines 2a, 2b, and 2c should equal 100%.
- 3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:
- | | Yes | No |
|--|--------|----|
| (i) unrelated organizations | 3a(i) | |
| (ii) related organizations | 3a(ii) | |
| b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R? | 3b | |
- 4 Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

| Description of property | (a) Cost or other basis (investment) | (b) Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value |
|--|--------------------------------------|---------------------------------|------------------------------|-----------------|
| 1a Land | | | | |
| b Buildings | | | | |
| c Leasehold improvements | | 83,040. | 15,535. | 67,505. |
| d Equipment | | 238,346. | 95,187. | 143,159. |
| e Other | | | | |
| Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.) | | | | 210,664. |

Part VII Investments - Other Securities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

| (a) Description of security or category (including name of security) | (b) Book value | (c) Method of valuation: Cost or end-of-year market value |
|---|----------------|---|
| (1) Financial derivatives | | |
| (2) Closely-held equity interests | | |
| (3) Other | | |
| (A) | | |
| (B) | | |
| (C) | | |
| (D) | | |
| (E) | | |
| (F) | | |
| (G) | | |
| (H) | | |
| Total. (Col. (b) must equal Form 990, Part X, col. (B) line 12.) ▶ | | |

Part VIII Investments - Program Related.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

| (a) Description of investment | (b) Book value | (c) Method of valuation: Cost or end-of-year market value |
|---|----------------|---|
| (1) | | |
| (2) | | |
| (3) | | |
| (4) | | |
| (5) | | |
| (6) | | |
| (7) | | |
| (8) | | |
| (9) | | |
| Total. (Col. (b) must equal Form 990, Part X, col. (B) line 13.) ▶ | | |

Part IX Other Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

| (a) Description | (b) Book value |
|---|----------------|
| (1) SECURITY DEPOSITS | 124,451. |
| (2) | |
| (3) | |
| (4) | |
| (5) | |
| (6) | |
| (7) | |
| (8) | |
| (9) | |
| Total. (Column (b) must equal Form 990, Part X, col. (B) line 15.) ▶ | 124,451. |

Part X Other Liabilities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

| 1. (a) Description of liability | (b) Book value |
|---|----------------|
| (1) Federal income taxes | |
| (2) DEFERRED RENT | 149,753. |
| (3) REFUNDABLE ADVANCES | 10,000. |
| (4) DUE TO CAPITAL PREPARATORY | |
| (5) SCHOOLS, INC | 276,956. |
| (6) | |
| (7) | |
| (8) | |
| (9) | |
| Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶ | 436,709. |

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

| | | | | |
|----------|--|-----------|-----------|------------|
| 1 | Total revenue, gains, and other support per audited financial statements | | 1 | 3,043,404. |
| 2 | Amounts included on line 1 but not on Form 990, Part VIII, line 12: | | | |
| a | Net unrealized gains (losses) on investments | 2a | | |
| b | Donated services and use of facilities | 2b | 48,301. | |
| c | Recoveries of prior year grants | 2c | | |
| d | Other (Describe in Part XIII.) | 2d | | |
| e | Add lines 2a through 2d | | 2e | 48,301. |
| 3 | Subtract line 2e from line 1 | | 3 | 2,995,103. |
| 4 | Amounts included on Form 990, Part VIII, line 12, but not on line 1: | | | |
| a | Investment expenses not included on Form 990, Part VIII, line 7b | 4a | | |
| b | Other (Describe in Part XIII.) | 4b | | |
| c | Add lines 4a and 4b | | 4c | 0. |
| 5 | Total revenue. Add lines 3 and 4c . (This must equal Form 990, Part I, line 12.) | | 5 | 2,995,103. |

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

| | | | | |
|----------|---|-----------|-----------|------------|
| 1 | Total expenses and losses per audited financial statements | | 1 | 3,212,993. |
| 2 | Amounts included on line 1 but not on Form 990, Part IX, line 25: | | | |
| a | Donated services and use of facilities | 2a | 48,301. | |
| b | Prior year adjustments | 2b | | |
| c | Other losses | 2c | | |
| d | Other (Describe in Part XIII.) | 2d | | |
| e | Add lines 2a through 2d | | 2e | 48,301. |
| 3 | Subtract line 2e from line 1 | | 3 | 3,164,692. |
| 4 | Amounts included on Form 990, Part IX, line 25, but not on line 1: | | | |
| a | Investment expenses not included on Form 990, Part VIII, line 7b | 4a | | |
| b | Other (Describe in Part XIII.) | 4b | | |
| c | Add lines 4a and 4b | | 4c | 0. |
| 5 | Total expenses. Add lines 3 and 4c . (This must equal Form 990, Part I, line 18.) | | 5 | 3,164,692. |

Part XIII Supplemental Information.

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

PART X, LINE 2:

THE SCHOOL RECOGNIZES THE EFFECT OF INCOME TAX POSITIONS ONLY IF THOSE POSITIONS ARE MORE LIKELY THAN NOT TO BE SUSTAINED. MANAGEMENT HAS DETERMINED THAT THE SCHOOL HAD NO UNCERTAIN TAX POSITIONS THAT WOULD REQUIRE FINANCIAL STATEMENT RECOGNITION OR DISCLOSURE. ALL RETURNS FILED BY THE SCHOOL ARE SUBJECT TO EXAMINATIONS BY THE APPLICABLE TAXING JURISDICTIONS.

SCHEDULE E
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Schools

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 13, or Form 990-EZ, Part VI, line 48.**
▶ **Attach to Form 990 or Form 990-EZ.**

OMB No. 1545-0047

2016

Open to Public Inspection

▶ **Information about Schedule E (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.**

Name of the organization

CAPITAL PREP HARBOR SCHOOL INC

Employer identification number

[REDACTED]

Part I

| | YES | NO |
|---|----------|----------|
| 1 Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body? | X | |
| 2 Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships? | X | |
| 3 Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe. If "No," please explain. If you need more space, use Part II | | X |
| AS A PUBLIC SCHOOL, SUBJECT TO OPEN ENROLLMENT, THE CHARTER SCHOOL IS NOT SUBJECT TO THE SPECIFIC GUIDELINES SET FORTH IN REV. PROV. 75-50. | | |
| 4 Does the organization maintain the following? | | |
| a Records indicating the racial composition of the student body, faculty, and administrative staff? | X | |
| b Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis? | X | |
| c Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships? | X | |
| d Copies of all material used by the organization or on its behalf to solicit contributions? | X | |
| If you answered "No" to any of the above, please explain. If you need more space, use Part II. | | |
| 5 Does the organization discriminate by race in any way with respect to: | | |
| a Students' rights or privileges? | | X |
| b Admissions policies? | | X |
| c Employment of faculty or administrative staff? | | X |
| d Scholarships or other financial assistance? | | X |
| e Educational policies? | | X |
| f Use of facilities? | | X |
| g Athletic programs? | | X |
| h Other extracurricular activities? | | X |
| If you answered "Yes" to any of the above, please explain. If you need more space, use Part II. | | |
| 6a Does the organization receive any financial aid or assistance from a governmental agency? | X | |
| b Has the organization's right to such aid ever been revoked or suspended? | | X |
| If you answered "Yes" on either line 6a or line 6b, explain on Part II. | | |
| 7 Does the organization certify that it has complied with the applicable requirements of sections 4.01 through 4.05 of Rev. Proc. 75-50, 1975-2 C.B. 587, covering racial nondiscrimination? If "No," explain on Part II | X | |

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or Form 990-EZ.

Schedule E (Form 990 or 990-EZ) 2016

Part II Supplemental Information. Provide the explanations required by Part I, lines 3, 4d, 5h, 6b, and 7, as applicable.

Also provide any other additional information.

LINE 6 - EXPLANATION OF GOVERNMENT FINANCIAL AID:

THE SCHOOL RECEIVES PER PUPIL FUNDING FROM THE NYC DEPARTMENT OF EDUCATION UNDER THEIR CHARTER AGREEMENT. THE SCHOOL ALSO RECEIVES VARIOUS FEDERAL, STATE, AND CITY FUNDS INCLUDING FEDERAL ENTITLEMENTS TO ASSIST WITH COVERING THE COST OF CERTAIN PROGRAMS.

Multiple horizontal lines for supplemental information.

SCHEDULE O
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on
Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No. 1545-0047

2016

Open to Public
Inspection

Name of the organization

CAPITAL PREP HARBOR SCHOOL INC

Employer identification number

FORM 990, PART I, LINE 1, DESCRIPTION OF ORGANIZATION MISSION:

LIFELONG LEARNERS, LEADERS, AND AGENTS OF SOCIAL CHANGE.

FORM 990, PART VI, SECTION A, LINE 3:

THE SCHOOL ENTERED INTO A SERVICE AGREEMENT WITH CAPITAL PREPARATORY
SCHOOLS, INC., A CONNECTICUT, NON-STOCK CORPORATION, TO UNDERTAKE, ON ITS
BEHALF, FUNCTIONS IN REGARDS TO BUSINESS, ADMINISTRATIVE, AND ACADEMIC
SERVICES OF THE SCHOOL. FOR THE PERIOD FROM JULY 1, 2016 TO JUNE 30, 2017,
THE SCHOOL INCURRED \$275,000 IN MANAGEMENT FEES.

EXECUTIVE DIRECTOR, DR. STEVE PERRY, IS AN OFFICER OF THE MANAGEMENT
ORGANIZATION, CAPITAL PREPARATORY SCHOOLS, INC. IN 2016 CPS PAID DR. STEVE
PERRY, CEO OF CPS BASE SALARY IN THE AMOUNT OF \$150,000.

FORM 990, PART VI, SECTION B, LINE 11B:

CAPITAL PREP HARBOR SCHOOL, INC. HAS ITS FORM 990 PREPARED BY AN OUTSIDE
ACCOUNTING FIRM AND HAVE ESTABLISHED THE FOLLOWING REVIEW PROCESS TO ENSURE
THAT THE INFORMATION REPORTED IS COMPLETE AND ACCURATE. WHEN THE FORM 990
HAS BEEN PREPARED, REVIEWED BY MANAGEMENT AND IS READY TO BE FILED WITH THE
INTERNAL REVENUE SERVICE, IT IS ELECTRONICALLY SENT TO THE BOARD MEMBERS OF
THE ORGANIZATION FOR ANY COMMENTS. ANY COMMENTS ARE THEN GROUPED,
SUMMARIZED AND PROVIDED TO THE OUTSIDE ACCOUNTANTS. EACH ISSUE IS
DOCUMENTED AND ADDRESSED UNTIL THE RETURN IS FINALIZED AND APPROVED FOR
FILING.

FORM 990, PART VI, SECTION B, LINE 12C:

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule O (Form 990 or 990-EZ) (2016)

632211 08-25-16

Name of the organization

CAPITAL PREP HARBOR SCHOOL INC

E [REDACTED] mber

THE SCHOOL SHARES ITS CONFLICT OF INTEREST POLICY WITH BOARD MEMBERS AND OFFICERS AS PART OF THEIR REGULAR MEETINGS. OFFICERS, DIRECTORS, AND KEY EMPLOYEES ARE EXPECTED TO DECLARE IF AT ANY POINT A CONFLICT OF INTEREST ARISES AND THE INTERESTED PERSON SHALL EXCUSE THEMSELVES FROM BOARD DISCUSSION AND ABSTAIN FROM VOTING ON THE POTENTIAL CONFLICT. IN ADDITION, THE BOARD OF TRUSTEES SIGN AN ANNUAL CONFLICT OF INTEREST DISCLOSURE FORM.

FORM 990, PART VI, SECTION B, LINE 15B:

THE ORGANIZATION'S BOARD OF DIRECTORS RETAINED A CONSULTANT TO PRESENT TO THE BOARD OF DIRECTORS WITH COMPARABLE SALARIES OF SIMILAR ORGANIZATIONS FOR A RANGE OF POSITIONS IN THE CHARTER MANAGEMENT ORGANIZATION, TO DETERMINE THE COMPENSATION OF THE ORGANIZATIONS OFFICERS AND KEY EMPLOYEES (IF ANY). THIS PROCESS OCCURRED IN 2016 AND WAS DOCUMENTED IN THE MINUTES OF THE GOVERNING BOARD.

FORM 990, PART VI, SECTION C, LINE 19:

THE ORGANIZATION MAKES ITS FORM 990 AVAILABLE FOR PUBLIC INSPECTION AS REQUIRED UNDER SECTION 6104 OF THE INTERNAL REVENUE CODE. THE RETURN IS POSTED ON GUIDESTAR.ORG. IN ADDITION, THE FINANCIAL STATEMENTS, CONFLICT OF INTEREST POLICY, ARTICLES OF INCORPORATION AND BY-LAWS ARE ALSO AVAILABLE UPON WRITTEN REQUEST AT 777 MAIN STREET, BRIDGEPORT, CT 06604, OR BY CALLING THE ORGANIZATION DIRECTLY AT (475)722-5900.

FORM 990, PART XII, LINE 2C:

THE CAPITAL PREPARATORY HARBOR SCHOOL, INC. BOARD ASSUMES RESPONSIBILITY FOR THE OVERSIGHT OF THE AUDIT OF ITS FINANCIAL STATEMENTS AND SELECTION OF ITS INDEPENDENT AUDITOR. THE PROCESS DID NOT CHANGE FROM PRIOR YEAR.

Name of the organization

CAPITAL PREP HARBOR SCHOOL INC

E

number



Multiple horizontal lines for data entry.

Application for Automatic Extension of Time To File an Exempt Organization Return

Department of the Treasury
Internal Revenue Service

▶ **File a separate application for each return.**

▶ **Information about Form 8868 and its instructions is at www.irs.gov/form8868 .**

Electronic filing (e-file). You can electronically file Form 8868 to request a 6-month automatic extension of time to file any of the forms listed below with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, for which an extension request must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit www.irs.gov/efile, click on Charities & Non-Profits, and click on e-file for Charities and Non-Profits.

Automatic 6-Month Extension of Time. Only submit original (no copies needed).

All corporations required to file an income tax return other than Form 990-T (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

| | | |
|---|---|--|
| Type or print <small>File by the due date for filing your return. See instructions.</small> | Name of exempt organization or other filer, see instructions. CAPITAL PREP HARBOR SCHOOL INC | Enter filer's identifying number Employer identification number (EIN) or |
| | Number, street, and room or suite no. If a P.O. box, see instructions. [REDACTED] | Social se [REDACTED] |
| | City, town or post office, state, and ZIP code. For a foreign address, see instructions. BRIDGEPORT, CT 06604 | |

Enter the Return Code for the return that this application is for (file a separate application for each return) 0 1

| Application Is For | Return Code | Application Is For | Return Code |
|--|-------------|-----------------------------------|-------------|
| Form 990 or Form 990-EZ | 01 | Form 990-T (corporation) | 07 |
| Form 990-BL | 02 | Form 1041-A | 08 |
| Form 4720 (individual) | 03 | Form 4720 (other than individual) | 09 |
| Form 990-PF | 04 | Form 5227 | 10 |
| Form 990-T (sec. 401(a) or 408(a) trust) | 05 | Form 6069 | 11 |
| Form 990-T (trust other than above) | 06 | Form 8870 | 12 |

RICHARDO GRIFFITH

• The books are in the care of ▶ [REDACTED] - **BRIDGEPORT, CT 06604**
Telephone No. ▶ [REDACTED] Fax No. ▶ [REDACTED]

- If the organization does not have an office or place of business in the United States, check this box
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____. If this is for the whole group, check this box . If it is for part of the group, check this box and attach a list with the names and EINs of all members the extension is for.

1 I request an automatic 6-month extension of time until **MAY 15, 2018**, to file the exempt organization return for the organization named above. The extension is for the organization's return for:

- ▶ calendar year _____ or
- ▶ tax year beginning **JUL 1, 2016**, and ending **JUN 30, 2017**.

2 If the tax year entered in line 1 is for less than 12 months, check reason: Initial return Final return Change in accounting period

| | | | |
|---|-----------|----|----|
| 3a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions. | 3a | \$ | 0. |
| b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit. | 3b | \$ | 0. |
| c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions. | 3c | \$ | 0. |

Caution: If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

**MAIL TO: DEPARTMENT OF THE TREASURY
INTERNAL REVENUE SERVICE CENTER
OGDEN, UT 84201-0045**

CAPITAL PREPARATORY HARBOR SCHOOL

FINANCIAL STATEMENTS
INDEPENDENT AUDITORS' REPORT AND
STATE SINGLE AUDIT REPORTS

JUNE 30, 2016

CAPITAL PREPARATORY HARBOR SCHOOL
FINANCIAL STATEMENTS
JUNE 30, 2016

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FRUCHTER ROSEN & COMPANY, P.C.

CERTIFIED PUBLIC ACCOUNTANTS

156 WEST 56TH STREET

NEW YORK, NEW YORK 10019

TEL: (212) 957-3600

FAX: (212) 957-3696

INDEPENDENT AUDITORS' REPORT

TO THE BOARD OF TRUSTEES OF
CAPITAL PREPARATORY HARBOR SCHOOL

Report on the Financial Statements

We have audited the accompanying financial statements of Capital Preparatory Harbor School (the "School"), which comprise the statement of financial position as of June 30, 2016, and the related statements of activities, functional expenses, and cash flows for the period from September 5, 2014 (inception) to June 30, 2016, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the School's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the School's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the School as of June 30, 2016, and the changes in its net assets and its cash flows for the period from September 5, 2014 (inception) to June 30, 2016 in accordance with accounting principles generally accepted in the United States of America.

Other Matters

Report on Schedule of Expenditures of State Financial Assistance

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of state financial assistance, as required by the State of Connecticut Single Audit Act, is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated, in all material respects, in relation to the financial statements as a whole.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated December 29, 2016, on our consideration of the School's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the School's internal control over financial reporting and compliance.


FRUCHTER ROSEN & COMPANY, P.C.
Certified Public Accountants

New York, New York
December 29, 2016

CAPITAL PREPARATORY HARBOR SCHOOL
STATEMENT OF FINANCIAL POSITION
JUNE 30, 2016

| ASSETS | |
|---|--------------------------|
| Current assets: | |
| Cash and cash equivalents | \$ 129,396 |
| Grants and contracts receivable | 89,561 |
| Prepaid expenses and other current receivables | 8,516 |
| Total current assets | <u>227,473</u> |
| Other assets: | |
| Property and equipment, net of accumulated depreciation and amortization of \$50,196 | 261,155 |
| Security deposit | 124,451 |
| Total other assets | <u>385,606</u> |
| TOTAL ASSETS | <u><u>\$ 613,079</u></u> |
| LIABILITIES AND UNRESTRICTED NET ASSETS | |
| Current liabilities: | |
| Accounts payable and accrued expenses | \$ 63,851 |
| Deferred rent | 61,147 |
| Total liabilities | <u>124,998</u> |
| Unrestricted net assets | <u>488,081</u> |
| TOTAL LIABILITIES AND UNRESTRICTED NET ASSETS | <u><u>\$ 613,079</u></u> |

The accompanying notes are an integral part of the financial statements.

CAPITAL PREPARATORY HARBOR SCHOOL
STATEMENT OF ACTIVITIES
FOR THE PERIOD FROM SEPTEMBER 5, 2014 (INCEPTION) TO JUNE 30, 2016

| | |
|---|--------------|
| Revenue and support: | |
| State and local per pupil operating revenue | \$ 2,739,000 |
| Federal grants | 103,762 |
| Special education revenue | 64,511 |
| Contributions and grants | 4,500 |
| Donated services | 531,414 |
| Other income | 2,099 |
| Total revenue and support | 3,445,286 |
| Expenses: | |
| Program services | 2,676,353 |
| Supporting services: | |
| Management and general | 278,113 |
| Fundraising | 2,739 |
| Total expenses | 2,957,205 |
| Change in unrestricted net assets | 488,081 |
| Unrestricted net assets - beginning of period | - |
| Unrestricted net assets - end of period | \$ 488,081 |

The accompanying notes are an integral part of the financial statements.

CAPITAL PREPARATORY HARBOR SCHOOL
STATEMENT OF FUNCTIONAL EXPENSES
FOR THE PERIOD FROM SEPTEMBER 5, 2014 (INCEPTION) TO JUNE 30, 2016

| | Program Services | Supporting Services | | Total |
|--|---------------------|---------------------------|-----------------|---------------------|
| | | Management and General | Fundraising | |
| Personnel services costs | | | | |
| Administrative staff personnel | \$ 423,767 | \$ 40,914 | \$ - | \$ 464,681 |
| Instructional personnel | 833,506 | - | - | 833,506 |
| Non-instructional personnel | 106,753 | 80,167 | - | 186,920 |
| Total salaries and staff | <u>1,364,026</u> | <u>121,081</u> | <u>-</u> | <u>1,485,107</u> |
| Fringe benefits and payroll taxes | 203,085 | 18,027 | - | 221,112 |
| Donated management company fees | 246,161 | 25,000 | 2,739 | 273,900 |
| Legal services | - | 23,058 | - | 23,058 |
| Accounting/audit services | - | 20,000 | - | 20,000 |
| Other purchased/professional/consulting services | 11,173 | 19,343 | - | 30,516 |
| Building and land rent/lease | 368,362 | 32,698 | - | 401,060 |
| Repairs and maintenance | 26,816 | 2,381 | - | 29,197 |
| Insurance | 24,745 | 2,196 | - | 26,941 |
| Utilities | 48,694 | 4,323 | - | 53,017 |
| Supplies/materials | 76,677 | - | - | 76,677 |
| Equipment/furnishings | 3,199 | 284 | - | 3,483 |
| Staff development | 500 | - | - | 500 |
| Marketing/recruitment | 2,044 | 181 | - | 2,225 |
| Technology | 33,053 | 2,934 | - | 35,987 |
| Food services | 159,605 | - | - | 159,605 |
| Student services | 33,822 | - | - | 33,822 |
| Office expense | 13,879 | 1,232 | - | 15,111 |
| Depreciation and amortization | 46,103 | 4,093 | - | 50,196 |
| Other | 14,409 | 1,282 | - | 15,691 |
| | <u>1,364,026</u> | <u>121,081</u> | <u>-</u> | <u>1,485,107</u> |
| Total expenses | <u>\$ 2,676,353</u> | <u>\$ 278,113</u> | <u>\$ 2,739</u> | <u>\$ 2,957,205</u> |

The accompanying notes are an integral part of the financial statements.

CAPITAL PREPARATORY HARBOR SCHOOL
STATEMENT OF CASH FLOWS
FOR THE PERIOD FROM SEPTEMBER 5, 2014 (INCEPTION) TO JUNE 30, 2016

| | |
|---|-------------------|
| CASH FLOWS FROM OPERATING ACTIVITIES: | |
| Change in unrestricted net assets | \$ 488,081 |
| Adjustments to reconcile change in unrestricted net assets to net cash provided by operating activities: | |
| Depreciation and amortization | 50,196 |
| Changes in certain assets and liabilities: | |
| (Increase) in grants and contracts receivable | (89,561) |
| (Increase) in prepaid expenses and other current receivables | (8,516) |
| (Increase) in security deposit | (124,451) |
| Increase in accounts payable and accrued expenses | 63,851 |
| Increase in deferred rent | 61,147 |
| NET CASH PROVIDED BY OPERATING ACTIVITIES | <u>440,747</u> |
| CASH FLOWS FROM INVESTING ACTIVITIES: | |
| Purchases of property and equipment | <u>(311,351)</u> |
| NET INCREASE IN CASH AND CASH EQUIVALENTS | 129,396 |
| CASH AND CASH EQUIVALENTS - BEGINNING OF PERIOD | <u>-</u> |
| CASH AND CASH EQUIVALENTS - END OF PERIOD | <u>\$ 129,396</u> |

The accompanying notes are an integral part of the financial statements.

CAPITAL PREPARATORY HARBOR SCHOOL
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2016

NOTE 1 - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Nature of Organization

Capital Preparatory Harbor School (the "School") was incorporated on September 5, 2014 to operate a charter school in Bridgeport Connecticut. The School was granted a provisional charter on August 5, 2015, valid for a term of five years and renewable upon expiration by the State Board of Education of the State of Connecticut. The School's mission is to provide its students with a year-round, college preparatory education that develops lifelong learners, leaders, and agents of social change. Serving as the anchor for student development, the School's educators provide an educational environment that creates opportunities for all students to realize and fulfill their academic, social, and civic responsibilities. The School provided education to approximately 250 students in grades sixth through twelfth during the 2015-2016 academic year.

Food and Transportation Services

The School uses an outside vendor to serve breakfast and lunch to its students and files for reimbursement of qualified expenses through the National School Lunch Program and the School Breakfast Program. The School provides bus transportation only to middle school Bridgeport students within a certain mile radius. All other students receive public transit bus passes on a monthly basis from the School.

Tax Status

The School is exempt from Federal income tax under Section 501(a) of the Internal Revenue Code as a School described in Section 501(c)(3) and a similar provision under Connecticut State income tax laws. The School has also been classified as an entity that is not a private foundation within the meaning of Section 509(a) and qualifies for deductible contributions as provided in Section 170(b)(1)(A)(ii). The School is subject to income taxes only on net unrelated business income. The School did not have net unrelated business income for the period from September 5, 2014 (inception) to June 30, 2016.

The School's accounting policy provides that a tax expense or benefit from an uncertain tax position may be recognized when it is more likely than not that the position will be sustained upon examination, including resolutions of any related appeals or litigation processes, based on the technical merits. The School has no uncertain tax position resulting in an accrual of tax expense or benefit.

IRS Forms 990 filed by the School are subject to examination by the Internal Revenue Service up to three years from the extended due date of each return. All Forms 990 filed by the School are subject to examination.

CAPITAL PREPARATORY HARBOR SCHOOL
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2016

NOTE 1 - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES
(Continued)

Basis of Presentation

The School's financial statements have been prepared on the accrual basis of accounting in conformity with accounting principles generally accepted in the United States of America. Financial statement presentation follows the requirements of the Financial Accounting Standards Board in its Accounting Standards Codification ("ASC") No. 958-205. Under ASC 958-205, the School is required to report information regarding its financial position and activities according to three classes of net assets: unrestricted net assets, temporarily restricted net assets, and permanently restricted net assets. The net assets classifications are described as follows:

Unrestricted

Net assets of the School consists of cash and otherwise unrestricted amounts that are available for use in carrying out the objectives of the School and include those expendable resources, which have been designated for special use by the School or the Board of Trustees.

Temporarily Restricted

Net assets of the School represent those amounts that have been limited by donor-imposed stipulations that either expire with the passage of time or can be fulfilled and removed by actions of the School. When such stipulations end or are fulfilled, such temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statement of activities, as net assets released from restrictions.

Permanently Restricted

Net assets of the School result from contributions whose use has been permanently limited by donor-imposed restrictions. Such assets include contributions required to be invested in perpetuity, the income from which is available to support charitable purposes designated by the donors.

At June 30, 2016, the School had no temporarily or permanently restricted net assets.

Revenue and Support

Contributions are recognized when the donor makes a promise to give to the School that is, in substance, unconditional. Grants and other contributions of cash are reported as temporarily restricted support if they are received with donor stipulations. Restricted contributions and grants that are made to support the School's current year activities are recorded as unrestricted revenue. Contributions of assets other than cash are recorded at their estimated fair value.

Revenue from the state and local governments resulting from the School's charter status and based on the number of students enrolled is recorded when services are performed in accordance with the charter agreement. Federal and other state and local funds are recorded when expenditures are incurred and billable to the government agency.

CAPITAL PREPARATORY HARBOR SCHOOL
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2016

NOTE 1 - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES
(Continued)

Cash and Cash Equivalents

The School considers all highly liquid financial instruments purchased with a maturity of three months or less to be cash equivalents.

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the reporting period. Accordingly, actual results could differ from those estimates.

Concentration of Credit Risk

Financial instruments which potentially subject the School to concentrations of credit risk are cash and cash equivalents. The School places its cash and cash equivalents on deposit in what it believes to be highly credited financial institutions. Cash balances may exceed the FDIC insured levels of \$250,000 per institution at various times during the year. At June 30, 2016 account balances did not exceed insured levels. The School believes that there is little risk in any losses and has not experienced any losses in such accounts.

Property and Equipment

Purchased property and equipment are recorded at cost. Maintenance and repairs are expensed as incurred. All property and equipment purchased with government funding, whereas the government agency retains legal title to the long lived asset is expensed as incurred. No amortization is recorded on construction-in-progress until property is placed into service. Depreciation and amortization is provided on the straight line method over the estimated useful lives as follows:

| | |
|-------------------------------|------------------------------|
| Computers and other equipment | 3 to 5 years |
| Furniture and fixtures | 7 years |
| Leasehold improvements | Useful life or related lease |

Refundable Advances

The School records certain government grants and contracts as refundable advances until related services are performed, at which time it is recognized as revenue.

Deferred Rent

The School records its rent in accordance with FASB ASC No. 840-20, whereby all rental payments, included fixed rent increases, are recognized on a straight-line basis as an offset to rent expense. The difference between the straight-line rent expense and the required lease payments, as well as any unamortized lease incentive, is reflected in the deferred rent in the accompanying financial statements.

CAPITAL PREPARATORY HARBOR SCHOOL
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2016

NOTE 2 - GRANTS AND CONTRACTS RECEIVABLE

Grants and contracts receivable consists of federal and city entitlements and grants. The School expects to collect these receivables within one year.

NOTE 3 - PROPERTY AND EQUIPMENT

Property and equipment consists of the following at June 30, 2016:

| | |
|---|-------------------|
| Computers and other equipment | \$ 94,318 |
| Furniture and fixtures | 133,993 |
| Leasehold improvements | <u>83,040</u> |
| | 311,351 |
| Less: Accumulated depreciation and amortization | <u>(50,196)</u> |
| Total property and equipment, net | <u>\$ 261,155</u> |

Depreciation and amortization expense was \$50,196 for the period from September 5, 2014 (inception) to June 30, 2016.

NOTE 4 - RELATED PARTY TRANSACTIONS

The School is affiliated with two entities related by common management: Capital Preparatory Schools, Inc. ("CPS") a Connecticut, non-stock corporation and Capital Preparatory Harlem School ("Harlem") a New York, not-for-profit educational corporation.

On February 25, 2015, the School entered into an interim service agreement with CPS to assist in securing a facility on the School's behalf and other related costs during the pre-opening period. During fiscal 2016, the School entered into a full service agreement with CPS to undertake, on its behalf, functions in regards to business, administrative, and academic services of the School. As compensation to CPS for these services rendered, the School shall pay to CPS an amount each year equal to 10% of the School's state and local per pupil operating revenue.

For the period from September 5, 2014 (inception) to June 30, 2016, the School incurred \$273,900 in management fees payable to CPS along with \$257,514 of operating expenses paid by CPS on behalf of the School. CPS forgave the School the total amount due of \$531,414 prior to June 30, 2016 (see Note 10).

There were no outstanding balances between the School and related parties at June 30, 2016.

NOTE 5 - REVENUE CONCENTRATION

The School receives a substantial portion of its support and revenue from Connecticut State Department of Education. If the charter school laws were modified, reducing or eliminating these revenues, the School's finances could be materially adversely affected.

CAPITAL PREPARATORY HARBOR SCHOOL
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2016

NOTE 6 - RISK MANAGEMENT

The School is exposed to various risks of loss related to torts; thefts of, damage to, and destruction of assets; actions by employees and parents and natural disasters. The School maintains commercial insurance to protect itself from these risks. The School entered into contractual relationships with certain governmental funding sources. The governmental agencies may request return of funds as a result of noncompliance by the School, as well as additional funds for the use of facilities. The accompanying financial statements make no provision for the possible disallowance or refund, because management does not believe that there are any liabilities to be recorded.

NOTE 7 - FUNCTIONAL ALLOCATION OF EXPENSE

Directly identifiable expenses are charged to programs and supporting services. Expenses related to more than one function are charged to programs and supporting services on the basis of periodic time and expense studies. Management and general expense includes those expenses that are not directly identifiable with any other specific function, but provide for the overall support and direction of the School.

NOTE 8 - PENSION PLAN

Certain employees of the School are required to participate in a defined benefit plan established and administered by the Connecticut State Teachers' Retirement Board (the "Plan"). The School is not required to and does not contribute to the Plan.

NOTE 9 - COMMITMENTS- FACILITY LEASE

On June 30, 2015, the School entered into an operating lease agreement with 779 Main State LLC to lease the first and second floor of a building located at 777-779 Main Street in Bridgeport, Connecticut. The lease term commenced on August 19, 2015 and expires on September 30, 2025, with an option to extend the lease for an additional 10 years. Under the terms of the lease, the School paid a security deposit in the amount of \$124,451. The School is responsible for real estate taxes, utilities, custodial services, and maintenance.

Future minimum lease payments are as follows:

| | |
|---------------------------|---------------------|
| Year ending June 30, 2017 | \$ 373,352 |
| 2019 | 373,352 |
| 2019 | 409,464 |
| 2020 | 433,539 |
| 2021 | 449,589 |
| Thereafter | <u>2,088,307</u> |
| | <u>\$ 4,127,603</u> |

Building and land rent/lease expense for the period from September 5, 2014 (inception) to June 30, 2016 was \$401,060.

CAPITAL PREPARATORY HARBOR SCHOOL
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2016

NOTE 10 - DONATED SERVICES

Donated services are recognized as contributions in accordance with FASB ASC No. 605, "Accounts for contributions Received and Contributions Made," if the services (a) create or enhance nonfinancial assets or (b) require specialized skills, are performed by people with those skills, and would otherwise be purchased by the School and (c) are measurable.

CPS, the School's charter management organization, provided business, administrative, academic services, and other operating support at no charge. The value of these services meets the criteria for recognition in the financial statements and is recorded at fair value. For the period from September 5, 2014 (inception) to June 30, 2016, the value of such donated services amounted to \$531,414.

NOTE 11 - SUBSEQUENT EVENTS

In preparing these financial statements, the School has evaluated events and transactions for potential recognition or disclosure through December 29, 2016, the date the financial statements were available to be issued. The School had no material events requiring disclosure except as noted below.

FRUCHTER ROSEN & COMPANY, P.C.

CERTIFIED PUBLIC ACCOUNTANTS

NEW YORK, NEW YORK 10019

INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS*

TO THE BOARD OF TRUSTEES OF
CAPITAL PREPARATORY HARBOR SCHOOL

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of Capital Preparatory Harbor School (the "School"), which comprise the statement of financial position as of June 30, 2016, and the related statements of activities, functional expenses, and cash flows for the period from September 5, 2014 (inception) to June 30, 2016, and the related notes to the financial statements, and have issued our report thereon dated December 29, 2016.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered The School's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the School's internal control. Accordingly, we do not express an opinion on the effectiveness of the School's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the School's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

TO THE BOARD OF TRUSTEES OF
CAPITAL PREPARATORY HARBOR SCHOOL

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the School's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed an instance of noncompliance or other matters that is required to be reported under *Government Auditing Standards*, which is described in the accompanying schedule of findings and questioned costs as item 2016-001.

Management's Response to Findings

Management's response to the finding identified in our audit is described in the accompanying schedule of findings and questioned costs. Management's response was not subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on it.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the School's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the School's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.


FRUCHTER ROSEN & COMPANY, P.C.
Certified Public Accountants

New York, New York
December 29, 2016

INDEPENDENT AUDITORS' REPORT ON COMPLIANCE FOR EACH
MAJOR STATE PROGRAM AND ON INTERNAL CONTROL OVER
COMPLIANCE REQUIRED BY THE STATE SINGLE AUDIT ACT

TO THE BOARD OF TRUSTEES OF
CAPITAL PREPARATORY HARBOR SCHOOL

Report on Compliance for Each Major State Program

We have audited Capital Preparatory Harbor School (the "School") compliance with the types of compliance requirements described in the Office of Policy and Management's Compliance Supplement that could have a direct and material effect on each of the School's major state programs for the year ended June 30, 2016. The School's major state programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with the requirements of laws, regulations, contracts and grants applicable to each of its state program.

Auditors' Responsibility

Our responsibility is to express an opinion on compliance for each of the School's major state programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the State Single Audit Act (C.G.S. Sections 4-230 to 4-236). Those standards and the State Single Audit Act require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major state program occurred. An audit includes examining, on a test basis, evidence about the School's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major state program. However, our audit does not provide a legal determination of the School's compliance.

TO THE BOARD OF TRUSTEES OF
CAPITAL PREPARATORY HARBOR SCHOOL

Opinion on Each Major State Program

In our opinion, the School complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major state programs for the year ended June 30, 2016.

Other Matters

The results of our auditing procedures disclosed an instance of noncompliance, which is required to be reported in accordance with the State Single Audit Act and which are described in the accompanying schedule of findings and questioned costs as item 2016-001. Our opinion on each major state program is not modified with respect to these matters.

The Schools's response to the noncompliance finding identified in our audit is described in the accompanying schedule of findings and questioned costs. The School's response was not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the response.

Report on Internal Control over Compliance

Management of the School is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the School's internal control over compliance with the types of requirements that could have a direct and material effect on each major state program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major state program and to test and report on internal control over compliance in accordance with the State Single Audit Act, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the School's internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a state program on a timely basis. A material weakness in internal control over compliance is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a state program will not be prevented, or detected and corrected, on a timely basis. A significant deficiency in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a state program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

TO THE BOARD OF TRUSTEES OF
CAPITAL PREPARATORY HARBOR SCHOOL

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, we identified a deficiency in internal control over compliance, as described in the accompanying schedule of findings and questioned costs as item 2016-001 that we consider to be a significant deficiency.

The School's response to the internal control over compliance finding identified in our audit is described in the accompanying schedule of findings and questioned costs. The School's response was not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the response.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the State Single Audit Act. Accordingly, this report is not suitable for any other purpose.


FRUCHTER ROSEN & COMPANY, P.C.
Certified Public Accountants

New York, New York
December 29, 2016

CAPITAL PREPARATORY HARBOR SCHOOL
 SCHEDULE OF EXPENDITURES OF STATE FINANCIAL ASSISTANCE
 FOR THE YEAR ENDED JUNE 30, 2016

| State Grantor/Pass-Through Grantor/Program Title | State Grant Program Core-CT Number | Total State Expenditures |
|---|---------------------------------------|-----------------------------|
| Connecticut State Department of Education: Passed through the City of Bridgeport: Charter Schools | 11000-SDE64000-17041-84179 | <u>\$ 2,739,000</u> |

See accompanying notes to the schedule of expenditures of state financial assistance.

CAPITAL PREPARATORY HARBOR SCHOOL
NOTES TO SCHEDULE OF EXPENDITURES OF STATE FINANCIAL ASSISTANCE
FOR THE YEAR ENDED JUNE 30, 2016

The accompanying schedule of expenditures of state financial assistance includes state grant activity of the School under programs of the State of Connecticut for the fiscal year ended June 30, 2016. Various departments and agencies of the State of Connecticut have provided financial assistance through grants and other authorizations in accordance with the General Statutes of the State of Connecticut. These financial assistance program fund several programs including charter school funding.

NOTE A - BASIS OF PRESENTATION

The accompanying schedule of expenditures of state financial assistance is reported on the accrual basis of accounting. In accordance with Section 4-236-22 of the Regulations to the State Single Audit Act, certain grants are not dependent on expenditure activity and, accordingly, are considered to be expended in the fiscal year of receipt. These grant program receipts are reflected in the expenditures column of the schedule of expenditures of state financial assistance.

NOTE B - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The accounting policies of the School conform to accounting principles generally accepted in the United States of America as applicable to not-for-profit entities. The information in the schedule of expenditures of state financial assistance is presented based upon regulations established by the State of Connecticut, Office of Policy and Management.

CAPITAL PREPARATORY HARBOR SCHOOL
 SCHEDULE OF FINDINGS AND QUESTIONED COSTS
 FOR THE YEAR ENDED JUNE 30, 2016

I. Summary of Auditors' Results:

Financial Statements:

| | | |
|---|------------|-----------------------|
| Type of auditors' report issued: | Unmodified | |
| Internal control over financial reporting: | | |
| Material weakness(es) identified? | _____ Yes | ___X___ No |
| Significant deficiency(ies) identified? | _____ Yes | ___X___ None reported |
| Noncompliance material to financial statements noted? | _____ Yes | ___X___ No |

State Financial Assistance:

| | | |
|---|-------------|---------------------|
| Internal control over major programs: | | |
| Material weakness(es) identified? | _____ Yes | ___X___ No |
| Significant deficiency(ies) identified? | ___X___ Yes | _____ None reported |
| Type of auditor's report issued on compliance for major programs: | Unmodified | |
| Any audit findings disclosed that are required to be reported in accordance with Section 4-236-24 of the Regulations to the State Single Audit Act? | _____ Yes | ___X___ No |

Identification of major programs:

| | |
|----------------------------|--|
| State Grant Program | |
| Core-CT Number _____ | State Grantor and Program _____ |
| 11000-SDE64000-17041-84179 | Connecticut State Department of Education Charter Schools |

Dollar threshold used to distinguish between type A and type B programs: \$200,000

II. Financial Statement Findings:

None

CAPITAL PREPARATORY HARBOR SCHOOL
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
FOR THE YEAR ENDED JUNE 30, 2016

III. State Financial Assistance Findings and Questioned Costs:

Finding 2016-001

Criteria

Connecticut General Statutes 10-145(a) requires that all teachers, supervisors, administrators, special service staff members or School superintendent employed by the School must possess an appropriate state certificate prior to the first day of employment.

Condition

During fiscal 2016, the School had employees without proper certification credentials.

Context

11 out of 25 employees in the covered positions were not properly certified in their content area.

Cause

Current policies and procedures do not provide adequate oversight of compliance with this regulation.

Effect

While the School funds these positions through governmental sources of funds, the State Board of Education may levy fines or withhold state funding.

Recommendation

We recommend that management institute procedures to ensure adequate compliance with C.G.S. 10-145(a).

Management's response and planned corrective action:

The school acknowledges the finding for non-certified teachers. Due to a teacher shortage and the school's commitment to diversity, the school will continue to hire qualified staff to support our students. Multiple teachers who uncertified last year have since become certified. The school will continue to work with staff to obtain the proper certifications in accordance with the state.

Form **990**

Return of Organization Exempt From Income Tax

OMB No. 1545-0047

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

2015
Open to Public Inspection

Department of the Treasury
Internal Revenue Service

Do not enter social security numbers on this form as it may be made public.

Information about Form 990 and its instructions is at www.irs.gov/form990.

A For the 2015 calendar year, or tax year beginning **JUL 1, 2015** and ending **JUN 30, 2016**

| | | |
|--|---|---|
| B Check if applicable: <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Final return/terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending | C Name of organization CAPITAL PREPARATORY HARLEM CHARTER SCHOOL Doing business as Number and street (or P.O. box if mail is not delivered to street address) Room/suite [REDACTED] 403 City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10029 F Name and address of principal officer: DEREK FERGUSON SAME AS C ABOVE | D Employer identification number [REDACTED] E Telephone number [REDACTED] G Gross receipts \$ 696,302. H(a) Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No H(b) Are all subordinates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list. (see instructions) H(c) Group exemption number ▶ |
| I Tax-exempt status: <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) () (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527 | | |
| J Website: ▶ WWW.CAPITALPREPHARLEM.ORG | | |
| K Form of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶ | | L Year of formation: 2014 M State of legal domicile: NY |

Part I Summary

| | | | | |
|------------------------------------|----------------|---|--|-----------------|
| | 1 | Briefly describe the organization's mission or most significant activities: CAPITAL PREPARATORY HARLEM SCHOOLS PROVIDES HISTORICALLY DISADVANTAGED STUDENTS WITH THE | | |
| | 2 | Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets. | | |
| Activities & Governance | 3 | Number of voting members of the governing body (Part VI, line 1a) | 3 | 6 |
| | 4 | Number of independent voting members of the governing body (Part VI, line 1b) | 4 | 6 |
| | 5 | Total number of individuals employed in calendar year 2015 (Part V, line 2a) | 5 | 2 |
| | 6 | Total number of volunteers (estimate if necessary) | 6 | 6 |
| | 7a | Total unrelated business revenue from Part VIII, column (C), line 12 | 7a | 0. |
| | 7b | Net unrelated business taxable income from Form 990-T, line 34 | 7b | 0. |
| | Revenue | 8 | Contributions and grants (Part VIII, line 1h) | 8 |
| 9 | | Program service revenue (Part VIII, line 2g) | 9 | 696,302. |
| 10 | | Investment income (Part VIII, column (A), lines 3, 4, and 7d) | 10 | 0. |
| 11 | | Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) | 11 | 0. |
| 12 | | Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) | 12 | 0. |
| Expenses | | 13 | Grants and similar amounts paid (Part IX, column (A), lines 1-3) | 13 |
| | 14 | Benefits paid to or for members (Part IX, column (A), line 4) | 14 | 0. |
| | 15 | Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10) | 15 | 273,895. |
| | 16a | Professional fundraising fees (Part IX, column (A), line 11e) | 16a | 0. |
| | 16b | Total fundraising expenses (Part IX, column (D), line 25) ▶ 0. | 16b | 0. |
| | 17 | Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) | 17 | 92,879. |
| Net Assets or Fund Balances | 18 | Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) | 18 | 0. |
| | 19 | Revenue less expenses. Subtract line 18 from line 12 | 19 | 329,528. |
| | 20 | Total assets (Part X, line 16) | 20 | 0. |
| | 21 | Total liabilities (Part X, line 26) | 21 | 0. |
| | 22 | Net assets or fund balances. Subtract line 21 from line 20 | 22 | 0. |

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

| | | | | |
|-------------------------------|---|---|-------------------------|---|
| Sign Here | Signature of officer DEREK FERGUSON, BOARD CHAIR Type or print name and title | Date | | |
| Paid Preparer Use Only | Print/Type preparer's name GARRETT M. HIGGINS | Preparer's signature GARRETT M. HIGGINS | Date 05/12/17 | Check <input type="checkbox"/> if self-employed PTIN P00543209 |
| | Firm's name ▶ PKF O'CONNOR DAVIES, LLP Firm's address ▶ NEW YORK, NY 10022 | Firm's EIN ▶ [REDACTED] Phone no. [REDACTED] | | |

May the IRS discuss this return with the preparer shown above? (see instructions) Yes No

CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL

Form 990 (2015)

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III

1 Briefly describe the organization's mission:

THE MISSION OF CAPITAL PREPARATORY SCHOOLS IS TO PROVIDE HISTORICALLY DISADVANTAGED STUDENTS WITH THE COLLEGE AND CAREER READINESS SKILLS NEEDED TO BECOME RESPONSIBLE AND ENGAGED CITIZENS FOR SOCIAL JUSTICE.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? Yes No

If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? Yes No

If "Yes," describe these changes on Schedule O.

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code: _____) (Expenses \$ 324,156. including grants of \$ _____) (Revenue \$ _____)

CAPITAL PREPARATORY HARLEM SCHOOLS PROVIDES HISTORICALLY DISADVANTAGED STUDENTS WITH THE COLLEGE AND CAREER READINESS SKILLS NEEDED TO BECOME RESPONSIBLE AND ENGAGED CITIZENS FOR SOCIAL JUSTICE.

4b (Code: _____) (Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)

4c (Code: _____) (Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)

4d Other program services (Describe in Schedule O.)

(Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)

4e Total program service expenses **324,156.**

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Part IV Checklist of Required Schedules

| | Yes | No |
|---|----------|----------|
| 1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A</i> | X | |
| 2 Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> ? | | X |
| 3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i> | | X |
| 4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i> | | X |
| 5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III</i> | | X |
| 6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I</i> | | X |
| 7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i> | | X |
| 8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i> | | X |
| 9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV</i> | | X |
| 10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V</i> | | X |
| 11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable. | | |
| a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI</i> | X | |
| b Did the organization report an amount for investments - other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII</i> | | X |
| c Did the organization report an amount for investments - program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII</i> | | X |
| d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX</i> | | X |
| e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i> | | X |
| f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X</i> | | X |
| 12a Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i> | | X |
| b Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i> | | X |
| 13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i> | X | |
| 14a Did the organization maintain an office, employees, or agents outside of the United States? | | X |
| b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? <i>If "Yes," complete Schedule F, Parts I and IV</i> | | X |
| 15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? <i>If "Yes," complete Schedule F, Parts II and IV</i> | | X |
| 16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? <i>If "Yes," complete Schedule F, Parts III and IV</i> | | X |
| 17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i> | | X |
| 18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i> | | X |
| 19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i> | | X |

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Part IV Checklist of Required Schedules *(continued)*

| | Yes | No |
|--|----------|----------|
| 20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i> | | X |
| b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return? | | |
| 21 Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i> | | X |
| 22 Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i> | | X |
| 23 Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i> | | X |
| 24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a</i> | | X |
| b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? | | |
| c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? | | |
| d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? | | |
| 25a Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i> | | X |
| b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i> | | X |
| 26 Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? <i>If "Yes," complete Schedule L, Part II</i> | | X |
| 27 Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III</i> | | X |
| 28 Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions): | | |
| a A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> | | X |
| b A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> | | X |
| c An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV</i> | | X |
| 29 Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i> | | X |
| 30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i> | | X |
| 31 Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i> | | X |
| 32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i> | | X |
| 33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i> | | X |
| 34 Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1</i> | | X |
| 35a Did the organization have a controlled entity within the meaning of section 512(b)(13)? | | X |
| b If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2</i> | | |
| 36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i> | | X |
| 37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i> | | X |
| 38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? Note. All Form 990 filers are required to complete Schedule O | X | |

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Form 990 (2015)

Part V Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response or note to any line in this Part V

| | | Yes | No |
|------------|--|-----|----|
| 1a | Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable | | |
| 1b | Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable | | |
| 1c | Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? | | |
| 2a | Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return | | |
| 2b | If at least one is reported on line 2a, did the organization file all required federal employment tax returns? Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions) | X | |
| 3a | Did the organization have unrelated business gross income of \$1,000 or more during the year? | | X |
| 3b | If "Yes," has it filed a Form 990-T for this year? If "No," to line 3b, provide an explanation in Schedule O | | |
| 4a | At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? | | X |
| 4b | If "Yes," enter the name of the foreign country: See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR). | | |
| 5a | Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? | | X |
| 5b | Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? | | X |
| 5c | If "Yes," to line 5a or 5b, did the organization file Form 8886-T? | | |
| 6a | Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions? | | X |
| 6b | If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? | | |
| 7 | Organizations that may receive deductible contributions under section 170(c). | | |
| 7a | Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor? | | X |
| 7b | If "Yes," did the organization notify the donor of the value of the goods or services provided? | | |
| 7c | Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? | | X |
| 7d | If "Yes," indicate the number of Forms 8282 filed during the year | | |
| 7e | Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? | | X |
| 7f | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | | X |
| 7g | If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required? | | |
| 7h | If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? | | |
| 8 | Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year? | | |
| 9 | Sponsoring organizations maintaining donor advised funds. | | |
| 9a | Did the sponsoring organization make any taxable distributions under section 4966? | | |
| 9b | Did the sponsoring organization make a distribution to a donor, donor advisor, or related person? | | |
| 10 | Section 501(c)(7) organizations. Enter: | | |
| 10a | Initiation fees and capital contributions included on Part VIII, line 12 | | |
| 10b | Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities | | |
| 11 | Section 501(c)(12) organizations. Enter: | | |
| 11a | Gross income from members or shareholders | | |
| 11b | Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.) | | |
| 12a | Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041? | | |
| 12b | If "Yes," enter the amount of tax-exempt interest received or accrued during the year | | |
| 13 | Section 501(c)(29) qualified nonprofit health insurance issuers. | | |
| 13a | Is the organization licensed to issue qualified health plans in more than one state? Note. See the instructions for additional information the organization must report on Schedule O. | | |
| 13b | Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans | | |
| 13c | Enter the amount of reserves on hand | | |
| 14a | Did the organization receive any payments for indoor tanning services during the tax year? | | X |
| 14b | If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O | | |



Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI

Section A. Governing Body and Management

| | | Yes | No |
|-----------|--|-----|----|
| 1a | Enter the number of voting members of the governing body at the end of the tax year If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O. | | |
| 1b | Enter the number of voting members included in line 1a, above, who are independent | | |
| 2 | Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? | | X |
| 3 | Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person? | X | |
| 4 | Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? | | X |
| 5 | Did the organization become aware during the year of a significant diversion of the organization's assets? | | X |
| 6 | Did the organization have members or stockholders? | | X |
| 7a | Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? | | X |
| 7b | Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? | | X |
| 8 | Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following: | | |
| 8a | The governing body? | X | |
| 8b | Each committee with authority to act on behalf of the governing body? | X | |
| 9 | Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O | | X |

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

| | | Yes | No |
|------------|--|-----|----|
| 10a | Did the organization have local chapters, branches, or affiliates? | | X |
| 10b | If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? | | |
| 11a | Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? | X | |
| 11b | Describe in Schedule O the process, if any, used by the organization to review this Form 990. | | |
| 12a | Did the organization have a written conflict of interest policy? If "No," go to line 13 | X | |
| 12b | Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? | X | |
| 12c | Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done | X | |
| 13 | Did the organization have a written whistleblower policy? | X | |
| 14 | Did the organization have a written document retention and destruction policy? | X | |
| 15 | Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision? | | |
| 15a | The organization's CEO, Executive Director, or top management official | | X |
| 15b | Other officers or key employees of the organization | | X |
| 16a | Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? | | X |
| 16b | If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements? | | |

Section C. Disclosure

- 17** List the states with which a copy of this Form 990 is required to be filed **NONE**
- 18** Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
 Own website Another's website Upon request Other (explain in Schedule O)
- 19** Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.
- 20** State the name, address, and telephone number of the person who possesses the organization's books and records: **DEREK FERGUSON - [REDACTED] NEW YORK, NY 10029**

CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL

Form 990 (2015)

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

Check if Schedule O contains a response or note to any line in this Part VII

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

| (A) Name and Title | (B) Average hours per week (list any hours for related organizations below line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W-2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|-----------------------|---------|--------------|------------------------------|--------|--|---|---|
| | | Individual trustee or director | Institutional trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| (1) DERECK FERGUSON BOARD CHAIR | 2.00 | X | | X | | | | 0. | 0. | 0. |
| (2) MAURICE L. COLEMAN TREASURER | 2.00 | X | | X | | | | 0. | 0. | 0. |
| (3) VINCE MORGAN SECRETARY | 2.00 | X | | X | | | | 0. | 0. | 0. |
| (4) DR. STEVE PERRY MEMBER | 2.00 | X | | | | | | 0. | 0. | 0. |
| (5) IYANLA VANZANT MEMBER | 2.00 | X | | | | | | 0. | 0. | 0. |
| (6) GEORGIETTE MORGAN-THOMAS MEMBER | 2.00 | X | | | | | | 0. | 0. | 0. |
| (7) DANITA JONES PRINCIPAL | 55.00 | | | X | | | | 41,648. | 0. | 604. |
| (8) TAYLOR BRENAL DIRECTOR OF OPERATIONS | 55.00 | | | X | | | | 41,387. | 0. | 0. |
| | | | | | | | | | | |
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**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

| (A) Name and title | (B) Average hours per week (list any hours for related organizations below line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W-2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|--|---|---|-----------------------|---------|--------------|------------------------------|---------|--|---|---|
| | | Individual trustee or director | Institutional trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| | | | | | | | | | | |
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| | | | | | | | | | | |
| 1b Sub-total | | | | | | | 83,035. | 0. | 604. | |
| c Total from continuation sheets to Part VII, Section A | | | | | | | 0. | 0. | 0. | |
| d Total (add lines 1b and 1c) | | | | | | | 83,035. | 0. | 604. | |

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **0**

| | Yes | No |
|--|-----|----|
| 3 Did the organization list any former officer, director, or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i> | | X |
| 4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <i>If "Yes," complete Schedule J for such individual</i> | | X |
| 5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i> | | X |

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

| (A) Name and business address | (B) Description of services | (C) Compensation |
|----------------------------------|--------------------------------|---------------------|
| NONE | | |
| | | |
| | | |
| | | |
| | | |

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **0**

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**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Form 990 (2015)

Part VIII Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII

| | | | (A) Total revenue | (B) Related or exempt function revenue | (C) Unrelated business revenue | (D) Revenue excluded from tax under sections 512 - 514 | |
|--|--|--|----------------------|---|---|--|--|
| Contributions, Gifts, Grants and Other Similar Amounts | 1 a Federated campaigns | 1a | | | | | |
| | b Membership dues | 1b | | | | | |
| | c Fundraising events | 1c | | | | | |
| | d Related organizations | 1d | | | | | |
| | e Government grants (contributions) | 1e | 696,152. | | | | |
| | f All other contributions, gifts, grants, and similar amounts not included above | 1f | 150. | | | | |
| | g Noncash contributions included in lines 1a-1f: \$ | | | | | | |
| | h Total. Add lines 1a-1f | | 696,302. | | | | |
| Program Service Revenue | 2 a _____ | Business Code | | | | | |
| | b _____ | | | | | | |
| | c _____ | | | | | | |
| | d _____ | | | | | | |
| | e _____ | | | | | | |
| | f All other program service revenue | | | | | | |
| | g Total. Add lines 2a-2f | | | | | | |
| Other Revenue | 3 Investment income (including dividends, interest, and other similar amounts) | | | | | | |
| | 4 Income from investment of tax-exempt bond proceeds | | | | | | |
| | 5 Royalties | | | | | | |
| | 6 a Gross rents | (i) Real | (ii) Personal | | | | |
| | | b Less: rental expenses | | | | | |
| | | c Rental income or (loss) | | | | | |
| | | d Net rental income or (loss) | | | | | |
| | 7 a Gross amount from sales of assets other than inventory | (i) Securities | (ii) Other | | | | |
| | | b Less: cost or other basis and sales expenses | | | | | |
| | | c Gain or (loss) | | | | | |
| | | d Net gain or (loss) | | | | | |
| | 8 a Gross income from fundraising events (not including \$ _____ of contributions reported on line 1c). See Part IV, line 18 | a | | | | | |
| | | b Less: direct expenses | b | | | | |
| | | c Net income or (loss) from fundraising events | | | | | |
| | 9 a Gross income from gaming activities. See Part IV, line 19 | a | | | | | |
| b Less: direct expenses | | b | | | | | |
| c Net income or (loss) from gaming activities | | | | | | | |
| 10 a Gross sales of inventory, less returns and allowances | a | | | | | | |
| | b Less: cost of goods sold | b | | | | | |
| | c Net income or (loss) from sales of inventory | | | | | | |
| Miscellaneous Revenue | | Business Code | | | | | |
| 11 a _____ | | | | | | | |
| | b _____ | | | | | | |
| | c _____ | | | | | | |
| | d All other revenue | | | | | | |
| | e Total. Add lines 11a-11d | | | | | | |
| 12 Total revenue. See instructions. | | | 696,302. | 0. | 0. | 0. | |

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Form 990 (2015)

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX

| Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII. | (A) Total expenses | (B) Program service expenses | (C) Management and general expenses | (D) Fundraising expenses |
|--|-----------------------|---------------------------------|--|-----------------------------|
| 1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21 | | | | |
| 2 Grants and other assistance to domestic individuals. See Part IV, line 22 | | | | |
| 3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16 | | | | |
| 4 Benefits paid to or for members | | | | |
| 5 Compensation of current officers, directors, trustees, and key employees | 204,735. | 204,735. | | |
| 6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) | | | | |
| 7 Other salaries and wages | 40,181. | 40,181. | | |
| 8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions) | | | | |
| 9 Other employee benefits | 5,703. | 5,703. | | |
| 10 Payroll taxes | 23,276. | 23,276. | | |
| 11 Fees for services (non-employees): | | | | |
| a Management | | | | |
| b Legal | 31,435. | | 31,435. | |
| c Accounting | 4,000. | | 4,000. | |
| d Lobbying | | | | |
| e Professional fundraising services. See Part IV, line 17 | | | | |
| f Investment management fees | | | | |
| g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.) | 1,840. | | 1,840. | |
| 12 Advertising and promotion | 13,164. | 13,164. | | |
| 13 Office expenses | 16,665. | 14,106. | 2,559. | |
| 14 Information technology | 7,736. | 6,189. | 1,547. | |
| 15 Royalties | | | | |
| 16 Occupancy | 2,967. | 2,374. | 593. | |
| 17 Travel | 11,853. | 11,853. | | |
| 18 Payments of travel or entertainment expenses for any federal, state, or local public officials | | | | |
| 19 Conferences, conventions, and meetings | | | | |
| 20 Interest | | | | |
| 21 Payments to affiliates | | | | |
| 22 Depreciation, depletion, and amortization | | | | |
| 23 Insurance | 3,219. | 2,575. | 644. | |
| 24 Other expenses. Itemize expenses not covered above. (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.) | | | | |
| a _____ | | | | |
| b _____ | | | | |
| c _____ | | | | |
| d _____ | | | | |
| e All other expenses _____ | | | | |
| 25 Total functional expenses. Add lines 1 through 24e | 366,774. | 324,156. | 42,618. | 0. |
| 26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. | | | | |

Check here if following SOP 98-2 (ASC 958-720)

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Form 990 (2015)

Part X Balance Sheet

Check if Schedule O contains a response or note to any line in this Part X

| | | (A) Beginning of year | | (B) End of year | |
|---|---|--------------------------|-----------|--------------------|----------|
| Assets | 1 Cash - non-interest-bearing | | 1 | 165,113. | |
| | 2 Savings and temporary cash investments | | 2 | | |
| | 3 Pledges and grants receivable, net | | 3 | 180,194. | |
| | 4 Accounts receivable, net | | 4 | | |
| | 5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L | | 5 | | |
| | 6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instr). Complete Part II of Sch L | | 6 | | |
| | 7 Notes and loans receivable, net | | 7 | | |
| | 8 Inventories for sale or use | | 8 | | |
| | 9 Prepaid expenses and deferred charges | | 9 | | |
| | 10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D | 10a | 350,285. | | |
| | b Less: accumulated depreciation | 10b | 0. | 10c | 350,285. |
| | 11 Investments - publicly traded securities | | 11 | | |
| | 12 Investments - other securities. See Part IV, line 11 | | 12 | | |
| | 13 Investments - program-related. See Part IV, line 11 | | 13 | | |
| | 14 Intangible assets | | 14 | | |
| | 15 Other assets. See Part IV, line 11 | | 15 | | |
| 16 Total assets. Add lines 1 through 15 (must equal line 34) | | 0. | 16 | 695,592. | |
| Liabilities | 17 Accounts payable and accrued expenses | | 17 | 366,064. | |
| | 18 Grants payable | | 18 | | |
| | 19 Deferred revenue | | 19 | | |
| | 20 Tax-exempt bond liabilities | | 20 | | |
| | 21 Escrow or custodial account liability. Complete Part IV of Schedule D | | 21 | | |
| | 22 Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L | | 22 | | |
| | 23 Secured mortgages and notes payable to unrelated third parties | | 23 | | |
| | 24 Unsecured notes and loans payable to unrelated third parties | | 24 | | |
| | 25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D | | 25 | | |
| | 26 Total liabilities. Add lines 17 through 25 | | 0. | 26 | 366,064. |
| Net Assets or Fund Balances | Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34. | | | | |
| | 27 Unrestricted net assets | | 27 | 329,528. | |
| | 28 Temporarily restricted net assets | | 28 | | |
| | 29 Permanently restricted net assets | | 29 | | |
| | Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34. | | | | |
| | 30 Capital stock or trust principal, or current funds | | 30 | | |
| | 31 Paid-in or capital surplus, or land, building, or equipment fund | | 31 | | |
| | 32 Retained earnings, endowment, accumulated income, or other funds | | 32 | | |
| 33 Total net assets or fund balances | | 0. | 33 | 329,528. | |
| 34 Total liabilities and net assets/fund balances | | 0. | 34 | 695,592. | |

Form **990** (2015)

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Form 990 (2015)

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI

| | | | |
|-----------|--|-----------|----------|
| 1 | Total revenue (must equal Part VIII, column (A), line 12) | 1 | 696,302. |
| 2 | Total expenses (must equal Part IX, column (A), line 25) | 2 | 366,774. |
| 3 | Revenue less expenses. Subtract line 2 from line 1 | 3 | 329,528. |
| 4 | Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A)) | 4 | 0. |
| 5 | Net unrealized gains (losses) on investments | 5 | |
| 6 | Donated services and use of facilities | 6 | |
| 7 | Investment expenses | 7 | |
| 8 | Prior period adjustments | 8 | |
| 9 | Other changes in net assets or fund balances (explain in Schedule O) | 9 | 0. |
| 10 | Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B)) | 10 | 329,528. |

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII

| | | Yes | No |
|-----------|---|-----|----------|
| 1 | Accounting method used to prepare the Form 990: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O. | | |
| 2a | Were the organization's financial statements compiled or reviewed by an independent accountant? _____ If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both: <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis | | X |
| b | Were the organization's financial statements audited by an independent accountant? _____ If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both: <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis | | X |
| c | If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? _____ If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O. | | |
| 3a | As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133? _____ | | X |
| b | If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits _____ | | |

Form **990** (2015)

SCHEDULE A
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support


Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.
▶ Attach to Form 990 or Form 990-EZ.

OMB No. 1545-0047

2015

Open to Public Inspection

▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

Name of the organization **CAPITAL PREPARATORY HARLEM CHARTER SCHOOL** Empl 

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 11, check only one box.)

- 1 A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2 A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990 or 990-EZ).)
- 3 A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4 A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state: _____
- 5 An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)
- 6 A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7 An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 8 A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 9 An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)
- 10 An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**
- 11 An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box in lines 11a through 11d that describes the type of supporting organization and complete lines 11e, 11f, and 11g.
 - a **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
 - b **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
 - c **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
 - d **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
 - e Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
 - f Enter the number of supported organizations
- g Provide the following information about the supported organization(s).

| (i) Name of supported organization | (ii) EIN | (iii) Type of organization (described on lines 1-9 above (see instructions)) | (iv) Is the organization listed in your governing document? | | (v) Amount of monetary support (see instructions) | (vi) Amount of other support (see instructions) |
|------------------------------------|----------|--|---|----|---|---|
| | | | Yes | No | | |
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| Total | | | | | | |

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 17

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Table with 7 columns: (a) 2011, (b) 2012, (c) 2013, (d) 2014, (e) 2015, (f) Total. Rows include: 1 Gifts, grants, contributions, and membership fees received; 2 Tax revenues levied for the organization's benefit; 3 The value of services or facilities furnished by a governmental unit; 4 Total. Add lines 1 through 3; 5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f); 6 Public support. Subtract line 5 from line 4.

Section B. Total Support

Table with 7 columns: (a) 2011, (b) 2012, (c) 2013, (d) 2014, (e) 2015, (f) Total. Rows include: 7 Amounts from line 4; 8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources; 9 Net income from unrelated business activities, whether or not the business is regularly carried on; 10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.); 11 Total support. Add lines 7 through 10; 12 Gross receipts from related activities, etc. (see instructions); 13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here.

Section C. Computation of Public Support Percentage

Table with 3 columns: Description, Amount, Percentage. Rows include: 14 Public support percentage for 2015 (line 6, column (f) divided by line 11, column (f)); 15 Public support percentage from 2014 Schedule A, Part II, line 14; 16a 33 1/3% support test - 2015; b 33 1/3% support test - 2014; 17a 10% -facts-and-circumstances test - 2015; b 10% -facts-and-circumstances test - 2014; 18 Private foundation.

Part III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Table with 7 columns: (a) 2011, (b) 2012, (c) 2013, (d) 2014, (e) 2015, (f) Total. Rows include: 1 Gifts, grants, contributions, and membership fees received; 2 Gross receipts from admissions; 3 Gross receipts from activities that are not an unrelated trade or business; 4 Tax revenues levied for the organization's benefit; 5 The value of services or facilities furnished by a governmental unit; 6 Total; 7a Amounts included on lines 1, 2, and 3 received from disqualified persons; 7b Amounts included on lines 2 and 3 received from other than disqualified persons; 8 Public support.

Section B. Total Support

Table with 7 columns: (a) 2011, (b) 2012, (c) 2013, (d) 2014, (e) 2015, (f) Total. Rows include: 9 Amounts from line 6; 10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources; 10b Unrelated business taxable income; 11 Net income from unrelated business activities not included in line 10b; 12 Other income; 13 Total support.

14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here

Section C. Computation of Public Support Percentage

Table with 2 columns: Line number, Percentage. Row 15: Public support percentage for 2015 (line 8, column (f) divided by line 13, column (f)) 15 %; Row 16: Public support percentage from 2014 Schedule A, Part III, line 15 16 %

Section D. Computation of Investment Income Percentage

Table with 2 columns: Line number, Percentage. Row 17: Investment income percentage for 2015 (line 10c, column (f) divided by line 13, column (f)) 17 %; Row 18: Investment income percentage from 2014 Schedule A, Part III, line 17 18 %

19a 33 1/3% support tests - 2015. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization

b 33 1/3% support tests - 2014. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization

20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions

Part IV Supporting Organizations

(Complete only if you checked a box in line 11 on Part I. If you checked 11a of Part I, complete Sections A and B. If you checked 11b of Part I, complete Sections A and C. If you checked 11c of Part I, complete Sections A, D, and E. If you checked 11d of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

| | Yes | No |
|--|-----|----|
| 1 Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>If "No" describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.</i> | | |
| 2 Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i> | | |
| 3a Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer (b) and (c) below.</i> | | |
| b Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? <i>If "Yes," describe in Part VI when and how the organization made the determination.</i> | | |
| c Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in Part VI what controls the organization put in place to ensure such use.</i> | | |
| 4a Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes," and if you checked 11a or 11b in Part I, answer (b) and (c) below.</i> | | |
| b Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.</i> | | |
| c Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? <i>If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.</i> | | |
| 5a Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).</i> | | |
| b Type I or Type II only. Was any added or substituted supported organization part of a class already designated in the organization's organizing document? | | |
| c Substitutions only. Was the substitution the result of an event beyond the organization's control? | | |
| 6 Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? <i>If "Yes," provide detail in Part VI.</i> | | |
| 7 Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i> | | |
| 8 Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i> | | |
| 9a Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? <i>If "Yes," provide detail in Part VI.</i> | | |
| b Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? <i>If "Yes," provide detail in Part VI.</i> | | |
| c Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? <i>If "Yes," provide detail in Part VI.</i> | | |
| 10a Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? <i>If "Yes," answer 10b below.</i> | | |
| b Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)</i> | | |

Part IV Supporting Organizations (continued)

| | Yes | No |
|--|-----|----|
| 11 Has the organization accepted a gift or contribution from any of the following persons? | | |
| a A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization? | | |
| b A family member of a person described in (a) above? | | |
| c A 35% controlled entity of a person described in (a) or (b) above? <i>If "Yes" to a, b, or c, provide detail in Part VI.</i> | | |

Section B. Type I Supporting Organizations

| | Yes | No |
|---|-----|----|
| 1 Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? <i>If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.</i> | | |
| 2 Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? <i>If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.</i> | | |

Section C. Type II Supporting Organizations

| | Yes | No |
|--|-----|----|
| 1 Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? <i>If "No," describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).</i> | | |

Section D. All Type III Supporting Organizations

| | Yes | No |
|---|-----|----|
| 1 Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided? | | |
| 2 Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? <i>If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).</i> | | |
| 3 By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? <i>If "Yes," describe in Part VI the role the organization's supported organizations played in this regard.</i> | | |

Section E. Type III Functionally-Integrated Supporting Organizations

| | | |
|---|--|--|
| 1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions): | | |
| a <input type="checkbox"/> The organization satisfied the Activities Test. Complete line 2 below. | | |
| b <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete line 3 below. | | |
| c <input type="checkbox"/> The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions). | | |
| 2 Activities Test. Answer (a) and (b) below. | | |
| a Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? <i>If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.</i> | | |
| b Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? <i>If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.</i> | | |
| 3 Parent of Supported Organizations. Answer (a) and (b) below. | | |
| a Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? Provide details in Part VI. | | |
| b Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? <i>If "Yes," describe in Part VI the role played by the organization in this regard.</i> | | |

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

1 Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970. See instructions. All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

| Section A - Adjusted Net Income | | (A) Prior Year | (B) Current Year (optional) |
|---------------------------------|--|----------------|-----------------------------|
| 1 | Net short-term capital gain | 1 | |
| 2 | Recoveries of prior-year distributions | 2 | |
| 3 | Other gross income (see instructions) | 3 | |
| 4 | Add lines 1 through 3 | 4 | |
| 5 | Depreciation and depletion | 5 | |
| 6 | Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions) | 6 | |
| 7 | Other expenses (see instructions) | 7 | |
| 8 | Adjusted Net Income (subtract lines 5, 6 and 7 from line 4) | 8 | |

| Section B - Minimum Asset Amount | | (A) Prior Year | (B) Current Year (optional) |
|----------------------------------|---|----------------|-----------------------------|
| 1 | Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year): | | |
| a | Average monthly value of securities | 1a | |
| b | Average monthly cash balances | 1b | |
| c | Fair market value of other non-exempt-use assets | 1c | |
| d | Total (add lines 1a, 1b, and 1c) | 1d | |
| e | Discount claimed for blockage or other factors (explain in detail in Part VI): | | |
| 2 | Acquisition indebtedness applicable to non-exempt-use assets | 2 | |
| 3 | Subtract line 2 from line 1d | 3 | |
| 4 | Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions). | 4 | |
| 5 | Net value of non-exempt-use assets (subtract line 4 from line 3) | 5 | |
| 6 | Multiply line 5 by .035 | 6 | |
| 7 | Recoveries of prior-year distributions | 7 | |
| 8 | Minimum Asset Amount (add line 7 to line 6) | 8 | |

| Section C - Distributable Amount | | (A) Prior Year | Current Year |
|----------------------------------|---|----------------|--------------|
| 1 | Adjusted net income for prior year (from Section A, line 8, Column A) | 1 | |
| 2 | Enter 85% of line 1 | 2 | |
| 3 | Minimum asset amount for prior year (from Section B, line 8, Column A) | 3 | |
| 4 | Enter greater of line 2 or line 3 | 4 | |
| 5 | Income tax imposed in prior year | 5 | |
| 6 | Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions) | 6 | |
| 7 | <input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions). | | |

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continues on next page)

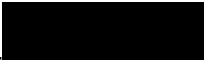
| Section D - Distributions | Current Year |
|---|--------------|
| 1 Amounts paid to supported organizations to accomplish exempt purposes | |
| 2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity | |
| 3 Administrative expenses paid to accomplish exempt purposes of supported organizations | |
| 4 Amounts paid to acquire exempt-use assets | |
| 5 Qualified set-aside amounts (prior IRS approval required) | |
| 6 Other distributions (describe in Part VI). See instructions. | |
| 7 Total annual distributions. Add lines 1 through 6. | |
| 8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions. | |
| 9 Distributable amount for 2015 from Section C, line 6 | |
| 10 Line 8 amount divided by Line 9 amount | |

| Section E - Distribution Allocations (see instructions) | (i) Excess Distributions | (ii) Underdistributions Pre-2015 | (iii) Distributable Amount for 2015 |
|--|-----------------------------|--|---|
| 1 Distributable amount for 2015 from Section C, line 6 | | | |
| 2 Underdistributions, if any, for years prior to 2015 (reasonable cause required-see instructions) | | | |
| 3 Excess distributions carryover, if any, to 2015: | | | |
| a | | | |
| b | | | |
| c | | | |
| d From 2013 | | | |
| e From 2014 | | | |
| f Total of lines 3a through e | | | |
| g Applied to underdistributions of prior years | | | |
| h Applied to 2015 distributable amount | | | |
| i Carryover from 2010 not applied (see instructions) | | | |
| j Remainder. Subtract lines 3g, 3h, and 3i from 3f. | | | |
| 4 Distributions for 2015 from Section D, line 7: \$ | | | |
| a Applied to underdistributions of prior years | | | |
| b Applied to 2015 distributable amount | | | |
| c Remainder. Subtract lines 4a and 4b from 4. | | | |
| 5 Remaining underdistributions for years prior to 2015, if any. Subtract lines 3g and 4a from line 2 (if amount greater than zero, see instructions). | | | |
| 6 Remaining underdistributions for 2015. Subtract lines 3h and 4b from line 1 (if amount greater than zero, see instructions). | | | |
| 7 Excess distributions carryover to 2016. Add lines 3j and 4c. | | | |
| 8 Breakdown of line 7: | | | |
| a | | | |
| b | | | |
| c Excess from 2013 | | | |
| d Excess from 2014 | | | |
| e Excess from 2015 | | | |

CAPITAL PREPARATORY HARLEM

Schedule A (Form 990 or 990-EZ) 2015

CHARTER SCHOOL



Part VI

Supplemental Information.

Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions.)

Multiple horizontal lines for supplemental information.

SCHEDULE D (Form 990)

Supplemental Financial Statements

OMB No. 1545-0047

2015 Open to Public Inspection

Department of the Treasury Internal Revenue Service

Complete if the organization answered "Yes" on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b. Attach to Form 990.

Information about Schedule D (Form 990) and its instructions is at www.irs.gov/form990.

Name of the organization CAPITAL PREPARATORY HARLEM CHARTER SCHOOL

Employer identification number

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts

organization answered "Yes" on Form 990, Part IV, line 6.

Table with 3 columns: Question, (a) Donor advised funds, (b) Funds and other accounts. Rows include total number at end of year, aggregate value of contributions, grants, and end of year, and two yes/no questions about donor property and grant fund usage.

Part II Conservation Easements. Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

- 1 Purpose(s) of conservation easements held by the organization (check all that apply).
2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.
3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year.
4 Number of states where property subject to conservation easement is located.
5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds?
6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year.
7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year.
8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)?
9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

- 1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.
1b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:
2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items:

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Schedule D (Form 990) 2015

2

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Simi

3 Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):

- a** Public exhibition **d** Loan or exchange programs
b Scholarly research **e** Other _____
c Preservation for future generations

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? Yes No

Part IV Escrow and Custodial Arrangements. Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? Yes No

b If "Yes," explain the arrangement in Part XIII and complete the following table:

| | Amount |
|--|-----------|
| c Beginning balance | 1c |
| d Additions during the year | 1d |
| e Distributions during the year | 1e |
| f Ending balance | 1f |

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? Yes No

b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII

Part V Endowment Funds. Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

| | (a) Current year | (b) Prior year | (c) Two years back | (d) Three years back | (e) Four years back |
|---|------------------|----------------|--------------------|----------------------|---------------------|
| 1a Beginning of year balance | | | | | |
| b Contributions | | | | | |
| c Net investment earnings, gains, and losses | | | | | |
| d Grants or scholarships | | | | | |
| e Other expenditures for facilities and programs | | | | | |
| f Administrative expenses | | | | | |
| g End of year balance | | | | | |

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

- a** Board designated or quasi-endowment ▶ _____ %
b Permanent endowment ▶ _____ %
c Temporarily restricted endowment ▶ _____ %

The percentages on lines 2a, 2b, and 2c should equal 100%.

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

- (i)** unrelated organizations
- (ii)** related organizations

| | Yes | No |
|---------------|-----|----|
| 3a(i) | | |
| 3a(ii) | | |
| 3b | | |

b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R?

4 Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

| Description of property | (a) Cost or other basis (investment) | (b) Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value |
|--|--------------------------------------|---------------------------------|------------------------------|----------------|
| 1a Land | | | | |
| b Buildings | | | | |
| c Leasehold improvements | | | | |
| d Equipment | | 327,497. | | 327,497. |
| e Other | | 22,788. | | 22,788. |
| Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.) | | | | 350,285. |

Schedule D (Form 990) 2015

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Part VII Investments - Other Securities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

| (a) Description of security or category (including name of security) | (b) Book value | (c) Method of valuation: Cost or end-of-year market value |
|---|----------------|---|
| (1) Financial derivatives | | |
| (2) Closely-held equity interests | | |
| (3) Other | | |
| (A) | | |
| (B) | | |
| (C) | | |
| (D) | | |
| (E) | | |
| (F) | | |
| (G) | | |
| (H) | | |
| Total. (Col. (b) must equal Form 990, Part X, col. (B) line 12.) ▶ | | |

Part VIII Investments - Program Related.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

| (a) Description of investment | (b) Book value | (c) Method of valuation: Cost or end-of-year market value |
|---|----------------|---|
| (1) | | |
| (2) | | |
| (3) | | |
| (4) | | |
| (5) | | |
| (6) | | |
| (7) | | |
| (8) | | |
| (9) | | |
| Total. (Col. (b) must equal Form 990, Part X, col. (B) line 13.) ▶ | | |

Part IX Other Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

| (a) Description | (b) Book value |
|---|----------------|
| (1) | |
| (2) | |
| (3) | |
| (4) | |
| (5) | |
| (6) | |
| (7) | |
| (8) | |
| (9) | |
| Total. (Column (b) must equal Form 990, Part X, col. (B) line 15.) ▶ | |

Part X Other Liabilities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

| 1. (a) Description of liability | (b) Book value |
|---|----------------|
| (1) Federal income taxes | |
| (2) | |
| (3) | |
| (4) | |
| (5) | |
| (6) | |
| (7) | |
| (8) | |
| (9) | |
| Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶ | |

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

| | | | |
|--|-----------|-----------|--|
| 1 Total revenue, gains, and other support per audited financial statements | | 1 | |
| 2 Amounts included on line 1 but not on Form 990, Part VIII, line 12: | | | |
| a Net unrealized gains (losses) on investments | 2a | | |
| b Donated services and use of facilities | 2b | | |
| c Recoveries of prior year grants | 2c | | |
| d Other (Describe in Part XIII.) | 2d | | |
| e Add lines 2a through 2d | | 2e | |
| 3 Subtract line 2e from line 1 | | 3 | |
| 4 Amounts included on Form 990, Part VIII, line 12, but not on line 1: | | | |
| a Investment expenses not included on Form 990, Part VIII, line 7b | 4a | | |
| b Other (Describe in Part XIII.) | 4b | | |
| c Add lines 4a and 4b | | 4c | |
| 5 Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.) | | 5 | |

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

| | | | |
|---|-----------|-----------|--|
| 1 Total expenses and losses per audited financial statements | | 1 | |
| 2 Amounts included on line 1 but not on Form 990, Part IX, line 25: | | | |
| a Donated services and use of facilities | 2a | | |
| b Prior year adjustments | 2b | | |
| c Other losses | 2c | | |
| d Other (Describe in Part XIII.) | 2d | | |
| e Add lines 2a through 2d | | 2e | |
| 3 Subtract line 2e from line 1 | | 3 | |
| 4 Amounts included on Form 990, Part IX, line 25, but not on line 1: | | | |
| a Investment expenses not included on Form 990, Part VIII, line 7b | 4a | | |
| b Other (Describe in Part XIII.) | 4b | | |
| c Add lines 4a and 4b | | 4c | |
| 5 Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.) | | 5 | |

Part XIII Supplemental Information.

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

SCHEDULE E
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Schools

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 13, or Form 990-EZ, Part VI, line 48.**
▶ **Attach to Form 990 or Form 990-EZ.**

OMB No. 1545-0047

2015

Open to Public Inspection

▶ **Information about Schedule E (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.**

Name of the organization **CAPITAL PREPARATORY HARLEM CHARTER SCHOOL** Employer **[REDACTED]** EIN **[REDACTED]**

Part I

| | YES | NO |
|--|-------------------------------------|-------------------------------------|
| 1 Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 2 Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 3 Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe. If "No," please explain. If you need more space, use Part II | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| AS A PUBLIC SCHOOL, SUBJECT TO OPEN ENROLLMENT, THE CHARTER SCHOOL IS NOT SUBJECT TO THE SPECIFIC GUIDELINES SET FORTH IN REV. PROC. 75-50. | | |
| 4 Does the organization maintain the following? | | |
| a Records indicating the racial composition of the student body, faculty, and administrative staff? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| b Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| c Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| d Copies of all material used by the organization or on its behalf to solicit contributions? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| If you answered "No" to any of the above, please explain. If you need more space, use Part II. | | |
| 5 Does the organization discriminate by race in any way with respect to: | | |
| a Students' rights or privileges? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| b Admissions policies? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| c Employment of faculty or administrative staff? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| d Scholarships or other financial assistance? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| e Educational policies? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| f Use of facilities? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| g Athletic programs? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| h Other extracurricular activities? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| If you answered "Yes" to any of the above, please explain. If you need more space, use Part II. | | |
| 6a Does the organization receive any financial aid or assistance from a governmental agency? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| b Has the organization's right to such aid ever been revoked or suspended? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| If you answered "Yes" on either line 6a or line 6b, explain on Part II. | | |
| 7 Does the organization certify that it has complied with the applicable requirements of sections 4.01 through 4.05 of Rev. Proc. 75-50, 1975-2 C.B. 587, covering racial nondiscrimination? If "No," explain on Part II | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or Form 990-EZ.

Schedule E (Form 990 or 990-EZ) (2015)

CAPITAL PREPARATORY HARLEM

Schedule E (Form 990 or 990-EZ) (2015) CHARTER SCHOOL

Part II Supplemental Information. Provide the explanations required by Part I, lines 3, 4d, 5h, 6b, and 7

Also provide any other additional information.

LINE 6 - EXPLANATION OF GOVERNMENT FINANCIAL AID:

THE SCHOOL RECEIVES VARIOUS FEDERAL, STATE, AND CITY FUNDS INCLUDING
FEDERAL ENTITLEMENTS TO ASSIST WITH COVERING THE COST OF CERTAIN PROGRAMS.

Multiple horizontal lines for providing additional information.

SCHEDULE O
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on
Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No. 1545-0047

2015

Open to Public
Inspection

Name of the organization **CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL** [REDACTED] number

FORM 990, PART I, LINE 1, DESCRIPTION OF ORGANIZATION MISSION:
COLLEGE AND CAREER READINESS SKILLS NEEDED TO BECOME RESPONSIBLE AND
ENGAGED CITIZENS FOR SOCIAL JUSTICE.

FORM 990, PART III, LINE 1, DESCRIPTION OF ORGANIZATION MISSION:
CAPITAL PREP STRIVES TO ENSURE THAT ALL STUDENTS ARE ABLE TO DO SO BY
OFFERING A RIGOROUS COLLEGE PREPARATORY CURRICULUM, AN ECLECTIC VARIETY
OF ATHLETIC PROGRAMS, AS WELL AS A GIFTED & TALENTED PROGRAM FOR
STUDENTS WHO DEMONSTRATE EXTRAORDINARY ACADEMIC ACHIEVEMENT.

FORM 990, PART VI, SECTION A, LINE 3:
THE SCHOOL ENTERED INTO A MANAGEMENT AGREEMENT WITH CAPITAL PREPARATORY
SCHOOLS, INC., A CONNECTICUT NOT-FOR-PROFIT ORGANIZATION, TO UNDERTAKE ON
ITS BEHALF FUNCTIONS IN REGARDS TO BUSINESS, ADMINISTRATIVE AND ACADEMIC
SERVICES TO HARLEM. THE ORGANIZATION DID NOT INCUR MANAGEMENT FEES DURING
FY16.

TRUSTEE DR. STEVE PERRY, IS AN OFFICER OF THE MANAGEMENT ORGANIZATION,
CAPITAL PREPARATORY SCHOOLS, INC. IN 2015 CPS PAID DR. STEVE PERRY, CEO OF
CPS, A BASE SALARY IN THE AMOUNT OF \$75,000.

FORM 990, PART VI, SECTION B, LINE 11:
CAPITAL PREPARATORY HARLEM CHARTER SCHOOL HAS ITS FORM 990 PREPARED BY AN
OUTSIDE ACCOUNTING FIRM AND HAS ESTABLISHED THE FOLLOWING REVIEW PROCESS TO
ENSURE THAT THE INFORMATION REPORTED IS COMPLETE AND ACCURATE. WHEN THE
FORM 990 HAS BEEN PREPARED, REVIEWED BY MANAGEMENT AND IS READY TO BE FILED

Name of the organization CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL



number

WITH THE INTERNAL REVENUE SERVICE, IT IS ELECTRONICALLY SENT TO THE BOARD MEMBERS OF THE ORGANIZATION FOR ANY COMMENTS. ANY COMMENTS ARE THEN GROUPED, SUMMARIZED AND PROVIDED TO THE OUTSIDE ACCOUNTANTS. EACH ISSUE IS DOCUMENTED AND ADDRESSED UNTIL THE RETURN IS FINALIZED AND APPROVED FOR FILING.

FORM 990, PART VI, SECTION B, LINE 12C:

THE SCHOOL SHARES ITS CONFLICT OF INTEREST POLICY WITH BOARD MEMBERS AND OFFICERS AS PART OF THEIR REGULAR MEETINGS. OFFICERS, DIRECTORS, AND KEY EMPLOYEES ARE EXPECTED TO DECLARE IF AT ANY POINT A CONFLICT OF INTEREST ARISES. IN ADDITION, THE BOARD OF TRUSTEES SIGN AN ANNUAL CONFLICT OF INTEREST DISCLOSURE FORM.

FORM 990, PART VI, SECTION C, LINE 19:

THE ORGANIZATION MAKES ITS FORM 990 AVAILABLE FOR PUBLIC INSPECTION AS REQUIRED UNDER SECTION 6104 OF THE INTERNAL REVENUE CODE. THE RETURN IS POSTED ON GUIDESTAR.ORG. IN ADDITION, THE FINANCIAL STATEMENTS, CONFLICT OF INTEREST POLICY, ARTICLES OF INCORPORATION AND BY-LAWS ARE ALSO AVAILABLE UPON WRITTEN REQUEST AT 1 EAST 104TH STREET, NEW YORK, NY 10029, OR BY CALLING THE ORGANIZATION DIRECTLY AT (212)328-9370.

Form **8879-EO**

**IRS e-file Signature Authorization
for an Exempt Organization**

OMB No. 1545-1878

For calendar year 2016, or fiscal year beginning JUL 1, 2016, and ending JUN 30, 2017

2016

Department of the Treasury
Internal Revenue Service

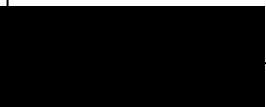
▶ **Do not send to the IRS. Keep for your records.**

▶ **Information about Form 8879-EO and its instructions is at www.irs.gov/form8879eo.**

Name of exempt organization

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Employer identification number



Name and title of officer

**DEREK FERGUSON
BOARD CHAIR**

Part I Type of Return and Return Information (Whole Dollars Only)


Check the box for the return for which you are using this Form 8879-EO and enter the applicable amount, if any, from the return. If you check the box on line **1a, 2a, 3a, 4a, or 5a**, below, and the amount on that line for the return being filed with this form was blank, then leave line **1b, 2b, 3b, 4b, or 5b**, whichever is applicable, blank (do not enter -0-). But, if you entered -0- on the return, then enter -0- on the applicable line below. **Do not complete more than 1 line in Part I.**

| | | |
|---|--|-----------------------------|
| 1a Form 990 check here ▶ <input checked="" type="checkbox"/> | b Total revenue , if any (Form 990, Part VIII, column (A), line 12) | 1b <u>3,564,901.</u> |
| 2a Form 990-EZ check here ▶ <input type="checkbox"/> | b Total revenue , if any (Form 990-EZ, line 9) | 2b _____ |
| 3a Form 1120-POL check here ▶ <input type="checkbox"/> | b Total tax (Form 1120-POL, line 22) | 3b _____ |
| 4a Form 990-PF check here ▶ <input type="checkbox"/> | b Tax based on investment income (Form 990-PF, Part VI, line 5) | 4b _____ |
| 5a Form 8868 check here ▶ <input type="checkbox"/> | b Balance Due (Form 8868, line 3c) | 5b _____ |

Part II Declaration and Signature Authorization of Officer

Under penalties of perjury, I declare that I am an officer of the above organization and that I have examined a copy of the organization's 2016 electronic return and accompanying schedules and statements and to the best of my knowledge and belief, they are true, correct, and complete. I further declare that the amount in Part I above is the amount shown on the copy of the organization's electronic return. I consent to allow my intermediate service provider, transmitter, or electronic return originator (ERO) to send the organization's return to the IRS and to receive from the IRS (a) an acknowledgement of receipt or reason for rejection of the transmission, (b) the reason for any delay in processing the return or refund, and (c) the date of any refund. If applicable, I authorize the U.S. Treasury and its designated Financial Agent to initiate an electronic funds withdrawal (direct debit) entry to the financial institution account indicated in the tax preparation software for payment of the organization's federal taxes owed on this return, and the financial institution to debit the entry to this account. To revoke a payment, I must contact the U.S. Treasury Financial Agent at 1-888-353-4537 no later than 2 business days prior to the payment (settlement) date. I also authorize the financial institutions involved in the processing of the electronic payment of taxes to receive confidential information necessary to answer inquiries and resolve issues related to the payment. I have selected a personal identification number (PIN) as my signature for the organization's electronic return and, if applicable, the organization's consent to electronic funds withdrawal.

Officer's PIN: check one box only

I authorize PKF O'CONNOR DAVIES, LLP to enter my PIN  **Enter five numbers, but do not enter all zeros**
ERO firm name


as my signature on the organization's tax year 2016 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I also authorize the aforementioned ERO to enter my PIN on the return's disclosure consent screen.

As an officer of the organization, I will enter my PIN as my signature on the organization's tax year 2016 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I will enter my PIN on the return's disclosure consent screen.

Officer's signature ▶ _____ Date ▶ _____

Part III Certification and Authentication

ERO's EFIN/PIN. Enter your six-digit electronic filing identification number (EFIN) followed by your five-digit self-selected PIN.


do not enter all zeros

I certify that the above numeric entry is my PIN, which is my signature on the 2016 electronically filed return for the organization indicated above. I confirm that I am submitting this return in accordance with the requirements of **Pub. 4163**, Modernized e-File (MeF) Information for Authorized IRS e-file Providers for Business Returns.

ERO's signature ▶ PKF O'CONNOR DAVIES, LLP Date ▶ 05/14/18

**ERO Must Retain This Form - See Instructions
Do Not Submit This Form To the IRS Unless Requested To Do So**

LHA For Paperwork Reduction Act Notice, see instructions.

Form **8879-EO** (2016)

623051 09-26-16

Form **990**

Return of Organization Exempt From Income Tax

OMB No. 1545-0047

Department of the Treasury
Internal Revenue Service

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter social security numbers on this form as it may be made public.

▶ Information about Form 990 and its instructions is at www.irs.gov/form990.

2016
Open to Public Inspection

A For the 2016 calendar year, or tax year beginning **JUL 1, 2016** and ending **JUN 30, 2017**

| | | | |
|--|---|--------------------------|---|
| B Check if applicable: <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Final return/terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending | C Name of organization CAPITAL PREPARATORY HARLEM CHARTER SCHOOL | | D Employer identification number [REDACTED] |
| | Doing business as | | E Telephone number [REDACTED] |
| | Number and street (or P.O. box if mail is not delivered to street address) | Room/suite 403 | |
| | City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10029 | | G Gross receipts \$ 3,564,901. |
| F Name and address of principal officer: DEREK FERGUSON SAME AS C ABOVE | | | H(a) Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No H(b) Are all subordinates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list. (see instructions) H(c) Group exemption number ▶ |
| I Tax-exempt status: <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) () ◀ (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527 | | | |
| J Website: ▶ WWW.CAPITALPREPHARLEM.ORG | | | |
| K Form of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶ | | | L Year of formation: 2014 |
| | | | M State of legal domicile: NY |

Part I Summary

| | | | |
|---|--|--|----------------------------------|
| Activities & Governance | 1 Briefly describe the organization's mission or most significant activities: CAPITAL PREPARATORY HARLEM SCHOOLS PROVIDES HISTORICALLY DISADVANTAGED STUDENTS WITH THE | | |
| | 2 Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets. | | |
| | 3 Number of voting members of the governing body (Part VI, line 1a) | 3 | 4 |
| | 4 Number of independent voting members of the governing body (Part VI, line 1b) | 4 | 4 |
| | 5 Total number of individuals employed in calendar year 2016 (Part V, line 2a) | 5 | 17 |
| | 6 Total number of volunteers (estimate if necessary) | 6 | 6 |
| | 7 a Total unrelated business revenue from Part VIII, column (C), line 12 | 7a | 0. |
| | b Net unrelated business taxable income from Form 990-T, line 34 | 7b | 0. |
| Revenue | 8 Contributions and grants (Part VIII, line 1h) | Prior Year 696,302. | Current Year 567,624. |
| | 9 Program service revenue (Part VIII, line 2g) | 0. | 2,808,398. |
| | 10 Investment income (Part VIII, column (A), lines 3, 4, and 7d) | 0. | 0. |
| | 11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) | 0. | 188,879. |
| | 12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) | 696,302. | 3,564,901. |
| | Expenses | 13 Grants and similar amounts paid (Part IX, column (A), lines 1-3) | 0. |
| 14 Benefits paid to or for members (Part IX, column (A), line 4) | | 0. | 0. |
| 15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10) | | 273,895. | 1,391,040. |
| 16a Professional fundraising fees (Part IX, column (A), line 11e) | | 0. | 0. |
| b Total fundraising expenses (Part IX, column (D), line 25) ▶ 0. | | | |
| 17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) | | 92,879. | 2,171,341. |
| 18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) | | 366,774. | 3,562,381. |
| 19 Revenue less expenses. Subtract line 18 from line 12 | 329,528. | 2,520. | |
| Net Assets or Fund Balances | 20 Total assets (Part X, line 16) | Beginning of Current Year 695,592. | End of Year 1,412,333. |
| | 21 Total liabilities (Part X, line 26) | 366,064. | 1,080,285. |
| | 22 Net assets or fund balances. Subtract line 21 from line 20 | 329,528. | 332,048. |

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

| | | | | | |
|-------------------------------|---|-------------------------|----------|---|------------|
| Sign Here | Signature of officer | | Date | | |
| | DEREK FERGUSON, BOARD CHAIR Type or print name and title | | | | |
| Paid Preparer Use Only | Print/Type preparer's name | Preparer's signature | Date | Check <input type="checkbox"/> if self-employed | PTIN |
| | GARRETT M. HIGGINS | GARRETT M. HIGGINS | 05/14/18 | | [REDACTED] |
| | Firm's name ▶ PKF O'CONNOR DAVIES, LLP | Firm's EIN ▶ [REDACTED] | | | |
| | Firm's address ▶ [REDACTED] | NEW YORK, NY 10022 | | Phone no. [REDACTED] | |

May the IRS discuss this return with the preparer shown above? (see instructions) Yes No

CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL

Form 990 (2016)

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III

1 Briefly describe the organization's mission:

THE MISSION OF CAPITAL PREPARATORY SCHOOLS IS TO PROVIDE HISTORICALLY DISADVANTAGED STUDENTS WITH THE COLLEGE AND CAREER READINESS SKILLS NEEDED TO BECOME RESPONSIBLE AND ENGAGED CITIZENS FOR SOCIAL JUSTICE.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? Yes No

If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? Yes No

If "Yes," describe these changes on Schedule O.

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code: _____) (Expenses \$ 2,845,551. including grants of \$ _____) (Revenue \$ 2,808,398.)

CAPITAL PREPARATORY HARLEM SCHOOLS PROVIDES HISTORICALLY DISADVANTAGED STUDENTS WITH THE COLLEGE AND CAREER READINESS SKILLS NEEDED TO BECOME RESPONSIBLE AND ENGAGED CITIZENS FOR SOCIAL JUSTICE.

4b (Code: _____) (Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)

4c (Code: _____) (Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)

4d Other program services (Describe in Schedule O.)

(Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)

4e Total program service expenses **2,845,551.**

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Part IV Checklist of Required Schedules

| | Yes | No |
|---|----------|----------|
| 1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A</i> | X | |
| 2 Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> ? | X | |
| 3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i> | | X |
| 4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i> | | X |
| 5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III</i> | | X |
| 6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I</i> | | X |
| 7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i> | | X |
| 8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i> | | X |
| 9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV</i> | | X |
| 10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V</i> | | X |
| 11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable. | | |
| a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI</i> | X | |
| b Did the organization report an amount for investments - other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII</i> | | X |
| c Did the organization report an amount for investments - program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII</i> | | X |
| d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX</i> | | X |
| e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i> | X | |
| f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X</i> | X | |
| 12a Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i> | X | |
| b Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i> | | X |
| 13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i> | X | |
| 14a Did the organization maintain an office, employees, or agents outside of the United States? | | X |
| b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? <i>If "Yes," complete Schedule F, Parts I and IV</i> | | X |
| 15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? <i>If "Yes," complete Schedule F, Parts II and IV</i> | | X |
| 16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? <i>If "Yes," complete Schedule F, Parts III and IV</i> | | X |
| 17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i> | | X |
| 18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i> | | X |
| 19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i> | | X |

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Part IV Checklist of Required Schedules *(continued)*

| | Yes | No |
|--|----------|----------|
| 20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i> | | X |
| b <i>If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?</i> | | |
| 21 Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i> | | X |
| 22 Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i> | | X |
| 23 Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i> | | X |
| 24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a</i> | | X |
| b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? | | |
| c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? | | |
| d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? | | |
| 25a Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i> | | X |
| b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i> | | X |
| 26 Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? <i>If "Yes," complete Schedule L, Part II</i> | | X |
| 27 Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III</i> | | X |
| 28 Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions): | | |
| a A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> | | X |
| b A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> | | X |
| c An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV</i> | | X |
| 29 Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i> | | X |
| 30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i> | | X |
| 31 Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i> | | X |
| 32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i> | | X |
| 33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i> | | X |
| 34 Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1</i> | | X |
| 35a Did the organization have a controlled entity within the meaning of section 512(b)(13)? | | X |
| b <i>If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If "Yes," complete Schedule R, Part V, line 2</i> | | |
| 36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i> | | X |
| 37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i> | | X |
| 38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? Note. All Form 990 filers are required to complete Schedule O | X | |

CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL

Part V Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response or note to any line in this Part V

| | | Yes | No |
|------------|--|-----|----|
| 1a | Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable | | |
| 1b | Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable | | |
| 1c | Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? | | |
| 2a | Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return | | |
| 2b | If at least one is reported on line 2a, did the organization file all required federal employment tax returns? Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions) | X | |
| 3a | Did the organization have unrelated business gross income of \$1,000 or more during the year? | | X |
| 3b | If "Yes," has it filed a Form 990-T for this year? If "No," to line 3b, provide an explanation in Schedule O | | |
| 4a | At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? | | X |
| 4b | If "Yes," enter the name of the foreign country: See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR). | | |
| 5a | Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? | | X |
| 5b | Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? | | X |
| 5c | If "Yes," to line 5a or 5b, did the organization file Form 8886-T? | | |
| 6a | Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions? | | X |
| 6b | If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? | | |
| 7 | Organizations that may receive deductible contributions under section 170(c). | | |
| 7a | Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor? | | X |
| 7b | If "Yes," did the organization notify the donor of the value of the goods or services provided? | | |
| 7c | Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? | | X |
| 7d | If "Yes," indicate the number of Forms 8282 filed during the year | | |
| 7e | Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? | | X |
| 7f | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | | X |
| 7g | If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required? | | |
| 7h | If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? | | |
| 8 | Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year? | | |
| 9 | Sponsoring organizations maintaining donor advised funds. | | |
| 9a | Did the sponsoring organization make any taxable distributions under section 4966? | | |
| 9b | Did the sponsoring organization make a distribution to a donor, donor advisor, or related person? | | |
| 10 | Section 501(c)(7) organizations. Enter: | | |
| 10a | Initiation fees and capital contributions included on Part VIII, line 12 | | |
| 10b | Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities | | |
| 11 | Section 501(c)(12) organizations. Enter: | | |
| 11a | Gross income from members or shareholders | | |
| 11b | Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.) | | |
| 12a | Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041? | | |
| 12b | If "Yes," enter the amount of tax-exempt interest received or accrued during the year | | |
| 13 | Section 501(c)(29) qualified nonprofit health insurance issuers. | | |
| 13a | Is the organization licensed to issue qualified health plans in more than one state? Note. See the instructions for additional information the organization must report on Schedule O. | | |
| 13b | Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans | | |
| 13c | Enter the amount of reserves on hand | | |
| 14a | Did the organization receive any payments for indoor tanning services during the tax year? | | X |
| 14b | If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O | | |

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI

Section A. Governing Body and Management

| | | | Yes | No |
|--|-----------|---|----------|----------|
| 1a Enter the number of voting members of the governing body at the end of the tax year If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O. | 1a | 4 | | |
| b Enter the number of voting members included in line 1a, above, who are independent | 1b | 4 | | |
| 2 Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? | 2 | | | X |
| 3 Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person? | 3 | | X | |
| 4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? | 4 | | | X |
| 5 Did the organization become aware during the year of a significant diversion of the organization's assets? | 5 | | | X |
| 6 Did the organization have members or stockholders? | 6 | | | X |
| 7a Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? | 7a | | | X |
| b Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? | 7b | | | X |
| 8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following: | | | | |
| a The governing body? | 8a | | X | |
| b Each committee with authority to act on behalf of the governing body? | 8b | | X | |
| 9 Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O | 9 | | | X |

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

| | | | Yes | No |
|---|------------|--|----------|----------|
| 10a Did the organization have local chapters, branches, or affiliates? | 10a | | | X |
| b If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? | 10b | | | |
| 11a Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? | 11a | | X | |
| b Describe in Schedule O the process, if any, used by the organization to review this Form 990. | | | | |
| 12a Did the organization have a written conflict of interest policy? If "No," go to line 13 | 12a | | X | |
| b Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? | 12b | | X | |
| c Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done | 12c | | X | |
| 13 Did the organization have a written whistleblower policy? | 13 | | X | |
| 14 Did the organization have a written document retention and destruction policy? | 14 | | X | |
| 15 Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision? | | | | |
| a The organization's CEO, Executive Director, or top management official | 15a | | | X |
| b Other officers or key employees of the organization If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions). | 15b | | X | |
| 16a Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? | 16a | | | X |
| b If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements? | 16b | | | |

Section C. Disclosure

- 17** List the states with which a copy of this Form 990 is required to be filed **NONE**
- 18** Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
 Own website Another's website Upon request Other (explain in Schedule O)
- 19** Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.
- 20** State the name, address, and telephone number of the person who possesses the organization's books and records: ▶
DEREK FERGUSON - [REDACTED]
 [REDACTED], NEW YORK, NY 10029

CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL

Form 990 (2016)

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

Check if Schedule O contains a response or note to any line in this Part VII

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

| (A) Name and Title | (B) Average hours per week (list any hours for related organizations below line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W-2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|-----------------------|---------|--------------|------------------------------|--------|--|---|---|
| | | Individual trustee or director | Institutional trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| (1) DEREK FERGUSON BOARD CHAIR | 2.00 | X | | X | | | | 0. | 0. | 0. |
| (2) MAURICE L. COLEMAN TREASURER | 2.00 | X | | X | | | | 0. | 0. | 0. |
| (3) GEORGIETTE MORGAN-THOMAS SECRETARY (AFTER 12/2016) | 2.00 | X | | X | | | | 0. | 0. | 0. |
| (4) VINCE MORGAN SECRETARY (THRU 12/2016) | 2.00 | X | | X | | | | 0. | 0. | 0. |
| (5) DR. STEVE PERRY MEMBER | 2.00 | X | | | | | | 0. | 0. | 0. |
| (6) IYANLA VANZANT MEMBER | 2.00 | X | | | | | | 0. | 0. | 0. |
| (7) DANITA JONES PRINCIPAL | 55.00 | | | X | | | | 130,000. | 0. | 0. |
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**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Form 990 (2016)

Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees *(continued)*

| (A) Name and title | (B) Average hours per week (list any hours for related organizations below line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W-2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|--|---|---|-----------------------|---------|--------------|------------------------------|----------|--|---|---|
| | | Individual trustee or director | Institutional trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| | | | | | | | | | | |
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| | | | | | | | | | | |
| 1b Sub-total | | | | | | | 130,000. | 0. | 0. | |
| c Total from continuation sheets to Part VII, Section A | | | | | | | 0. | 0. | 0. | |
| d Total (add lines 1b and 1c) | | | | | | | 130,000. | 0. | 0. | |

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **1**

| | Yes | No |
|--|-----|----|
| 3 Did the organization list any former officer, director, or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i> | | X |
| 4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <i>If "Yes," complete Schedule J for such individual</i> | | X |
| 5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i> | | X |

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

| (A) Name and business address | (B) Description of services | (C) Compensation |
|--|--------------------------------|---------------------|
| JEFFREY SIMON ARCHITECTURE AND DESIGN, [REDACTED] LARCHMONT, NY | ARCHITECTURAL SERVICES | 285,241. |
| | | |
| | | |
| | | |

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **1**

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Form 990 (2016)

Part VIII Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII

| | | | (A) Total revenue | (B) Related or exempt function revenue | (C) Unrelated business revenue | (D) Revenue excluded from tax under sections 512 - 514 |
|---|--|--|----------------------|---|---|--|
| Contributions, Gifts, Grants and Other Similar Amounts | 1 a Federated campaigns | 1a | | | | |
| | b Membership dues | 1b | | | | |
| | c Fundraising events | 1c | | | | |
| | d Related organizations | 1d | | | | |
| | e Government grants (contributions) | 1e | 557,407. | | | |
| | f All other contributions, gifts, grants, and similar amounts not included above | 1f | 10,217. | | | |
| | g Noncash contributions included in lines 1a-1f: \$ | | | | | |
| | h Total. Add lines 1a-1f | | 567,624. | | | |
| Program Service Revenue | 2 a <u>GOV'T PER PUPIL REVENU</u> | Business Code 611110 | 2,808,398. | 2,808,398. | | |
| | b _____ | | | | | |
| | c _____ | | | | | |
| | d _____ | | | | | |
| | e _____ | | | | | |
| | f All other program service revenue | | | | | |
| | g Total. Add lines 2a-2f | | 2,808,398. | | | |
| Other Revenue | 3 Investment income (including dividends, interest, and other similar amounts) | | | | | |
| | 4 Income from investment of tax-exempt bond proceeds | | | | | |
| | 5 Royalties | | | | | |
| | 6 a Gross rents | (i) Real | 188,704. | | | |
| | | (ii) Personal | 0. | | | |
| | | b Less: rental expenses | | | | |
| | c Rental income or (loss) | | 188,704. | | | |
| | d Net rental income or (loss) | | 188,704. | | | 188,704. |
| | 7 a Gross amount from sales of assets other than inventory | (i) Securities | | | | |
| | | (ii) Other | | | | |
| | | b Less: cost or other basis and sales expenses | | | | |
| | | c Gain or (loss) | | | | |
| | d Net gain or (loss) | | | | | |
| | 8 a Gross income from fundraising events (not including \$ _____ of contributions reported on line 1c). See Part IV, line 18 | a | | | | |
| b Less: direct expenses | | b | | | | |
| c Net income or (loss) from fundraising events | | | | | | |
| 9 a Gross income from gaming activities. See Part IV, line 19 | a | | | | | |
| | b Less: direct expenses | b | | | | |
| | c Net income or (loss) from gaming activities | | | | | |
| 10 a Gross sales of inventory, less returns and allowances | a | | | | | |
| | b Less: cost of goods sold | b | | | | |
| | c Net income or (loss) from sales of inventory | | | | | |
| Miscellaneous Revenue | | Business Code | | | | |
| 11 a <u>OTHER INCOME</u> | 900099 | 175. | | | 175. | |
| b _____ | | | | | | |
| c _____ | | | | | | |
| d All other revenue | | | | | | |
| e Total. Add lines 11a-11d | | 175. | | | | |
| 12 Total revenue. See instructions. | | 3,564,901. | 2,808,398. | 0. | 188,879. | |

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Form 990 (2016)

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX

| Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII. | (A) Total expenses | (B) Program service expenses | (C) Management and general expenses | (D) Fundraising expenses |
|--|-----------------------|---------------------------------|--|-----------------------------|
| 1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21 ... | | | | |
| 2 Grants and other assistance to domestic individuals. See Part IV, line 22 | | | | |
| 3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16 | | | | |
| 4 Benefits paid to or for members | | | | |
| 5 Compensation of current officers, directors, trustees, and key employees | 130,000. | 106,938. | 23,062. | |
| 6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) | | | | |
| 7 Other salaries and wages | 954,870. | 785,476. | 169,394. | |
| 8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions) | 9,745. | 8,016. | 1,729. | |
| 9 Other employee benefits | 201,150. | 165,466. | 35,684. | |
| 10 Payroll taxes | 95,275. | 78,373. | 16,902. | |
| 11 Fees for services (non-employees): | | | | |
| a Management | 229,051. | | 229,051. | |
| b Legal | 70,975. | | 70,975. | |
| c Accounting | 24,000. | | 24,000. | |
| d Lobbying | | | | |
| e Professional fundraising services. See Part IV, line 17 | | | | |
| f Investment management fees | | | | |
| g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.) | 256,631. | 251,108. | 5,523. | |
| 12 Advertising and promotion | 19,100. | 17,665. | 1,435. | |
| 13 Office expenses | 106,332. | 104,123. | 2,209. | |
| 14 Information technology | 88,037. | 80,273. | 7,764. | |
| 15 Royalties | | | | |
| 16 Occupancy | 1,092,589. | 986,668. | 105,921. | |
| 17 Travel | | | | |
| 18 Payments of travel or entertainment expenses for any federal, state, or local public officials | | | | |
| 19 Conferences, conventions, and meetings | | | | |
| 20 Interest | | | | |
| 21 Payments to affiliates | | | | |
| 22 Depreciation, depletion, and amortization | 101,577. | 91,701. | 9,876. | |
| 23 Insurance | 30,002. | 27,416. | 2,586. | |
| 24 Other expenses. Itemize expenses not covered above. (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.) | | | | |
| a REPAIRS AND MAINTENANCE | 82,265. | 74,267. | 7,998. | |
| b FOOD SERVICE | 47,701. | 47,701. | | |
| c MISCELLANEOUS | 14,419. | 12,000. | 2,419. | |
| d STAFF DEVELOPMENT | 8,662. | 8,360. | 302. | |
| e All other expenses | | | | |
| 25 Total functional expenses. Add lines 1 through 24e | 3,562,381. | 2,845,551. | 716,830. | 0. |
| 26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. | | | | |

Check here if following SOP 98-2 (ASC 958-720)

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Form 990 (2016)

age **11**

Part X Balance Sheet

Check if Schedule O contains a response or note to any line in this Part X

| | | (A) Beginning of year | | (B) End of year | |
|---|---|--------------------------|-----------|--------------------|------------|
| Assets | 1 Cash - non-interest-bearing | 165,113. | 1 | 633,423. | |
| | 2 Savings and temporary cash investments | | 2 | 25,000. | |
| | 3 Pledges and grants receivable, net | 180,194. | 3 | 122,990. | |
| | 4 Accounts receivable, net | | 4 | | |
| | 5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L | | | 5 | |
| | 6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instr). Complete Part II of Sch L | | | 6 | |
| | 7 Notes and loans receivable, net | | | 7 | |
| | 8 Inventories for sale or use | | | 8 | |
| | 9 Prepaid expenses and deferred charges | | | 9 | 41,030. |
| | 10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D | 10a 691,467. | | | |
| | b Less: accumulated depreciation | 10b 101,577. | 350,285. | 10c | 589,890. |
| | 11 Investments - publicly traded securities | | | 11 | |
| | 12 Investments - other securities. See Part IV, line 11 | | | 12 | |
| | 13 Investments - program-related. See Part IV, line 11 | | | 13 | |
| | 14 Intangible assets | | | 14 | |
| | 15 Other assets. See Part IV, line 11 | | | 15 | |
| 16 Total assets. Add lines 1 through 15 (must equal line 34) | | 695,592. | 16 | 1,412,333. | |
| Liabilities | 17 Accounts payable and accrued expenses | 366,064. | 17 | 85,550. | |
| | 18 Grants payable | | 18 | | |
| | 19 Deferred revenue | | 19 | | |
| | 20 Tax-exempt bond liabilities | | 20 | | |
| | 21 Escrow or custodial account liability. Complete Part IV of Schedule D | | | 21 | |
| | 22 Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L | | | 22 | |
| | 23 Secured mortgages and notes payable to unrelated third parties | | | 23 | |
| | 24 Unsecured notes and loans payable to unrelated third parties | | | 24 | |
| | 25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D | | 0. | 25 | 994,735. |
| | 26 Total liabilities. Add lines 17 through 25 | | 366,064. | 26 | 1,080,285. |
| Net Assets or Fund Balances | Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34. | | | | |
| | 27 Unrestricted net assets | 329,528. | 27 | 332,048. | |
| | 28 Temporarily restricted net assets | | 28 | | |
| | 29 Permanently restricted net assets | | 29 | | |
| | Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34. | | | | |
| | 30 Capital stock or trust principal, or current funds | | 30 | | |
| | 31 Paid-in or capital surplus, or land, building, or equipment fund | | 31 | | |
| | 32 Retained earnings, endowment, accumulated income, or other funds | | 32 | | |
| 33 Total net assets or fund balances | | 329,528. | 33 | 332,048. | |
| 34 Total liabilities and net assets/fund balances | | 695,592. | 34 | 1,412,333. | |

Form **990** (2016)

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI

| | | |
|-----------|--|-------------------|
| 1 | Total revenue (must equal Part VIII, column (A), line 12) | 3,564,901. |
| 2 | Total expenses (must equal Part IX, column (A), line 25) | 3,562,381. |
| 3 | Revenue less expenses. Subtract line 2 from line 1 | 2,520. |
| 4 | Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A)) | 329,528. |
| 5 | Net unrealized gains (losses) on investments | |
| 6 | Donated services and use of facilities | |
| 7 | Investment expenses | |
| 8 | Prior period adjustments | |
| 9 | Other changes in net assets or fund balances (explain in Schedule O) | 0. |
| 10 | Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B)) | 332,048. |

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII

- 1** Accounting method used to prepare the Form 990: Cash Accrual Other _____
If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.
- 2a** Were the organization's financial statements compiled or reviewed by an independent accountant?
If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both:
 Separate basis Consolidated basis Both consolidated and separate basis
- b** Were the organization's financial statements audited by an independent accountant?
If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both:
 Separate basis Consolidated basis Both consolidated and separate basis
- c** If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?
If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.
- 3a** As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?
- b** If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits

| | Yes | No |
|-----------|----------|----------|
| 2a | | X |
| 2b | X | |
| 2c | | X |
| 3a | | X |
| 3b | | |

SCHEDULE A
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.
▶ Attach to Form 990 or Form 990-EZ.

OMB No. 1545-0047

2016

Open to Public Inspection

▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

Name of the organization **CAPITAL PREPARATORY HARLEM CHARTER SCHOOL** Emp[REDACTED] mber [REDACTED]

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

- 1 A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2 A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990 or 990-EZ).)
- 3 A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4 A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state: _____
- 5 An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)
- 6 A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7 An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 8 A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 9 An agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university: _____
- 10 An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)
- 11 An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**
- 12 An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
 - a **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
 - b **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
 - c **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
 - d **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
 - e Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
 - f Enter the number of supported organizations
 - g Provide the following information about the supported organization(s).

| (i) Name of supported organization | (ii) EIN | (iii) Type of organization (described on lines 1-10 above (see instructions)) | (iv) Is the organization listed in your governing document? | | (v) Amount of monetary support (see instructions) | (vi) Amount of other support (see instructions) |
|------------------------------------|----------|---|---|----|---|---|
| | | | Yes | No | | |
| | | | | | | |
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| | | | | | | |
| Total | | | | | | |

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

| Calendar year (or fiscal year beginning in) ► | (a) 2012 | (b) 2013 | (c) 2014 | (d) 2015 | (e) 2016 | (f) Total |
|--|----------|----------|----------|----------|----------|-----------|
| 1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") | | | | | | |
| 2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf | | | | | | |
| 3 The value of services or facilities furnished by a governmental unit to the organization without charge | | | | | | |
| 4 Total. Add lines 1 through 3 | | | | | | |
| 5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) | | | | | | |
| 6 Public support. Subtract line 5 from line 4. | | | | | | |

Section B. Total Support

| Calendar year (or fiscal year beginning in) ► | (a) 2012 | (b) 2013 | (c) 2014 | (d) 2015 | (e) 2016 | (f) Total |
|--|----------|----------|----------|----------|----------|--------------------------|
| 7 Amounts from line 4 | | | | | | |
| 8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources | | | | | | |
| 9 Net income from unrelated business activities, whether or not the business is regularly carried on | | | | | | |
| 10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) | | | | | | |
| 11 Total support. Add lines 7 through 10 | | | | | | |
| 12 Gross receipts from related activities, etc. (see instructions) | | | | | 12 | |
| 13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here | | | | | | <input type="checkbox"/> |

Section C. Computation of Public Support Percentage

| | | |
|---|----|--------------------------|
| 14 Public support percentage for 2016 (line 6, column (f) divided by line 11, column (f)) | 14 | % |
| 15 Public support percentage from 2015 Schedule A, Part II, line 14 | 15 | % |
| 16a 33 1/3% support test - 2016. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization | | <input type="checkbox"/> |
| b 33 1/3% support test - 2015. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization | | <input type="checkbox"/> |
| 17a 10% -facts-and-circumstances test - 2016. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization | | <input type="checkbox"/> |
| b 10% -facts-and-circumstances test - 2015. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization | | <input type="checkbox"/> |
| 18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions | | <input type="checkbox"/> |

Part III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Table with 7 columns: (a) 2012, (b) 2013, (c) 2014, (d) 2015, (e) 2016, (f) Total. Rows include: 1 Gifts, grants, contributions, and membership fees received; 2 Gross receipts from admissions; 3 Gross receipts from activities that are not an unrelated trade or business; 4 Tax revenues levied for the organization's benefit; 5 The value of services or facilities furnished by a governmental unit; 6 Total; 7a Amounts included on lines 1, 2, and 3 received from disqualified persons; 7b Amounts included on lines 2 and 3 received from other than disqualified persons; 8 Public support.

Section B. Total Support

Table with 7 columns: (a) 2012, (b) 2013, (c) 2014, (d) 2015, (e) 2016, (f) Total. Rows include: 9 Amounts from line 6; 10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources; 10b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975; 10c Add lines 10a and 10b; 11 Net income from unrelated business activities not included in line 10b; 12 Other income; 13 Total support.

14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here

Section C. Computation of Public Support Percentage

Table with 2 columns: Description, Percentage. Row 15: Public support percentage for 2016 (line 8, column (f) divided by line 13, column (f)) 15%. Row 16: Public support percentage from 2015 Schedule A, Part III, line 15 16%.

Section D. Computation of Investment Income Percentage

Table with 2 columns: Description, Percentage. Row 17: Investment income percentage for 2016 (line 10c, column (f) divided by line 13, column (f)) 17%. Row 18: Investment income percentage from 2015 Schedule A, Part III, line 17 18%.

19a 33 1/3% support tests - 2016. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization

b 33 1/3% support tests - 2015. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization

20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions

Part IV Supporting Organizations

(Complete only if you checked a box in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

| | Yes | No |
|--|-----|----|
| 1 Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>If "No," describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.</i> | | |
| 2 Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i> | | |
| 3a Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer (b) and (c) below.</i> | | |
| b Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? <i>If "Yes," describe in Part VI when and how the organization made the determination.</i> | | |
| c Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in Part VI what controls the organization put in place to ensure such use.</i> | | |
| 4a Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes," and if you checked 12a or 12b in Part I, answer (b) and (c) below.</i> | | |
| b Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.</i> | | |
| c Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? <i>If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.</i> | | |
| 5a Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).</i> | | |
| b Type I or Type II only. Was any added or substituted supported organization part of a class already designated in the organization's organizing document? | | |
| c Substitutions only. Was the substitution the result of an event beyond the organization's control? | | |
| 6 Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? <i>If "Yes," provide detail in Part VI.</i> | | |
| 7 Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i> | | |
| 8 Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i> | | |
| 9a Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? <i>If "Yes," provide detail in Part VI.</i> | | |
| b Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? <i>If "Yes," provide detail in Part VI.</i> | | |
| c Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? <i>If "Yes," provide detail in Part VI.</i> | | |
| 10a Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? <i>If "Yes," answer 10b below.</i> | | |
| b Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)</i> | | |

Part IV Supporting Organizations (continued)

Table with 3 columns: Question, Yes, No. Row 11: Has the organization accepted a gift or contribution from any of the following persons? Sub-rows 11a, 11b, 11c.

Section B. Type I Supporting Organizations

Table with 3 columns: Question, Yes, No. Row 1: Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? Row 2: Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization?

Section C. Type II Supporting Organizations

Table with 3 columns: Question, Yes, No. Row 1: Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)?

Section D. All Type III Supporting Organizations

Table with 3 columns: Question, Yes, No. Row 1: Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided? Row 2: Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? Row 3: By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year?

Section E. Type III Functionally Integrated Supporting Organizations

Table with 3 columns: Question, Yes, No. Row 1: Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions). Sub-rows a, b, c. Row 2: Activities Test. Answer (a) and (b) below. Sub-rows a, b. Row 3: Parent of Supported Organizations. Answer (a) and (b) below. Sub-rows a, b.

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

1 Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI.) **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

| Section A - Adjusted Net Income | | (A) Prior Year | (B) Current Year (optional) |
|---------------------------------|--|----------------|-----------------------------|
| 1 | Net short-term capital gain | 1 | |
| 2 | Recoveries of prior-year distributions | 2 | |
| 3 | Other gross income (see instructions) | 3 | |
| 4 | Add lines 1 through 3 | 4 | |
| 5 | Depreciation and depletion | 5 | |
| 6 | Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions) | 6 | |
| 7 | Other expenses (see instructions) | 7 | |
| 8 | Adjusted Net Income (subtract lines 5, 6, and 7 from line 4) | 8 | |

| Section B - Minimum Asset Amount | | (A) Prior Year | (B) Current Year (optional) |
|----------------------------------|---|----------------|-----------------------------|
| 1 | Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year): | | |
| a | Average monthly value of securities | 1a | |
| b | Average monthly cash balances | 1b | |
| c | Fair market value of other non-exempt-use assets | 1c | |
| d | Total (add lines 1a, 1b, and 1c) | 1d | |
| e | Discount claimed for blockage or other factors (explain in detail in Part VI): | | |
| 2 | Acquisition indebtedness applicable to non-exempt-use assets | 2 | |
| 3 | Subtract line 2 from line 1d | 3 | |
| 4 | Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions) | 4 | |
| 5 | Net value of non-exempt-use assets (subtract line 4 from line 3) | 5 | |
| 6 | Multiply line 5 by .035 | 6 | |
| 7 | Recoveries of prior-year distributions | 7 | |
| 8 | Minimum Asset Amount (add line 7 to line 6) | 8 | |

| Section C - Distributable Amount | | (A) Prior Year | Current Year |
|----------------------------------|---|----------------|--------------|
| 1 | Adjusted net income for prior year (from Section A, line 8, Column A) | 1 | |
| 2 | Enter 85% of line 1 | 2 | |
| 3 | Minimum asset amount for prior year (from Section B, line 8, Column A) | 3 | |
| 4 | Enter greater of line 2 or line 3 | 4 | |
| 5 | Income tax imposed in prior year | 5 | |
| 6 | Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions) | 6 | |
| 7 | <input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions). | | |

CAPITAL PREPARATORY HARLEM

Schedule A (Form 990 or 990-EZ) 2016

CHARTER SCHOOL

Page 7

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)

| Section D - Distributions | Current Year |
|---|--------------|
| 1 Amounts paid to supported organizations to accomplish exempt purposes | |
| 2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity | |
| 3 Administrative expenses paid to accomplish exempt purposes of supported organizations | |
| 4 Amounts paid to acquire exempt-use assets | |
| 5 Qualified set-aside amounts (prior IRS approval required) | |
| 6 Other distributions (describe in Part VI). See instructions | |
| 7 Total annual distributions. Add lines 1 through 6 | |
| 8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions | |
| 9 Distributable amount for 2016 from Section C, line 6 | |
| 10 Line 8 amount divided by Line 9 amount | |

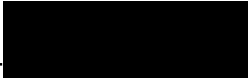
| Section E - Distribution Allocations (see instructions) | (i) Excess Distributions | (ii) Underdistributions Pre-2016 | (iii) Distributable Amount for 2016 |
|--|-----------------------------|--|---|
| 1 Distributable amount for 2016 from Section C, line 6 | | | |
| 2 Underdistributions, if any, for years prior to 2016 (reasonable cause required- explain in Part VI). See instructions | | | |
| 3 Excess distributions carryover, if any, to 2016: | | | |
| a | | | |
| b | | | |
| c From 2013 | | | |
| d From 2014 | | | |
| e From 2015 | | | |
| f Total of lines 3a through e | | | |
| g Applied to underdistributions of prior years | | | |
| h Applied to 2016 distributable amount | | | |
| i Carryover from 2011 not applied (see instructions) | | | |
| j Remainder. Subtract lines 3g, 3h, and 3i from 3f. | | | |
| 4 Distributions for 2016 from Section D, line 7: \$ | | | |
| a Applied to underdistributions of prior years | | | |
| b Applied to 2016 distributable amount | | | |
| c Remainder. Subtract lines 4a and 4b from 4 | | | |
| 5 Remaining underdistributions for years prior to 2016, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in Part VI. See instructions | | | |
| 6 Remaining underdistributions for 2016. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in Part VI. See instructions | | | |
| 7 Excess distributions carryover to 2017. Add lines 3j and 4c | | | |
| 8 Breakdown of line 7: | | | |
| a | | | |
| b Excess from 2013 | | | |
| c Excess from 2014 | | | |
| d Excess from 2015 | | | |
| e Excess from 2016 | | | |

Schedule A (Form 990 or 990-EZ) 2016

CAPITAL PREPARATORY HARLEM

Schedule A (Form 990 or 990-EZ) 2016

CHARTER SCHOOL



Part VI

Supplemental Information.

Provide the explanations required by Part II, line 10; Part II, line 17a; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a, and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions.)

Multiple horizontal lines for supplemental information.

Schedule B

(Form 990, 990-EZ, or 990-PF)

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and
its instructions is at www.irs.gov/form990 .

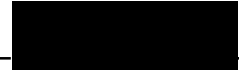
OMB No. 1545-0047

2016

Name of the organization

CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL

Employer identification number



Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

501(c)(3) (enter number) organization

4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

527 political organization

Form 990-PF

501(c)(3) exempt private foundation

4947(a)(1) nonexempt charitable trust treated as a private foundation

501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ▶ \$ _____

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

| | |
|---|--|
| Name of organization CAPITAL PREPARATORY HARLEM CHARTER SCHOOL | Employer identification number <div style="background-color: black; width: 100%; height: 20px;"></div> |
|---|--|

Part I Contributors (See instructions). Use duplicate copies of Part I if additional space is needed.

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
|------------|---|----------------------------|---|
| 1 | DEVILS ARENA ENTERTAINMENT LLC <div style="background-color: black; width: 100%; height: 15px;"></div> NEWARK, NJ 07102 | \$ 5,000. | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |

| | |
|---|--|
| Name of organization CAPITAL PREPARATORY HARLEM CHARTER SCHOOL | Employer identification number <div style="background-color: black; width: 100%; height: 20px;"></div> |
|---|--|

Part II Noncash Property (See instructions). Use duplicate copies of Part II if additional space is needed.

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|------------------------------|--|--|----------------------|
| | _____ _____ _____ | \$ _____ | _____ |
| | _____ _____ _____ | \$ _____ | _____ |
| | _____ _____ _____ | \$ _____ | _____ |
| | _____ _____ _____ | \$ _____ | _____ |
| | _____ _____ _____ | \$ _____ | _____ |
| | _____ _____ _____ | \$ _____ | _____ |
| | _____ _____ _____ | \$ _____ | _____ |

| | |
|--|---|
| Name of organization CAPITAL PREPARATORY HARLEM CHARTER SCHOOL | Employer identification number <div style="background-color: black; width: 100%; height: 20px;"></div> |
|--|---|

Part III Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this info. once.) ▶ \$ _____
Use duplicate copies of Part III if additional space is needed.

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---------------------|--|-------------------------------------|
| | | | |
| (e) Transfer of gift | | | |
| Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee | |
| | | | |
| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
| | | | |
| (e) Transfer of gift | | | |
| Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee | |
| | | | |
| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
| | | | |
| (e) Transfer of gift | | | |
| Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee | |
| | | | |
| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
| | | | |
| (e) Transfer of gift | | | |
| Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee | |
| | | | |

SCHEDULE D (Form 990)

Supplemental Financial Statements

OMB No. 1545-0047

2016 Open to Public Inspection

Department of the Treasury Internal Revenue Service

Complete if the organization answered "Yes" on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b. Attach to Form 990.

Information about Schedule D (Form 990) and its instructions is at www.irs.gov/form990.

Name of the organization CAPITAL PREPARATORY HARLEM CHARTER SCHOOL

Employer identification number

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts

organization answered "Yes" on Form 990, Part IV, line 6.

Table with 3 columns: Question, (a) Donor advised funds, (b) Funds and other accounts. Rows include total number at end of year, aggregate value of contributions, grants, and end of year, and two yes/no questions about donor property and grant fund usage.

Part II Conservation Easements. Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

- 1 Purpose(s) of conservation easements held by the organization (check all that apply).
2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.
3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year.
4 Number of states where property subject to conservation easement is located.
5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds?
6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year.
7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year.
8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)?
9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

- 1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.
1b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:
2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items:

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule D (Form 990) 2016

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar (continued)

3 Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):

- a** Public exhibition **d** Loan or exchange programs
b Scholarly research **e** Other _____
c Preservation for future generations

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? Yes No

Part IV Escrow and Custodial Arrangements. Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? Yes No

b If "Yes," explain the arrangement in Part XIII and complete the following table:

| | Amount |
|--|-----------|
| c Beginning balance | 1c |
| d Additions during the year | 1d |
| e Distributions during the year | 1e |
| f Ending balance | 1f |

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? Yes No

b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII

Part V Endowment Funds. Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

| | (a) Current year | (b) Prior year | (c) Two years back | (d) Three years back | (e) Four years back |
|---|------------------|----------------|--------------------|----------------------|---------------------|
| 1a Beginning of year balance | | | | | |
| b Contributions | | | | | |
| c Net investment earnings, gains, and losses | | | | | |
| d Grants or scholarships | | | | | |
| e Other expenditures for facilities and programs | | | | | |
| f Administrative expenses | | | | | |
| g End of year balance | | | | | |

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

- a** Board designated or quasi-endowment ▶ _____ %
b Permanent endowment ▶ _____ %
c Temporarily restricted endowment ▶ _____ %

The percentages on lines 2a, 2b, and 2c should equal 100%.

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

- (i)** unrelated organizations
- (ii)** related organizations

| | Yes | No |
|---------------|-----|----|
| 3a(i) | | |
| 3a(ii) | | |
| 3b | | |

b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R?

4 Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

| Description of property | (a) Cost or other basis (investment) | (b) Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value |
|--|--------------------------------------|---------------------------------|------------------------------|----------------|
| 1a Land | | | | |
| b Buildings | | | | |
| c Leasehold improvements | | 317,070. | 50,983. | 266,087. |
| d Equipment | | 212,903. | 31,541. | 181,362. |
| e Other | | 161,494. | 19,053. | 142,441. |
| Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.) | | | | 589,890. |

**CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL**

Part VII Investments - Other Securities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

| (a) Description of security or category (including name of security) | (b) Book value | (c) Method of valuation: Cost or end-of-year market value |
|---|----------------|---|
| (1) Financial derivatives | | |
| (2) Closely-held equity interests | | |
| (3) Other | | |
| (A) | | |
| (B) | | |
| (C) | | |
| (D) | | |
| (E) | | |
| (F) | | |
| (G) | | |
| (H) | | |
| Total. (Col. (b) must equal Form 990, Part X, col. (B) line 12.) ▶ | | |

Part VIII Investments - Program Related.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

| (a) Description of investment | (b) Book value | (c) Method of valuation: Cost or end-of-year market value |
|---|----------------|---|
| (1) | | |
| (2) | | |
| (3) | | |
| (4) | | |
| (5) | | |
| (6) | | |
| (7) | | |
| (8) | | |
| (9) | | |
| Total. (Col. (b) must equal Form 990, Part X, col. (B) line 13.) ▶ | | |

Part IX Other Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

| (a) Description | (b) Book value |
|---|----------------|
| (1) | |
| (2) | |
| (3) | |
| (4) | |
| (5) | |
| (6) | |
| (7) | |
| (8) | |
| (9) | |
| Total. (Column (b) must equal Form 990, Part X, col. (B) line 15.) ▶ | |

Part X Other Liabilities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

| 1. (a) Description of liability | (b) Book value |
|---|----------------|
| (1) Federal income taxes | |
| (2) DEFERRED RENT | 375,291. |
| (3) REFUNDABLE ADVANCES | 533,981. |
| (4) DUE TO CAPITAL PREPARATORY | |
| (5) SCHOOLS, INC. | 85,463. |
| (6) | |
| (7) | |
| (8) | |
| (9) | |
| Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶ | 994,735. |

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII

CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

| | | | | |
|---|---|----|----------|------------|
| 1 | Total revenue, gains, and other support per audited financial statements | | 1 | 4,261,203. |
| 2 | Amounts included on line 1 but not on Form 990, Part VIII, line 12: | | | |
| a | Net unrealized gains (losses) on investments | 2a | | |
| b | Donated services and use of facilities | 2b | | |
| c | Recoveries of prior year grants | 2c | | |
| d | Other (Describe in Part XIII.) | 2d | 696,302. | |
| e | Add lines 2a through 2d | 2e | | 696,302. |
| 3 | Subtract line 2e from line 1 | | 3 | 3,564,901. |
| 4 | Amounts included on Form 990, Part VIII, line 12, but not on line 1: | | | |
| a | Investment expenses not included on Form 990, Part VIII, line 7b | 4a | | |
| b | Other (Describe in Part XIII.) | 4b | | |
| c | Add lines 4a and 4b | 4c | | 0. |
| 5 | Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.) | | 5 | 3,564,901. |

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

| | | | | |
|---|--|----|----------|------------|
| 1 | Total expenses and losses per audited financial statements | | 1 | 3,929,155. |
| 2 | Amounts included on line 1 but not on Form 990, Part IX, line 25: | | | |
| a | Donated services and use of facilities | 2a | | |
| b | Prior year adjustments | 2b | | |
| c | Other losses | 2c | | |
| d | Other (Describe in Part XIII.) | 2d | 366,774. | |
| e | Add lines 2a through 2d | 2e | | 366,774. |
| 3 | Subtract line 2e from line 1 | | 3 | 3,562,381. |
| 4 | Amounts included on Form 990, Part IX, line 25, but not on line 1: | | | |
| a | Investment expenses not included on Form 990, Part VIII, line 7b | 4a | | |
| b | Other (Describe in Part XIII.) | 4b | | |
| c | Add lines 4a and 4b | 4c | | 0. |
| 5 | Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.) | | 5 | 3,562,381. |

Part XIII Supplemental Information.

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

PART X, LINE 2:

THE SCHOOL RECOGNIZES THE EFFECT OF INCOME TAX POSITIONS ONLY IF THOSE POSITIONS ARE MORE LIKELY THAN NOT TO BE SUSTAINED. MANAGEMENT HAS DETERMINED THAT THE SCHOOL HAD NO UNCERTAIN TAX POSITIONS THAT WOULD REQUIRE FINANCIAL STATEMENT RECOGNITION OR DISCLOSURE. ALL RETURNS FILED BY THE SCHOOL ARE SUBJECT TO EXAMINATIONS BY THE APPLICABLE TAXING JURISDICTIONS.

PART XI, LINE 2D - OTHER ADJUSTMENTS:

REVENUE REPORTING ON INITIAL SHORT YEAR RETURN 696,302.

PART XII, LINE 2D - OTHER ADJUSTMENTS:



Part XIII Supplemental Information *(continued)*

EXPENSES REPORTED ON INITIAL SHORT YEAR RETURN 366,774.

Multiple horizontal lines for supplemental information.

SCHEDULE E
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Schools

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 13, or Form 990-EZ, Part VI, line 48.**
▶ **Attach to Form 990 or Form 990-EZ.**

OMB No. 1545-0047

2016

Open to Public Inspection

▶ **Information about Schedule E (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.**

Name of the organization **CAPITAL PREPARATORY HARLEM CHARTER SCHOOL** Employer identification number 

Part I

| | YES | NO |
|--|-------------------------------------|-------------------------------------|
| 1 Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 2 Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 3 Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe. If "No," please explain. If you need more space, use Part II | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| AS A PUBLIC SCHOOL, SUBJECT TO OPEN ENROLLMENT, THE CHARTER SCHOOL IS NOT SUBJECT TO THE SPECIFIC GUIDELINES SET FORTH IN REV. PROC. 75-50. | | |
| 4 Does the organization maintain the following? | | |
| a Records indicating the racial composition of the student body, faculty, and administrative staff? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| b Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| c Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| d Copies of all material used by the organization or on its behalf to solicit contributions? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| If you answered "No" to any of the above, please explain. If you need more space, use Part II. | | |
| 5 Does the organization discriminate by race in any way with respect to: | | |
| a Students' rights or privileges? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| b Admissions policies? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| c Employment of faculty or administrative staff? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| d Scholarships or other financial assistance? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| e Educational policies? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| f Use of facilities? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| g Athletic programs? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| h Other extracurricular activities? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| If you answered "Yes" to any of the above, please explain. If you need more space, use Part II. | | |
| 6a Does the organization receive any financial aid or assistance from a governmental agency? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| b Has the organization's right to such aid ever been revoked or suspended? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| If you answered "Yes" on either line 6a or line 6b, explain on Part II. | | |
| 7 Does the organization certify that it has complied with the applicable requirements of sections 4.01 through 4.05 of Rev. Proc. 75-50, 1975-2 C.B. 587, covering racial nondiscrimination? If "No," explain on Part II | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or Form 990-EZ.

Schedule E (Form 990 or 990-EZ) 2016

Part II

Supplemental Information. Provide the explanations required by Part I, lines 3, 4d, 5h, 6b, and 7, as applicable.

Also provide any other additional information.

LINE 6 - EXPLANATION OF GOVERNMENT FINANCIAL AID:

THE SCHOOL RECEIVES VARIOUS FEDERAL, STATE, AND CITY FUNDS INCLUDING
FEDERAL ENTITLEMENTS TO ASSIST WITH COVERING THE COST OF CERTAIN PROGRAMS.

Multiple horizontal lines for providing additional information.

SCHEDULE O
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on
Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No. 1545-0047

2016

Open to Public
Inspection

Name of the organization **CAPITAL PREPARATORY HARLEM
CHARTER SCHOOL** Employer identification number [REDACTED]

FORM 990, PART I, LINE 1, DESCRIPTION OF ORGANIZATION MISSION:
COLLEGE AND CAREER READINESS SKILLS NEEDED TO BECOME RESPONSIBLE AND
ENGAGED CITIZENS FOR SOCIAL JUSTICE.

FORM 990, PART III, LINE 1, DESCRIPTION OF ORGANIZATION MISSION:
CAPITAL PREP STRIVES TO ENSURE THAT ALL STUDENTS ARE ABLE TO DO SO BY
OFFERING A RIGOROUS COLLEGE PREPARATORY CURRICULUM, AN ECLECTIC VARIETY
OF ATHLETIC PROGRAMS, AS WELL AS A GIFTED & TALENTED PROGRAM FOR
STUDENTS WHO DEMONSTRATE EXTRAORDINARY ACADEMIC ACHIEVEMENT.

FORM 990, PART VI, SECTION A, LINE 3:
THE SCHOOL ENTERED INTO A MANAGEMENT AGREEMENT WITH CAPITAL PREPARATORY
SCHOOLS, INC., A CONNECTICUT NOT-FOR-PROFIT ORGANIZATION, TO UNDERTAKE ON
ITS BEHALF FUNCTIONS IN REGARDS TO BUSINESS, ADMINISTRATIVE AND ACADEMIC
SERVICES TO HARLEM. THE SCHOOL INCURRED \$229,051 IN MANAGEMENT FEES TO
CAPITAL PREPARATORY SCHOOLS, INC DURING FY17.

BOARD MEMBER DR. STEVE PERRY, IS AN OFFICER OF THE MANAGEMENT ORGANIZATION,
CAPITAL PREPARATORY SCHOOLS, INC. IN 2016 CPS PAID DR. STEVE PERRY, CEO OF
CPS, A BASE SALARY IN THE AMOUNT OF \$150,000.

FORM 990, PART VI, SECTION B, LINE 11B:
CAPITAL PREPARATORY HARLEM CHARTER SCHOOL HAS ITS FORM 990 PREPARED BY AN
OUTSIDE ACCOUNTING FIRM AND HAS ESTABLISHED THE FOLLOWING REVIEW PROCESS TO
ENSURE THAT THE INFORMATION REPORTED IS COMPLETE AND ACCURATE. WHEN THE
FORM 990 HAS BEEN PREPARED, REVIEWED BY MANAGEMENT AND IS READY TO BE FILED

| | |
|--|--|
| Name of the organization CAPITAL PREPARATORY HARLEM CHARTER SCHOOL | Employer identification number [REDACTED] |
|--|--|

WITH THE INTERNAL REVENUE SERVICE, IT IS ELECTRONICALLY SENT TO THE BOARD MEMBERS OF THE ORGANIZATION FOR ANY COMMENTS. ANY COMMENTS ARE THEN GROUPED, SUMMARIZED AND PROVIDED TO THE OUTSIDE ACCOUNTANTS. EACH ISSUE IS DOCUMENTED AND ADDRESSED UNTIL THE RETURN IS FINALIZED AND APPROVED FOR FILING.

FORM 990, PART VI, SECTION B, LINE 12C:

THE SCHOOL SHARES ITS CONFLICT OF INTEREST POLICY WITH BOARD MEMBERS AND OFFICERS AS PART OF THEIR REGULAR MEETINGS. OFFICERS, DIRECTORS, AND KEY EMPLOYEES ARE EXPECTED TO DECLARE IF AT ANY POINT A CONFLICT OF INTEREST ARISES. IN ADDITION, THE BOARD OF TRUSTEES SIGN AN ANNUAL CONFLICT OF INTEREST DISCLOSURE FORM.

FORM 990, PART VI, SECTION B, LINE 15B:

THE BOARD OF TRUSTEES PERFORMS A COMPARATIVE STUDY OF COMPENSATION AND SALARIES WITH THAT OF THE REGION AND OTHER CHARTER SCHOOLS/ORGANIZATIONS. THE BOARD ALSO APPROVES THE COMPENSATION OF THE KEY EMPLOYEES THROUGH THE ANNUAL BUDGET PROCESS AND APPROVAL OF THE ANNUAL BUDGET. THE DISCUSSIONS, DELIBERATIONS AND DECISION ARE RECORDED IN THE COMMITTEE MINUTES. THE PROCESS WAS LAST CONDUCTED IN 2016.

FORM 990, PART VI, SECTION C, LINE 19:

THE ORGANIZATION MAKES ITS FORM 990 AVAILABLE FOR PUBLIC INSPECTION AS REQUIRED UNDER SECTION 6104 OF THE INTERNAL REVENUE CODE. THE RETURN IS POSTED ON GUIDESTAR.ORG. IN ADDITION, THE FINANCIAL STATEMENTS, CONFLICT OF INTEREST POLICY, ARTICLES OF INCORPORATION AND BY-LAWS ARE ALSO AVAILABLE UPON WRITTEN REQUEST AT 1 EAST 104TH STREET, NEW YORK, NY 10029, OR BY CALLING THE ORGANIZATION DIRECTLY AT (212)328-9370.

Application for Automatic Extension of Time To File an Exempt Organization Return

Department of the Treasury
Internal Revenue Service

▶ **File a separate application for each return.**

▶ **Information about Form 8868 and its instructions is at www.irs.gov/form8868 .**

Electronic filing (e-file). You can electronically file Form 8868 to request a 6-month automatic extension of time to file any of the forms listed below with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, for which an extension request must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit www.irs.gov/efile, click on Charities & Non-Profits, and click on e-file for Charities and Non-Profits.

Automatic 6-Month Extension of Time. Only submit original (no copies needed).

All corporations required to file an income tax return other than Form 990-T (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

| | Enter filer's identifying number | |
|--|---|---|
| Type or print | Name of exempt organization or other filer, see instructions. CAPITAL PREPARATORY HARLEM CHARTER SCHOOL | Employer identification number (EIN) or [REDACTED] |
| File by the due date for filing your return. See instructions. | Number, street, and room or suite no. If a P.O. box, see instructions. [REDACTED] | Social [REDACTED] |
| | City, town or post office, state, and ZIP code. For a foreign address, see instructions. NEW YORK, NY 10029 | |

Enter the Return Code for the return that this application is for (file a separate application for each return) 0 1

| Application Is For | Return Code | Application Is For | Return Code |
|--|-------------|-----------------------------------|-------------|
| Form 990 or Form 990-EZ | 01 | Form 990-T (corporation) | 07 |
| Form 990-BL | 02 | Form 1041-A | 08 |
| Form 4720 (individual) | 03 | Form 4720 (other than individual) | 09 |
| Form 990-PF | 04 | Form 5227 | 10 |
| Form 990-T (sec. 401(a) or 408(a) trust) | 05 | Form 6069 | 11 |
| Form 990-T (trust other than above) | 06 | Form 8870 | 12 |

DEREK FERGUSON

• The books are in the care of ▶ [REDACTED] - **NEW YORK, NY 10029**
Telephone No. ▶ [REDACTED] Fax No. ▶ [REDACTED]

- If the organization does not have an office or place of business in the United States, check this box
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____. If this is for the whole group, check this box . If it is for part of the group, check this box and attach a list with the names and EINs of all members the extension is for.

1 I request an automatic 6-month extension of time until **MAY 15, 2018**, to file the exempt organization return for the organization named above. The extension is for the organization's return for:

- ▶ calendar year _____ or
- ▶ tax year beginning **JUL 1, 2016**, and ending **JUN 30, 2017**.

2 If the tax year entered in line 1 is for less than 12 months, check reason: Initial return Final return Change in accounting period

| | | | |
|---|-----------|----|----|
| 3a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions. | 3a | \$ | 0. |
| b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit. | 3b | \$ | 0. |
| c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions. | 3c | \$ | 0. |

Caution: If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

**MAIL TO: DEPARTMENT OF THE TREASURY
INTERNAL REVENUE SERVICE CENTER
OGDEN, UT 84201-0045**

Capital Preparatory Harlem Charter School

Financial Statements

June 30, 2017



Independent Auditors' Report

**Board of Trustees
Capital Preparatory Harlem Charter School**

Report on the Financial Statements

We have audited the accompanying financial statements of Capital Preparatory Harlem Charter School (the "School"), which comprise the statement of financial position as of June 30, 2017, and the related statements of activities, functional expenses, and cash flows for the period from November 18, 2014 (inception) to June 30, 2017, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the School's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the School's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

PKF O'CONNOR DAVIES, LLP

[REDACTED], Harrison, NY 10528 | [REDACTED] www.pkfod.com

PKF O'Connor Davies, LLP is a member firm of the PKF International Limited network of legally independent firms and does not accept any responsibility or liability for the actions or inactions on the part of any other individual member firm or firms.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the School as of June 30, 2017, and the changes in its net assets and its cash flows for the period from November 18, 2014 (inception) to June 30, 2017 in accordance with accounting principles generally accepted in the United States of America.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated October 31, 2017, on our consideration of the School's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the School's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the School's internal control over financial reporting and compliance.

PKF O'Connor Davies, LLP

Harrison, New York
October 31, 2017

Capital Preparatory Harlem Charter School

Statement of Financial Position June 30, 2017

ASSETS

Current Assets

| | |
|---|---------------|
| Cash and cash equivalents | \$ 633,423 |
| Grants and contracts receivable | 122,990 |
| Prepaid expenses and other current assets | <u>41,030</u> |
| Total Current Assets | 797,443 |

| | |
|-----------------------------|---------------|
| Property and equipment, net | 589,890 |
| Restricted cash | <u>25,000</u> |

\$ 1,412,333

LIABILITIES AND NET ASSETS

Current Liabilities

| | |
|---------------------------------------|---------------|
| Accounts payable and accrued expenses | \$ 85,550 |
| Refundable advances | 533,981 |
| Due to related party | <u>85,463</u> |
| Total Current Liabilities | 704,994 |

| | |
|-------------------|----------------|
| Deferred rent | <u>375,291</u> |
| Total Liabilities | 1,080,285 |

| | |
|--------------------------|----------------|
| Net assets, unrestricted | <u>332,048</u> |
|--------------------------|----------------|

\$ 1,412,333

Capital Preparatory Harlem Charter School

Statement of Activities

Period from November 18, 2014 (Inception) to June 30, 2017

REVENUE AND SUPPORT

| | |
|---|------------------|
| State and local per pupil operating revenue | |
| General education | \$ 2,292,756 |
| Special education | 57,540 |
| Lease assistance | 458,102 |
| Federal grants | 826,091 |
| State and city grants | 427,468 |
| Rental income | 188,704 |
| Contributions | 10,367 |
| Other income | 175 |
| Total Revenue and Support | <u>4,261,203</u> |

EXPENSES

| | |
|------------------------|------------------|
| Program Services | |
| Regular education | 2,499,316 |
| Special education | 755,294 |
| Total Program Services | <u>3,254,610</u> |
| Supporting Services | |
| Management and general | 674,545 |
| Total Expenses | <u>3,929,155</u> |
| Change in Net Assets | 332,048 |

NET ASSETS, UNRESTRICTED

| | |
|---------------------|-------------------|
| Beginning of period | <u>-</u> |
| June 30, 2017 | <u>\$ 332,048</u> |

Capital Preparatory Harlem Charter School

Statement of Functional Expenses
Period from November 18, 2014 (Inception) to June 30, 2017

| | No. of Positions | Program Services | | | Management and | Total |
|--|---------------------|----------------------|----------------------|---------------------|-------------------|---------------------|
| | | Regular Education | Special Education | Total | General | |
| Personnel Services Costs | | | | | | |
| Administrative staff personnel | 2 | \$ 105,980 | \$ - | \$ 105,980 | \$ 45,420 | \$ 151,400 |
| Instructional personnel | 17 | 727,961 | 299,524 | 1,027,485 | 16,832 | 1,044,317 |
| Non-instructional personnel | 2 | 67,034 | - | 67,034 | 67,035 | 134,069 |
| Total Salaries and Staff | 21 | 900,975 | 299,524 | 1,200,499 | 129,287 | 1,329,786 |
| Fringe benefits and payroll taxes | | 220,472 | 73,295 | 293,767 | 31,636 | 325,403 |
| Retirement | | 6,603 | 2,195 | 8,798 | 947 | 9,745 |
| Management company fees | | - | - | - | 229,051 | 229,051 |
| Legal services | | - | - | - | 102,410 | 102,410 |
| Accounting/audit services | | - | - | - | 28,000 | 28,000 |
| Other purchased/professional/consulting services | | 233,906 | 17,203 | 251,109 | 5,521 | 256,630 |
| Building and land rent/lease | | 740,830 | 246,284 | 987,114 | 106,306 | 1,093,420 |
| Repairs and maintenance | | 55,737 | 18,530 | 74,267 | 7,998 | 82,265 |
| Insurance | | 22,509 | 7,483 | 29,992 | 3,229 | 33,221 |
| Utilities | | 1,447 | 481 | 1,928 | 208 | 2,136 |
| Supplies/materials | | 53,558 | 15,725 | 69,283 | - | 69,283 |
| Equipment/furnishings | | 27,205 | 7,637 | 34,842 | 3,296 | 38,138 |
| Staff development | | 6,400 | 1,961 | 8,361 | 301 | 8,662 |
| Marketing/recruitment | | 27,505 | 3,325 | 30,830 | 1,436 | 32,266 |
| Technology | | 64,890 | 21,572 | 86,462 | 9,311 | 95,773 |
| Food services | | 36,875 | 10,826 | 47,701 | - | 47,701 |
| Student services | | 11,971 | - | 11,971 | - | 11,971 |
| Office expense | | 10,695 | 3,410 | 14,105 | 1,473 | 15,578 |
| Depreciation and amortization | | 68,822 | 22,879 | 91,701 | 9,876 | 101,577 |
| Other expenses | | 8,916 | 2,964 | 11,880 | 4,259 | 16,139 |
| Total Expenses | | <u>\$ 2,499,316</u> | <u>\$ 755,294</u> | <u>\$ 3,254,610</u> | <u>\$ 674,545</u> | <u>\$ 3,929,155</u> |

Capital Preparatory Harlem Charter School

Statement of Cash Flows Period from November 18, 2014 (Inception) to June 30, 2017

CASH FLOWS FROM OPERATING ACTIVITIES

| | |
|---|------------------|
| Change in net assets | \$ 332,048 |
| Adjustments to reconcile change in net assets to net cash from operating activities: | |
| Depreciation and amortization | 101,577 |
| Deferred rent | 375,291 |
| Changes in operating assets and liabilities | |
| Grants and contracts receivable | (122,990) |
| Prepaid expenses and other current assets | (41,030) |
| Accounts payable and accrued expenses | 85,550 |
| Refundable advances | 533,981 |
| Due to related party | 85,463 |
| Net Cash from Operating Activities | <u>1,349,890</u> |

CASH FLOWS FROM INVESTING ACTIVITIES

| | |
|-------------------------------------|------------------|
| Purchases of property and equipment | (691,467) |
| Restricted cash | <u>(25,000)</u> |
| Net Cash from Investing Activities | <u>(716,467)</u> |

Net Change in Cash and Cash Equivalents 633,423

CASH AND CASH EQUIVALENTS

| | |
|---------------------|-------------------|
| Beginning of period | <u>-</u> |
| June 30, 2017 | <u>\$ 633,423</u> |

Capital Preparatory Harlem Charter School

Notes to Financial Statements
June 30, 2017

1. Organization and Tax Status

Capital Preparatory Harlem Charter School (the "School") is a New York State, not-for-profit educational corporation that was incorporated on November 18, 2014 to operate a charter school pursuant to Article 56 of the Education Law of the State of New York. The School was granted a provisional charter on November 18, 2014 valid for a term of five years and renewable upon expiration by the Board of Regents of the University of the State of New York. The School's mission is to provide historically disadvantaged students with the college and career readiness skills needed to become responsible and engaged citizens for social justice. The School provided education to approximately 159 students in grades sixth and seventh during the 2016-2017 academic year.

Except for taxes that may be due for unrelated business income, the School is exempt from federal income taxes under Section 501(c)(3) of the Internal Revenue Code and from state and local income taxes under comparable laws.

2. Summary of Significant Accounting Policies

Basis of Presentation and Use of Estimates

The accompanying financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America ("U.S. GAAP"), which requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Accordingly actual results could differ from those estimates.

Net Assets Presentation

Resources for various purposes are classified for accounting and reporting purposes into net asset categories established according to nature and purpose as follows:

Unrestricted - consist of resources available for the general support of the School's operations. Unrestricted net assets may be used at the discretion of the School's management and Board of Trustees.

Temporarily Restricted - represent amounts restricted by donors for specific activities of the School or to be used at some future date. The School records contributions as temporarily restricted if they are received with donor stipulations that limit their use either through purpose or time restrictions. When a donor restriction expires, that is, when a time restriction ends or a purpose restriction is fulfilled, temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statement of activities as net assets released from restrictions. However, when restrictions on donor-restricted contributions are met in the same accounting period in which they are received, such amounts are reported as unrestricted net assets.

Capital Preparatory Harlem Charter School

Notes to Financial Statements
June 30, 2017

2. Summary of Significant Accounting Policies *(continued)*

Net Assets Presentation (continued)

Permanently Restricted - consist of net assets that are subject to donor imposed restrictions that require the School to maintain them permanently, including funds that are subject to restrictions of gift instruments requiring that the principal be invested in perpetuity and the income be used for specific or general purposes. Income and gains earned on endowment fund investments are available to be used in the unrestricted or temporarily restricted net asset classes based upon stipulations by the donors.

The School had no temporarily or permanently restricted net assets at June 30, 2017.

Cash and Cash Equivalents

Cash and cash equivalents include cash balances held in bank accounts and highly liquid debt instruments with maturities of three months or less at the time of purchase.

Restricted Cash

Under the provisions of its charter, the School established an escrow account to pay for legal and audit expenses that would be associated with a dissolution should it occur.

Property and Equipment

The School follows the practice of capitalizing all expenditures for property and equipment with costs in excess of \$5,000 and a useful life in excess of one year. Leasehold improvements are amortized over the shorter of the term of the lease, inclusive of all renewal periods, which are reasonably assured, or the estimated useful life of the asset. Purchased property and equipment are recorded at cost at the date of acquisition. Minor costs of maintenance and repairs are expensed as incurred. All property and equipment purchased with government funding is capitalized, unless the government agency retains legal title to such assets, whereby such assets are expensed as incurred.

Depreciation and amortization is recognized on the straight-line method over the estimated useful lives of such assets as follows:

| | |
|-------------------------|---------|
| Furniture and fixtures | 7 years |
| Computers and equipment | 5 years |

Property and equipment are reviewed for impairment if the use of the asset significantly changes or another indicator of possible impairment is identified. If the carrying amount for the asset is not recoverable, the asset is written down to the fair value. There were no asset impairments for the period ended June 30, 2017.

Capital Preparatory Harlem Charter School

Notes to Financial Statements
June 30, 2017

2. Summary of Significant Accounting Policies (*continued*)

Refundable Advances

The School records certain government operating revenue as refundable advances until related services are performed, at which time they are recognized as revenue. The balance of \$533,981 at June 30, 2017 is primarily due to the New York City Department of Education for overpayments of estimated full-time equivalent special education enrollment during the year ended June 30, 2017. Adjustments for this amount will be reflected in the 2017-2018 school year payment cycle.

Deferred Rent

The School records its rent in accordance with U.S. GAAP, whereby all rental payments, including fixed rent increases, are recognized on a straight-line basis as an offset to rent expense. The difference between the straight-line rent expense and the required lease payments, as well as any unamortized lease incentive, is reflected in deferred rent in the accompanying statement of financial position.

Revenue and Support

Revenue from the state and local governments resulting from the School's charter status and based on the number of students enrolled is recorded when services are performed in accordance with the charter agreement. Federal and other state and local funds are recorded when expenditures are incurred and billable to the government agency.

Contributions are recognized when the donor makes a promise to give to the School that is, in substance, unconditional. Grants and other contributions of cash are reported as temporarily restricted support if they are received with donor stipulations. Restricted contributions and grants that are made to support the School's current period activities are recorded as unrestricted revenue. Contributions of assets other than cash are recorded at their estimated fair value at the date of donation.

Marketing and Recruitment

Marketing and recruitment costs are expensed as incurred for staff and student recruitment. Marketing and recruitment expense for the period from November 18, 2014 (inception) to June 30, 2017 was \$32,266.

Functional Expense Allocation

The majority of expenses can generally be directly identified with the program or supporting service to which they relate and are charged accordingly. Other expenses by function have been allocated among program and supporting services classifications on the basis of periodic time and expense studies and other basis as determined by management of the School to be appropriate.

Capital Preparatory Harlem Charter School

Notes to Financial Statements
June 30, 2017

2. Summary of Significant Accounting Policies (*continued*)

Accounting for Uncertainty in Income Taxes

The School recognizes the effect of income tax positions only if those positions are more likely than not to be sustained. Management has determined that the School had no uncertain tax positions that would require financial statement recognition or disclosure. All returns filed by the School are subject to examinations by the applicable taxing jurisdictions.

Subsequent Events Evaluation by Management

Management has evaluated subsequent events for disclosure and/or recognition in the financial statements through the date that the financial statements were available to be issued, which date is October 31, 2017.

3. Grants and Contracts Receivable

Grants and contracts receivable consists of federal, state, and city entitlements and grants. The School expects to collect these receivables within one year.

4. Property and Equipment

Property and equipment consists of the following at June 30, 2017:

| | |
|--|-------------------|
| Furniture and fixtures | \$ 161,494 |
| Computers and equipment | 212,903 |
| Leasehold improvements | <u>317,070</u> |
| | 691,467 |
| Accumulated depreciation and amortization | <u>(101,577)</u> |
| | <u>\$ 589,890</u> |

5. Related Party Transactions (not disclosed elsewhere)

The School is affiliated with Capital Preparatory Schools, Inc. ("CPS"), a Connecticut non-stock corporation, by common management.

Prior to the School's opening, the School entered into an interim service agreement with CPS to assist in securing a facility on the School's behalf and other related costs during the pre-opening period. During fiscal 2017, the School entered into a full service agreement with CPS to undertake, on its behalf, functions in regards to business, administrative, and academic services of the School. As compensation to CPS for these services rendered, the School shall pay to CPS an amount each year equal to 10% of the School's per pupil general education revenue.

Capital Preparatory Harlem Charter School

Notes to Financial Statements
June 30, 2017

5. Related Party Transactions (not disclosed elsewhere) (continued)

For the period from November 18, 2014 (inception) to June 30, 2017, the School incurred \$229,051 in management fees to CPS, along with \$14,807 of net operating expenses paid by CPS on behalf of the School. Net balance due to CPS from the School was \$85,463 at June 30, 2017.

6. Employee Benefit Plan

The School maintains a pension plan qualified under Internal Revenue Code 401(k), for the benefit of its eligible employees. Under the plan, the School provided matching contributions up to 4% of the participant's annual compensation. Employee match for the period from November 18, 2014 (inception) to June 30, 2017 amounted to \$9,745.

7. Concentration of Credit Risk

Financial instruments that potentially subject the School to concentrations of credit and market risk consist principally of cash and cash equivalents on deposit with financial institutions, which from time to time may exceed the Federal Deposit Insurance Corporation ("FDIC") limit. The School does not believe that a significant risk of loss due to the failure of a financial institution presently exists. As of June 30, 2017, approximately \$408,000 of cash was maintained with an institution in excess of FDIC limits.

8. Concentration of Revenue and Support

The School receives a substantial portion of its revenue and support from the New York City Department of Education. For the period from November 18, 2014 (inception) to June 30, 2017, the School received approximately 66% of total revenue and support from the New York City Department of Education. If the charter school laws were modified, reducing or eliminating these revenues, the School's finances could be materially adversely affected.

9. Commitment

On March 17, 2016, the School entered into an operating sub-sublease agreement with Boys and Girls Harbor, Inc. ("The Harbor") to sublease a portion of a building located at 1 East 104th Street, New York, New York. The lease term commenced on July 1, 2016 and expires on June 30, 2021, with four successive options to extend the term of the sublease by up to five years per option.

Future minimum lease payments are as follows for years ending June 30:

| | |
|------|---------------------|
| 2018 | \$ 741,821 |
| 2019 | 1,229,684 |
| 2020 | 1,291,029 |
| 2021 | 1,355,511 |
| | <u>\$ 4,618,045</u> |

Capital Preparatory Harlem Charter School

Notes to Financial Statements
June 30, 2017

9. Commitment (continued)

Rent expense for the period from November 18, 2014 (inception) to June 30, 2017 was \$1,093,420.

Under the terms of the lease, The Harbor pays a monthly usage fee to the School for the use of the premises, which is recognized by the School as rental income.

Future minimum lease payments to be received are as follows for years ending June 30:

| | | |
|------|----|----------------|
| 2018 | \$ | 198,139 |
| 2019 | | 208,046 |
| 2020 | | 218,425 |
| 2021 | | <u>229,334</u> |
| | \$ | <u>853,944</u> |

Rental income for the period from November 18, 2014 (inception) to June 30, 2017 was \$188,704.

10. Contingency

Certain grants and contracts may be subject to audit by the funding sources. Such audits might result in disallowances of costs submitted for reimbursement. Management is of the opinion that such cost disallowances, if any, will not have a material effect on the accompanying financial statements. Accordingly, no amounts have been provided in the accompanying financial statements for such potential claims.

* * * * *

**Report on Internal Control Over Financial Reporting and on Compliance and Other
Matters Based on an Audit of Financial Statements Performed in Accordance with
*Government Auditing Standards***

Independent Auditors' Report

**Board of Trustees
Capital Preparatory Harlem Charter School**

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of Capital Preparatory Harlem Charter School (the "School"), which comprise the statement of financial position as of June 30, 2017, and the related statements of activities, functional expenses, and cash flows for the period from November 18, 2014 (inception) to June 30, 2017, and the related notes to the financial statements, and have issued our report thereon dated October 31, 2017.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the School's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the School's internal control. Accordingly, we do not express an opinion on the effectiveness of the School's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the School's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. We did identify a deficiency in internal control, described in the accompanying schedule of findings and responses as 2017-001 that we consider to be a significant deficiency.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the School's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*. The results of our tests disclosed instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards* and which are described in the accompanying schedule of findings and responses as 2017-001.

The School's Response to the Findings

The School's response to the findings identified in our audit are described in the accompanying schedule of findings and questioned costs. The School's response was not subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on it.

We noted certain matters that were reported to the management of the School in a separate letter dated October 31, 2017.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the School's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the School's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

PKF O'Connor Davies, LLP

Harrison, New York
October 31, 2017

Capital Preparatory Harlem Charter School

Schedule of Findings and Responses
Year Ended June 30, 2017

Financial Statement Findings

2017-001- Maintenance of Student Records

Criteria

Appropriate records of student enrollment should be properly maintained in student files.

Condition

We noted the following exceptions during our test of 25 student files:

- One student file could not be located by the School
- Two files were missing IEP programs
- One file was missing proof of residency
- Three files were missing second proof of residency
- Nineteen files were missing immunization records
- Three files were missing prior school records
- One file was missing birth certificate
- Six files were missing Home Language Identification Surveys

Some of these items were provided to us subsequent to the completion of our field work.

Cause

This condition was caused by limited staffing resources to provide proper oversight of student records.

Effect

The School is not in compliance with its financial policies and procedures manual and with City and State laws and regulations.

Recommendation

In an effort to ensure that student records are complete, we recommend that the School's Student Registration Packet be utilized periodically to insure that information is complete and updated for each student file. A log book should be maintained to track any files that are removed.

Views of Responsible Officials

The School now has a full operations team that is charged with ensuring the proper oversight and maintenance of student records. The team will enhance the current Student File Checklist (attached to each student's file) to include required signatures for each item obtained from students/parents. This will serve to document the receipt of each of the file contents and easily identify outstanding items for immediate follow-up. In addition, the operations team will maintain a log book to track any files that are removed. Management believes that with this revised process in place and dedicated staff to oversee this process, this condition will be addressed.

| Domain | Action | Start & End Dates | Responsibility |
|------------|---|----------------------------------|------------------------------------|
| Operations | Execute Management Services Agreement with charter management organization | Upon approval-1/19 | BOT |
| Governance | Recruit BOT members with specific experience valuable to school start-up and implementation | Ongoing | CPS, BOT |
| Governance | Ratify bylaws and code of ethics | At first BOT meeting | BOT |
| Governance | Appoint BOT officers, finalize BOT calendar, review and approve annual budget | At first BOT meeting | BOT |
| Operations | Obtain 501c3 status and establish bank account | Ongoing | BOT, CPS |
| Governance | Obtain BOT insurance, file IRS form S-4, apply for unemployment number, create FOIL policy | 18-Dec | BOT, CPS |
| Finance | Develop and approve fiscal policies and procedures | 1/19-2/19 | CPS, CSBM, BOT |
| Finance | Work with CPS to establish payroll and other financial systems | Within 30 days of approval | BOT, CPS, CSBM |
| Finance | Work with CPS to identify and establish protocols to comply with reporting requirements. Complete initial statement of financial controls | Within 30 days of approval | BOT, CPS, CSBM |
| Governance | Hold BOT training session | 19-Feb | CPS, BOT |
| HR | Recruit, interview and hire AD and DO | Upon Approval-4/19 (AD)/3/19(DO) | Principal (P), CPS |
| Facility | Negotiate and finalize facility arrangement with NYCDOE, if NYCDOE facility is available | Upon Approval-May 2019 | BOT, CPS |
| Facility | Secure Private Facility | Ongoing-June 2019 | BOT, CPS |
| Operations | Create and implement safety plans, Dignity for All Students Plan, emergency plan, etc and submit to SED where required | 19-Mar | CPS, P and DO with approval by BOT |

| | | | |
|-------------|---|-------------------------|------------------|
| Recruitment | Recruit students: finalize recruitment plan, develop, translate and disseminate materials, hold informational sessions, open houses, community events, distribute applications | Upon Approval-4/19 | CPS, P, DO |
| Academic | Curriculum and assessment: align CPS-developed curriculum to NYS CCLS, develop first year scope and sequences, finalize assessment protocol and ensure alignment of assessment with NYS CCLS. | 1/19-6/19 | CPS, P, AD, |
| Recruitment | Hold lottery: secure system preferences, conduct lottery, inform parents | 4/1/2019 | P, DO |
| HR | Recruit school staff: draft job descriptions, post positions, interview candidates, check references | Upon Approval-5/19 | CPS, P, AD |
| Finance | Approve budget for FY 19-19 | 19-May | BOT |
| Operations | Purchase and accept delivery of all necessary furniture, fixtures, equipment, and technology necessary for school operations | 5/19-6/19 | CPS, P, DO, CSBM |
| Operations | Secure food services | 5/19-6/19 | CPS, DO |
| HR | Design initial PD (PD) objectives and plan | 4/19-6/19 | CPS, P, AD |
| Operations | Secure transportation | 5/19-6/19 | CPS, OM |
| HR | Finalize staff handbook and personnel policies | Upon Approval4//19 | CPS, AD |
| HR | Hire teachers and school staff: salary negotiations and offer letter | Upon Approval-6/19 | P, CPS |
| Academic | Finalize school calendar and distribute to families | 4/19-as students enroll | CPS, AD |
| HR | Complete fingerprinting and background checks | As teachers are hired | CPS, AD |
| HR | Complete and distribute Employee Handbook and other HR documents | 19-Apr | CPS, AD |

| | | | |
|-------------|---|-------------------------|-------------|
| Operations | Select, order and accept delivery of all curriculum, instructional and assessment material | 5/19-6/19 | CPS, P, OM |
| Operations | Establish health services: secure first aid resources, train staff, establish protocols for storing and administering medicine, establish secure records storage system | Upon hiring of Nurse | CPS, DO, N |
| Operations | Secure insurance policies | 19-Jun | CPS, P, DO |
| Recruitment | Conduct family orientation for enrolled students and distribute student and family handbook | 19-Jun | P, AD |
| HR | Summer Institute: pre-opening PD sessions on mission, vision, educational model | 19-Jul | CPS, P, AD |
| Operations | Obtain student records from parents, previous schools, etc. | Upon enrollment-Ongoing | AD |
| Operations | Identify SWDs, ELLs and FRLs. | Upon Enrollment | AD |
| Academic | Contract with Related Service Providers | 5/19-7/19 | CPS, AD |
| Operations | Secure IEPs and student records | 6/19-7/19 | AD |
| Operations | Create a draft SAVE plan and submit to NYSED | 6/19-7/19 | P |
| PD | Develop staff ITPs | 19-Jul | AD |
| Academic | Finalize annual school goals | 19-Jul | CPS, P, BOT |
| Finance | Complete Initial Statement of Financial Controls | 19-Jul | CPS, P |
| Finance | Complete Consolidated Title Application | 19-Aug | CPS, P |

Supplemental Narrative

Submitted with this application are the following supplemental attachments:

1. Capital Prep Overview
2. CPS Teacher Performance Rubric
3. Sample Senior Social Justice Project
4. Social Justice Project presentation
5. Student Led Conference
6. PD Sample Program Schedule
7. South Africa Trip
8. Athletic Grading



Marking Period Four Student Led Conference.

Alanna Kashonia Tionia Haley

Inside look on my marking periods
progression.....BTW I got straight B's on my
report card... guess where I went Olive Garden.

Capital Prep Harbor, Grade 9, Advisor Ms.Schneider



DOB: January 15 2003

Favorite Color: Pink

I am a:

Cheerleader, Skier, Perry House Captain, and a track runner

I can be:

Funny, annoying, distracting empathetic and kind.

These are my grades over the marking period. As you can see I have mostly kept up with my grades.

| | | | |
|------------------|-----------|-----------|-----------|
| Science | B | B+ | B+ |
| Spanish | A | A | B |
| Algebra | B+ | B | B+ |
| Social J. | B+ | B+ | B+ |
| History | B | B | B |
| English | B+ | B+ | B |
| Advisory | A | A | B+ |

CURRENT GRADES NOW

| | |
|-----------------------|-------------------|
| Science | 3.04 (B+) |
| Spanish | 3.35 (A+) |
| Algebra | 2.95 (B) |
| Social Justice | 2.79 (B) |
| History | 2.98 (B) |
| English | 3.18 (B+) |
| Advisory | 3.01 (B+) |

Social Justice

~From the beginning of the marking period to now I have made so much improvement my grade has gone up and I have been able to engage more often.

Activity Name: Bullying

Standard: RI.9-10.1

Learner Expectation: Pillar of Knowledge

- 1. During this activity I was supposed to identify a problem and present to the class.**
- 2. I demonstrated mastery when I made good eye contact, have good context and a good opening**

Activity Name: Oral Assessment

Standard: RI.9-10.2

Learner Expectation: Pillar Of Knowledge

- 1. During the activity I was supposed to describe how people are impacted from bullying**
- 2. I demonstrated mastery when I opened and closed my argument accurately.**

History~In history class I have been doing a good job at holding myself accountable and making sure that I meet the individual goal we set in class like getting better at citing text evidence.

**Activity Name: Women's
SUffrage Leader**

Standard:

Learner Expectation:

1. During this activity i was supposed to construct a claim and support with evidence.
2. I demonstrated mastery when I cited evidence from documents that accurately

**Activity Name: Moments to
Minutes**

Standard: SL.9-10.(1a,1b,4,5)

Learner Expectation:

1. Answer a prompt answering what it means to truly be seen..”
2. I used the poem as an creative way to answer the prompt

English~ In english class my only struggle is making sure I understand the proper definitions for our vocabulary words. With an easy fix I can just start studying more.

Activity Name: Rome & Juliet

Standard: R.3

Learner Expectation: Pillar of Knowledge

- 1. During this activity I was supposed to answer questions that connect w/ romeo and juliet.**
- 2. Demonstrated skill when I Answered all the questions**

Activity Name: Change Story

Standard: RL.2

Learner Expectation: Pillar of knowledge

- 1. During this activity I was supposed to write how different themes connect.**
- 2. I demonstrated the skill when i drew evidence from new sources to compare from old ones**

Science~ In science class I have been able to obtain my “B” or higher goal for the past two marking periods. For example within the two marking periods I have ranked as 1 of the top three highest grades in the class.

Activity Name: Forces and Motion Quiz

Standard:

Learner Expectation: Pillar Of Knowledge

1. During this activity I was supposed to answer each question based off of work done in class.

2. I demonstrated the skill when used my study guide as a referral to unknown info.

Activity Name: Shapes of S vs T Graphs

Standard:

Learner Expectation: Pillar of Knowledge

1. During this activity I was supposed to determine the meaning of different graphs according to its rate.

2. I demonstrated the skill when I answered the questions correctly.

Algebra~

This class has been fun... we have been working in our groups to come up with lesson plans to teach the class about based on our given math topic

Activity Name: RNE

Functions

Standard:

Learner Expectation: Pillar of knowledge

1. During the activity I was supposed to figure the outcome values for functions.

2. I demonstrate the skill when I found the correct

Activity Name: RNE

Functions

Standard:

Learner Expectation: Pillar of knowledge

1. During this activity I was supposed to read through each math problem and come up with output values.

2. I demonstrated the skill when I used the formula to plug in givens to get accurate

Spanish ~ Spanish class is the best. Over the past few weeks I have been on a role saying the correct answers to questions no one else raises their hand to answer and so much more.....

Activity Name: Conjugacions

Standard:

Learner Expectation: Pillar of Knowledge

- 1. During this activity I was supposed to conjugate terms and plug them into sentences correctly.**
- 2. I demonstrated the skill when I conjugated correctly in present and past tense and putting them with sentences.**

Activity Name: Oral Present.

Standard:

Learner Expectation: Pillar of Knowledge

- 1. During this activity I was supposed to present a slide show and monolog about my chosen spanish person....**
- 2. Demonstrate the skill when I came in prepared with props spoke in a strong**

Learner Expectation used most~

This marking period my mostly used skill would half to be Pillar of Knowledge. I say this because in most of my classes I have been using a lot my self knowledge and thing being taught to mme to support mostly half of the things I say whether it was inside of class or and argument with a student.

Overall goal this year

My overall goal for this 9th grade chapter is to make sure that I finish off with more A's than B's and have nothing below it

Plan

- Maintain the grades that I have now by doing all my homework and staying on track.
- Making sure that i'm putting in the maximum amount of effort in everything
- Holding myself accountable for all the progression and faults I may have throughout the — end of the year.

The Harbor School Athletic Grading

Background

The Harbor School is a college prep school with a rigorous and robust curriculum designed to enhance the development of all aspects of a young person's life. The Harbor School is committed to excellence and the growth of all its students. 100% of our graduates will go on to competitive 4 year colleges and most students take as many as 30 college credits while they are still in high school.

The Harbor School will have a two-sport rule. The rule states that all high school students, grades 9-12, must participate in two seasons of athletics to keep their seats at the Harbor School. If they do not complete the two sports they are asked to leave at the end of the school year. The school's rationale for implementing the rule is:

1. The Harbor School is a college preparatory school with a huge emphasis on sending students to college. The school takes a holistic approach to marketing our students. It was our experience that colleges wanted to see that a student had excelled in the classroom and extracurricular activities. Although clubs helped in that marketing, a sport is an endeavor that demonstrates a higher level of time commitment and thus was more appealing to colleges. As of the end of the 2009-10, 100 percent of the Harbor School's graduating seniors were accepted into four college institutions. The formula of marketing the year round calendar, two-sports, college classes and the SSJP Project has been instrumental in this success.
2. Capital Prep would implement the prep school model of using athletics as the student's physical education requirement. Prep schools also marketed the entire student and used the student's involvement in athletics in that marketing. Moreover, this allowed for the school to open up the course selections in other areas such as the sciences, health and public service. It also gives the student playing a sport almost three times the amount of exercise time than a typical gym class would provide.
3. Additionally, in a school with only 150 high school students it is also a way to maintain quality programs. This insured that the athletic programs would remain in place.
4. In addition to learning literacy and numeracy, Capital Prep also has 5 Learner Expectations that all students must demonstrate. Those Learner Expectations are being an Empathetic Citizen, Collaborative Learner, Information Processor/Researcher, Knowledgeable Person, and Problem Solver. The school feels that athletics is a great way for students to demonstrate being a collaborative learner.

Rationale: Why a grading policy?

The inaugural years of two-sport rule brought on many challenges. Many of our students would not normally participate in athletics. Transportation was an issue due to the geographic range of the towns involved in our school. How would you implement the sports into the school as a gym class? In order to implement this policy the school would need to provide the resources to have quality programs. Coaches, uniforms, equipment, quality playing facilities, officials and transportation were all huge obstacles that needed to be addressed. One of the biggest concerns was how do you grade the sport. Since the sport was in lieu of physical education, there had to be a grading system put in place. The student had to satisfy their physical education requirement for graduation. But do you have the class as a pass/fail? Or do you give a letter grade? The school decided to give letter grades because that was the district policy. Therefore, administration would give an A if a student-athlete completed the sport and an F if they didn't.

This was the problem. Why should a student who attended all practices and games and gave great effort while there be given the exact same grade as the student who had a high absenteeism rate and gave poor effort? Allowing the students to look at the initiative as a joke had to be curbed immediately. If we do not address this issue, the athletic programs will be ineffective.

In moving forward, I felt that there has to be a better system in place to accurately assess the efforts of the student-athletes involved. If sports were to serve as an avenue to promote collaboration, character, self-esteem and healthy living then the grading system had to be revamped to make students understand its importance.

Additionally, this goes in line with the school's initiative to incorporate standard based assessments and report cards. As the school looks to find and implement best practices in the core subjects, this will be a great opportunity to align the Physical Education/Athletics around this as well.

Action Plan:

The plan was implemented midway through the season. Therefore, the plan was a pilot to be revised and tweaked for further use. The coaches were asked to provide me with a skills assessment that we would use for tryouts and end of the year assessments. Obviously, the assessment could not be used for tryouts, but students could be assessed on progress from that point. The coaches would use the assessments to evaluate the talent level and progress of athletes. Throughout the season the coaches had bi-weekly check points in which they would assess the athletes on the skills. Each athlete would complete a reflection that had to discuss how they demonstrated being a collaborative learner and how they've improved on the skills on the checklist. Along the same lines, the coach will be responsible for creating opportunities for athletes to participate in a Public Service Project. Athletes will be required to attend and complete a reflection.

Additionally, the coaches were required to keep a daily record of attendance and effort.

The cumulative points would be recorded in Power School. This would allow for parents and students to follow the athletes progress. This plan would also give teeth to the two-sport rule.

An Exit Interview is the last section of the plan. The student and parent are required to attend the meeting to discuss the progress throughout the season.

Results:

As with everything else, students and coaches were very leery of the change. Some of the coaches and most of the students looked at this as more work. Nonetheless, both the boys and girls basketball coaches gave me an assessment to use for the season. I took that the two assessments and developed one that both teams would use. The assessment included the skills they felt were important to a skilled player. The daily attendance and effort was compiled by the coaches. It was recorded in a grade book. Using their GoogleDocs files that all high school students have for other initiatives in the school, each athlete completed three reflections. These were reflections of a skilled learned in practice and applied in the game. The school has implemented e-portfolios into the curriculum. These reflections were used as a part of a student's

portfolio. The coaches graded these reflections on a 0-2 scale with 2 being the best response. Because the initiative was a pilot program, many athletes didn't take the reflections seriously. The bite of providing seriousness to the plan had to come from the coaches in the form of a punishment. Those students who did complete the assignment were in favor of continuing the process. The students indicated that they felt the reflections helped them look at their preparation and play in practice and games and learn about how to improve. Furthermore, it helped them to become a more intelligent player as the reflections forced them to think about their actions.

The grades students would have received had the grading system been in place were interesting. Based on the cumulative grades of attendance, reflections, effort, character and the progress reports none of the basketball players would have failed. But there would have been a variety of grades ranging from A's to D's.

Problems/Solutions:

1. Getting parents and students to buy into athletics being a Physical Education class for a grade was a huge challenge. Parents and students felt that the school was emphasizing athletics over academics. In actuality, the school was using athletics as a way to strengthen academics. When students were not achieving well in their core courses, the first response is to take the student off of athletic teams. Parents could not take their child off the team as a punishment because it is considered a class. If it were a traditional Physical Education class they would not take child out of class because they were performing poorly in Math. This caused a lot tension. At the beginning of each school

year, students and their parents are required to sign a compact that indicated that the student must. Admittance into Capital Prep is contingent upon both parent and student signing the compact.

2. Many students needed to get extra help from teachers after school. How would the gym teacher (coach) feel about his students missing his class for another class? All practices could not begin before 4:00 pm. All teams were required to have a mandatory study hall four times per week. Each study hall had to be one hour in length. At 3:30, a student could attend Academic Center if needed, which lasted 45 minutes, and would report to practice after that.
3. Transportation: students get bused in from many towns and cities in the Greater Hartford area. Many of the student's only rides home are the buses that are provided. Late buses were far too expensive when you look at the geographic regions in which the students traveled to be at Capital Prep. Carpooling and public transportation have become the best solution to this problem.
4. Everyone is not as athletic as others therefore how can you fairly assess each student-athlete? You can assess all students on how much effort they give and not solely on how talented they may be.
5. What do you do with people who are physically unable to participate? Make them managers, statisticians and film people. The athletic program needs records of game scores, statistics, records and championships. Many students wanted to use the manager position to get out of working hard. There is an application process for the positions which asks why the student should be a manager versus a participant in Physical Education.
6. Some of your coaches are not certified teachers and not in the building. Can they grade students? Are they competent? Does the law allow for this? As a certified coach and employee of the district, they are allowed to grade athletes.
7. How do you assess athletes in different sports? Each sport has different skills that one must master. So a one size fits all assessment would be difficult. Each sport has to have a sports specific assessment. In addition, each level must be assessed. Freshmen, Junior Varsity and Varsity players should be assessed differently. When an athlete begins the season as a freshmen player, there should be skills and attributes that provides a picture of what a freshmen player should know at the end of the season.
8. What criteria/skills are you assessing? This depends on the sport as each sport will assess different skills.
9. How many absences will are students allowed before losing credit? Prior to this year beginning, I implemented a Sport Education Daily Warning sheet. This sheet discussed that a student was only allowed to miss 5 games/practices before they failed the class. It also describes academic standards. If a child missed a practice/game or was tardy, the parent was notified through the S.E.D.W. sheet.

10. How do you grade character? Character is a very important attribute that we all must work to develop. It is extremely difficult to assess. Teachers will give student score on behavior on their Progress Reports. This will serve as athlete's character grade.
11. The school needs enough sports to give all students the opportunity to participate. Can be very expensive. Fundraising will need to be a bigger part of the school's climate. At present, all the athletic programs are indulging in their own fundraising initiatives. At a small school like ours this can be overbearing. We will need to do bigger, all school fundraisers with the proceeds being distributed amongst all sports.
12. Plan was put into place too late. Therefore, the Public Service part was not completed. It will be in place for the Spring Season.

Capital Prep Athletic Grading System

The grading system is based on cumulative point total for the season and the skills assessment.

Reflective Essays: (1 essay per week each worth 3 points each. Players must complete all reflections by Sunday of end of week. Player will not be allowed to participate until reflection is completed. It is the coach's responsibility to monitor reflections).

- 3: Key ideas specific to the game, practice, and skills are very, clearly stated, and well supported
- 2: Key ideas refer to the game, practice, and skills; includes major points, includes some support
- 1: The response does not identify key ideas about game, practice, and skills or entry is submitted late
- 0: Not turned in

Attendance:

- 3 points per day for attending
- 2 point per day for attending with excused tardiness
- 1 point for unexcused tardy
- 0 points for missing

Daily Effort in games/practice:

- 3: Excellent
- 2: Average

1: Poor

0: No participation

Bi-Weekly Progress reports:

3 points: Completed w/C's and above

2 points: Completed w/D's and F's

1 point: Incomplete

0 points: No progress report

Character:

3 points:

2 points:

1 point:

0 points:

Collaboration (Team work):

3 points:

2 points:

1 point:

0 points:

| Daily Reports | 2 | 1 | 0 |
|-------------------------------|----------|----------|----------|
| Collaboration | | | |
| Attendance | | | |
| Effort | | | |
| Character | | | |
| Progress Reports (1x week) | | | |

| | | | |
|------------------|--|--|--|
| Reflective Essay | | | |
|------------------|--|--|--|

| Skills Assessment (Pre/Post test) | 2 | 1 | 0 |
|--|----------|----------|----------|
| Right-handed layup | | | |
| Left-handed layup | | | |
| Triple-threat position | | | |
| Right-handed dribble | | | |
| Left-handed dribble | | | |
| Between the leg dribble | | | |
| Shooting | | | |
| Bounce pass | | | |
| Chest pass | | | |
| Baseball pass | | | |
| Defensive stance | | | |
| Rebounding | | | |
| Jump stop | | | |
| Screening | | | |
| Crossover Dribble | | | |
| Behind the back | | | |
| V-Cut | | | |
| Free Throws | | | |

How will this affect the school?

First, due to the size of the school every person finds themselves doing many jobs. The vice-principal was responsible for grading all the students in the school. In implementing the program, the grading now went to the coaches who are working with the kids daily. Additionally, the Athletic Director now becomes the administrator responsible for generating Athletic grades.

Secondly, the grading system gave an accurate grade. The coach had to log-in to Power School and input the grades. The grade was based on a cumulative point system. This made the grading really easy.

Third, the grading system gave the two-sport rule instant credibility. Prior to the grading system, students knew that making it through the season gave you an instant A in the class. There was no distinguishing between the student who was responsible and committed and the student who was not. The grading system made students make informed decisions as to what sport(s) they would play and how much effort they would provide.

As this is a high school rule at this time, it doesn't affect the middle school students right now. In the near future it will as middle school sports will be required as well. More resources will be needed to operate the sports programs.

The Public Service aspect puts the student-athlete in a position to give back to the community as well as providing another avenue to market the student.

More work to do:

Each coach will need to come up with a rubric/skills sheet that provides the athlete and his/her family with a guide to success. Each level should provide a picture of what a freshman player looks like, what a Junior Varsity player looks like and finally what a Varsity player looks like. Each level must be assessed on the level of play that the student athlete is participating on. This will help with tryouts which can be very difficult. Any arguments as to who should make the team are dispelled because the skills sheet shows the best players. Assessments have to be fine tuned.

Professional Development needed to instruct all staff and coaches as to how the grading system works. Without the PD, with ALL staff involved, there would be too many problems. Teachers have to sign the progress reports every two weeks. Coaches have to be diligent with inputting grades on a daily basis. They must also be organized to establish dates and times for Exit Interviews and inputting scores into Power School.

The Spring season will give us a true insight into the how well the plan will work.

Capital Preparatory Magnet School

Sports Education Daily Warning

Student-Athlete Name: _____ Date: _____

Sport Activity: _____

Assessing Coach: _____

The aforementioned Capital Preparatory Magnet Upper School student has received a *Sports Education Daily Warning* on the stated day for the following reason(s):

___ Student-athlete did not attend or came to practice excessively late (more than 10 minutes).

___ Student-athlete was not dressed for practice and/or did not bring the necessary equipment to participate.

___ Student-athlete consistently demonstrated rude and/or disrespectful behavior.

___ Student-athlete did not demonstrate appropriate effort to complete minimal performance tasks required for successful participation in daily session.

Additional Assessing Coach Comments:

I understand my student-athlete did not meet the minimum requirements for successful completion of practice on the above date. I am also aware two (2) non-attendance *Daily Warnings* can/will be counted as an unexcused absence.

Parent/Guardian Signature: _____

Date: _____

*Student-athlete may not participate in any Sport Activity until this form is returned to the Assessing Coach.

Excusing of Student-Athletes from Capital Preparatory Magnet School Team Credit

Capital Preparatory Magnet Upper School students receive educational credits for successfully meeting the minimum requirements for participation in an after-school extra-curricular activity during Capital's 'extended day'.

To meet minimal requirements student-athletes must:

1. Attend and participate in daily sport-specific sessions for a minimum of two (2) hours five (5) days a week. (Actual time requirements will depend on individual activities)
2. Provide a doctor's note for all absences. All other absences will be considered unexcused. A student-athlete may have five (5) unexcused absences before they forfeit credit. Three tardies may result in an unexcused absence.
3. Participate in daily sessions designed to improve sport-specific skills, becoming efficient and purposeful movers.
4. Demonstrate good sportsmanship while practicing and competing sport-specific activity.
5. Return signed *Daily Warnings* to the Assessing Coach before returning to the next sport-specific team meeting. Student-athletes must return form before participating in activities.

Coaches will provide a copy of *Warning* for the Athletic Director the morning following the incident.

6. Maintain a 70% mean grade in the four academic subjects: Mathematics, English, Social Studies and Science, starting the second week of practice. Student-athletes must follow the “C Rule” requirements as listed below:

The Capital Preparatory Magnet School ‘C Rule’

1. A student who has earned a grade average less than 70.0% in the four *core* subjects (English, Science, Social Sciences and Mathematics) on Monday of a given week will be put on the “Step One List”. This student-athlete will:
 - a. Be placed on an “Academic Probation List”.
 - b. Improve their grade average to greater than 70.0% by the following Monday, to be removed from the ‘Probation List’
2. A student who continues to have a grade average less than 70.0% for a second consecutive week will be put on the “Step One List”. These students will:
 - a. Attend an academic study hall every school day of the following week with the sole purpose of completing and revising work to improve their grades. A study hall for students on the “Step One List” can be held with a coach from 7:00 to 8:00am in the morning and/or during enrichment with a Capital Preparatory staff member and/or coach. Daily attendance is mandatory and failure to attend study hall will result in an unexcused absence.
 - b. Improve their grade average to greater than 70.0% by the following Monday, to be removed from ‘List’.
3. If a student’s average is less than the required percentage for a third consecutive week, they will remain on the “Step One List”. This student will follow all protocol as outlined above.

4. A student who continues to have a grade average less than 70.0% for a fourth consecutive week will be put on the “Step Two List”. These student athletes will:
 - a. Attend academic enrichment AND Academic Center every day of the week with the sole purpose of completing and revising work to improve their grades. Failure to attend a day enrichment and/or Academic Center will result in an unexcused absence.
 - b. Improve the offending grade average to greater than 70.0% by the following Monday.
 5. A student who continues to have a grade average less than 70.0% for a fifth consecutive week will not be allowed to participate in games/meets. The student is required to attend practices following Academic Center. The coach may allow this student to continue participating at “Step One” status if exceptional academic progress has been made during this time.
 6. “Step One” athletes may attend and participate in meets and may be excused from study hall if it is necessary for the team to leave before Enrichment.
 7. A student on a “Step” list may be re-instated with full team privileges if a grade is changed due to teacher’s correction. The student must meet all requirements of “Step” until a coach removes their name from list.
-

Athlete and Parent Sign-Off

I have read and understand the **Excusing of Student-Athletes from Capital Preparatory Magnet School Team Credit** document and understand how it pertains to an athlete’s involvement on the Capital Preparatory Magnet School sports teams.

I also understand it is the sole responsibility of the parent/guardian and student-athlete to monitor an individual’s behavior, attendance, grades and “Step” status.

Student/Athlete _____ Date _____

Parent/Guardian _____ Date _____

Printed Name: _____ Contact information: _____



CAPITAL

PREPARATORY SCHOOLS



Capital Prep has sent 100% of its low-income, minority, first-generation high school graduates to four-year colleges every year since its first class graduated in 2006. In addition, 86 percent of these students remained in college¹.

Capital Preparatory Schools

Mission and Vision

Capital Prep Schools provides a diverse community of student learners from Bridgeport and surrounding communities with the academic and character college and career readiness skills needed to become responsible and engaged citizens for social justice. Capital Prep Schools accomplishes this endeavor by providing a nurturing and loving environment that fosters strong student-teacher relationships, requires rigor throughout a classic college-

preparatory curriculum, demands high expectations, and is relevant; connecting student learning to real-world experiences and opportunities through applied teaching methods such as project-based learning. Capital Prep Schools is proud to develop caring, respectful, responsible, knowledgeable, and self-confident students prepared to excel in higher education and actively engage in and contribute to their communities.

Capital Prep Schools will prepare students in grades Pre-K through twelve to excel in college and inspire them to make a difference in their communities by equipping them with knowledge, critical problem solving skills, global understanding through thoughtful research, collaboration skills, and respect and compassion for all.

Understanding how academic work can relate to their lives and real problems is a powerful motivator for young people.



How we get there.....

- We will individualize teaching and learning, and develop students' meta-cognitive skills, through strategies such as student-led conferences and individual learning plans, also known as "student success plans".
- We will hold high expectations for each student tailored to their strengths and challenges.
- We will provide an individualized network of affective supports through the use of our Advisory System and other relational interactions between students and staff throughout the educational experience
- We will pursue parent and community engagement in order to insure our connection with the whole child, which will enhance our ability to support each student's specific needs.
- We will integrate the school's theme of social justice throughout the curriculum and students' educational experience in order to encourage students to view themselves as part of a community and prepare students to become agents of change.



Capital Prep Schools Pedagogy

Key to the success of the Capital Prep model and the success of the Harbor School are adherence to three values or the "three R's": Relationships, Rigor and Relevance¹. First, the Harbor School, similar to Capital Prep, will strive to create consistent, positive interactions between students and adults in a loving environment through the establishment of strong, continuing relationships with students and their families. Second, the School will ensure academic rigor as illustrated by the use of a standards-based grading system, access to on-line educational opportunities for gifted students and college courses for upper school students, and through innovative student-led

conferences.¹ Third, the School will ensure the relevance of student educational experiences through applied learning approaches such as project-based learning, action-research projects, service learning opportunities, and community-based internships. Through positive relationships with adults who support their students in developing positive self-esteem and who expect their students to meet the rigor of academically challenging and culturally enriched curriculum with real world opportunities, the model allows all students to compete, succeed, and excel intellectually and socially in a college or university environment.¹ The three values or "R's"—

relationships, rigor and relevance—align with the model’s learner expectations or objectives—collaborator, information processor, empathetic citizen, problem-solver and knowledgeable person¹ – to support overarching goals described above.

The three “R’s” are operationalized through the Advisory System and the key design elements of the school model: Learner Expectations (synonymous with the Objectives

articulated in the above), Essential Questions, Social Justice Strands, Common Core Standards, Project-Based Learning Tools, Artifacts, Self-Assessments, Academic Enrichments, Center for Talented Youth Programming and College Courses. The relationship between the three “R’s” and key design elements are operationalized for students, teachers, and families using Capital Prep’s school-wide system, the Organizational



To eliminate the achievement gap, growth must be accelerated. Capital Prep sets its grade growth target at 1.5 years.

2016-17 Grade Growth

English

| | |
|------------------------|------------|
| 6 th Grade | 1.5 years |
| 7 th Grade | 2.75 years |
| 8 th Grade | 4 years |
| 9 th Grade | 3 years |
| 10 th Grade | 2.5 years |
| 11 th Grade | 4 years |

Math

| | |
|------------------------|------------|
| 6 th Grade | 1.5 years |
| 7 th Grade | 1.75 years |
| 8 th Grade | 2.75 years |
| 9 th Grade | 2 years |
| 10 th Grade | 1.5 years |
| 11 th Grade | 1.5 years |



Learner Expectations, referred to as habits of learning in the Capital Prep model, are:

- Students as collaborators
- Students as information processors
- Students as problem solvers
- Students as knowledgeable people
- Students as responsible and empathetic citizens

Types of Assessments

Measures of Academic Progress (MAP) – Grades 6-11

Measures of Academic Progress (MAP) assessments in reading and mathematics are administered twice a year to all Capital Prep students in grades six through 11. This computer-adaptive test—where subsequent questions rise in difficulty for each correct student answer and become less difficult for incorrect answers—can be used to measure scholar mastery of the common core standards to show academic growth between administrations of the test, and can provide comparative data by both school and scholar based on the assessment's normative scales. The data from MAP exams were also used to determine individual needs for long-term interventions.

SBAC – Grades 6, 7, 8, 9 & 10

All middle school, 10th grade students take this mandated standardized test as determined by the state of Connecticut to assess mastery of content standards in reading and math. The SBAC assessment was administered to determine students' mastery/proficiency of the Common Core State Standards.

Performance Tasks

Each unit in the Capital Prep Schools curriculum is assessed via a performance task that requires students to transfer their learning and apply it in a novel situation. In developing performance tasks, Capital Prep Schools used the framework from *Understanding by Design* as well as sample items released by Smarter Balanced. Performance tasks assess the major goals of the unit and include a focus on developing students' writing and speaking skills aligned with the demands of Common Core.

PSAT – Grades 10 and 11

The Preliminary SAT/National Merit Scholarship Qualifying Test (PSAT/NMSQT) is a program co-sponsored by the College Board and National Merit Scholarship Corporation (NMSC). It is a standardized test that provides firsthand practice for the SAT in critical reading, math and writing.

SAT – Grades 11 and 12

The SAT Reasoning Test (formerly Scholastic Aptitude Test and Scholastic Assessment Test) is a standardized test that measures college readiness. The SAT is used for college admissions in the United States and is aligned with the 21st Century skills that colleges require.



CAPITAL

PREPARATORY SCHOOLS

Professional Development

Class Offerings

10/27/16

Select options
through the Google
Survey Link emailed

Your schedule will
be provided upon
your arrival

| MORNING | AFTERNOON |
|---|---|
| Classroom Management Carter, Ayanna (Dean) | Analytical Notes & Writing for Middle School Pauker, Robert (Consultant) |
| Analytical Notes & Writing for Elementary Pauker, Robert (Consultant) | Project Based Learning Hawkins, Ron (Music) |
| Math Across the Disciplines W., Scott (Math Curriculum Lead) | Fishbowls an Instructional Technique Winant, Sara (History) |
| Gallery Walk Pelletier, Kyle (7/8 Grade History) | Special Education Modifications Mason, Kevin (SPED Coordinator) |
| DNA/Re-Assessments Smith, Khammar (Algebra/Geometry) | Advisory Artifacts for SLC's Theilacker, Jennifer (Music) |
| Lesson Plans & Annotations Moye, April (Dean) | Analytical Notes & Writing for High School Pauker, Robert (Consultant) |
| Activate Science- Grades K-4 Dukes, Dishonda (Science Curriculum Lead) | Activate Science – Grades 5-8 Dukes, Dishonda (Science Curriculum Lead) |

Improving Student Engagement with First Lego League

By Marquise Clarke

Capital Preparatory Magnet School

Senior Social Justice Project

Senior Social Justice Paper Advisor:

Lisa Loomis

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Abstract

This research is the study of how STEM enrichment programs affects classroom student engagement for gifted students. It studies that STEM academic enrichment programs does not only increase engagement and interest in STEM but also raise engagement in those specific subjects . Hence why this research is so valuable, it closes the gap between classroom curriculum and enrichment programs. Minority students continue to be affected by a combination of different factors that affect their engagement in academic subjects (Cole & Espinoza, 2008). Due to the lack of resources, urban minority students have a low retention rate in STEM during post-secondary education and career outlook (Anft, 2013).

This study is aimed to fix the racial gap in STEM subjects and careers by improving engagement in the classroom setting. In this study, methods for data collection included teacher-student evaluation forms, interviews, and mobile/online communication. The evaluation forms served as the primary source for data. They were given to teachers before, during, and after the treatment in order to understand First Lego League's (FLL) effect on student academic engagement. The interviews were also an important source of data. They were administered before and after the treatment in order to measure successful and improvements to FLL programs. Lastly, the mobile/website communication served as a secondary source of data. As a result of the researcher's methodology, the student's engagement improved greatly. Furthermore, student engagement improved slightly overall. Based off the findings of this study, STEM enrichment programs like FLL need to be incorporated to close the racial gap in STEM in both education and careers.

CHAPTER 1: INTRODUCTION TO THE STUDY

Background

Historical

During the Sputnik generation was the first time America began to be fully interested in STEM. With the creation of NASA in 1958, the space program rapidly began to unfold. President John F. Kennedy continued the charge forward supporting innovations that successfully put the first man on the Moon. A decade after Apollo the United States came out as the leader in the number of students graduating with engineering degrees. Federal funding supported education reform, shifting focus from rote memorization of facts to a more student-centered philosophy emphasizing scientific process and literacy. The Reagan Administration's National Commission on Excellence in Education published *A Nation at Risk*, which served as further incentive to reform programs that keep the U.S. competitive.

In 1996, the National Science Education Standards placed high value on science as a student-centered enterprise with inquiry-based learning as a core philosophy. The National Council of Teachers of Mathematics guided math educators with K-12 standards outlining math understanding, knowledge, and skills. The International Technology and Engineering Educators Association compiled valuable Standards for Technological Literacy. All of these well constructed guidelines served to structure American classrooms in order to produce students ready for careers in science, technology, engineering, and math.

Yet, after years of education reform and countless standards, the U.S. struggles to maintain an edge. In the 1990s the National Science Foundation married science, technology, engineering, and math with the acronym "STEM." The acronym embodies the necessary integration of the subject areas necessary to achieve success. After years of research, we

understand that subjects cannot and should not be taught in isolation, just as they do not exist in isolation in the workforce.

Demographics

As of 2011, the population of the city of Hartford was about 125,000. The number of students attending public schools in the district was approximately 21,000 (National Center for Education Statistics, 2012). Only six percent of those students are Caucasian, forty one percent are African American, 52 percent are Hispanic or Latino and 90 percent qualify for free or reduced price lunch (Hartford Public Schools, 2009). Connecticut has a total student population of 559,646 in 2011 (Afterschool Alliance, 2012).

Nationally, approximately 18 percent of all public school students are Hispanic, seventeen percent are African American, four percent are Asian American, and sixty percent are White (Buggy, 2007). Disproportionate to the demographics of the nation's total population of students, ten percent of students in STEM education programs are Hispanic, eight percent are African American, eight percent are Asian American, and seventy three percent are Caucasian (Afterschool Alliance, 2014). As evidenced by the statistics, Hispanic and African American students are underrepresented in STEM programs, while Asian American and Caucasian students are overrepresented.

Counterargument

Even so, since its implementation, critics have questioned the program's ability to teach all students equally. This argument is a difficult one to hold since it has been proven that the education system in general has been tailored to the needs of female students over the past twenty-five years in its focus on verbal concepts (Fioriello, 2011).

All students benefit from the STEM program because it teaches independent innovation and allows students to explore greater depths of all of the subjects by utilizing the skills learned; these skills are going to be required in order for today's students to be tomorrow's global leaders. All jobs are requiring workers to have a greater ability to think critically, work as a member of a team and independently, and close the performance gap between American students and those being produced in other countries.

Advantages and Disadvantages

There are many advantages that STEM programs can offer. Today, STEM means creating learning environments that allow students to be more active. Whenever that happens, students are engaged in their own learning. There is no manipulation in getting students active, either, it just happens. The outcome is that students better remember what they've learned when they are engaged in the process and not passive bystanders (Royal, 2013). Putting Science, Technology, Engineering, and Mathematics together, rather than as separate instruction will certainly engage students in problem solving and finding solutions (2013). Standardized testing on STEM as a whole, rather than as the separate disciplines may be a plan, too.

The problems that may come if students are not involved in STEM enrichment programs are seen throughout. Recent figures show that only 29 percent of high school graduates tested ready for higher education in science, and just 43 percent are considered prepared for college-level math courses (Fioriello, 2011). This has translated into fewer students majoring in fields of study that require a significant amount of math and science, which is slowly evolving into a shortage of skilled workers in these fields. If the trend continues, many predict there will be a significant employment shortage in important industries like science and engineering in the not-so-distant future.

Policy

Currently, there are no federal mandates or requirements to serve students in STEM. The state of Connecticut has shown an interest in STEM, but has not increased funding in serving STEM to primary and secondary school students (STEM Education Coalition, 2013).

STEM supporters currently work to persuade Congress to incorporate STEM enrichment programs into major pieces of legislation affecting the U.S. education system. One major piece of legislation brought from New Hampshire Senator Jeanne Shaheen is the Supporting Afterschool STEM Act. In June 2014, the Supporting Afterschool STEM Act was introduced to both the House and the Senate (Afterschool Alliance, 2014). This bill is aimed at providing the supports afterschool practitioners need to offer high-quality science, technology, engineering and math (STEM) education programs (2014). This important legislation recognizes the need to provide resources that will help afterschool practitioners with their professional development and quality improvement efforts. The Supporting Afterschool STEM Act authorizes the National Science Foundation (NSF) to award three-year grants to existing afterschool or STEM networks, with 20 percent of all funding reserved to develop new afterschool or STEM networks in states or regions where they don't yet exist (Afterschool Alliance, 2014). The bill also encourages mentorship between students and federal STEM research grantees, and provides hands-on learning and exposure to STEM research facilities for young people.

Statement of the Problem

Academic engagement among urban minority and suburban non-minority students is one of the most significant issues in the public education system today. Minority students continue to be affected by a combination of different factors that affect their engagement in academic

subjects (Cole & Espinoza, 2008). One area of particular concern within the context of academic engagement are U.S. primary and secondary education systems lack to provide resources to encourage students to become interested in STEM (Science, Technology, Engineering, and Math) fields. Due to the lack of resources, urban minority students have a low retention rate in STEM during post-secondary education and career outlook (Anft, 2013).

Currently, at the Capital Preparatory Magnet School there are no academic enrichment programs for students to keep students engaged in their classes. In past years, there were programs (particularly in STEM) created for students to continue to stimulate their minds which thus rose engagement and achievement in math and science, but slowly programs were cut to currently none. The interest in STEM has also began to decrease due to the lack of knowledge in STEM careers.

Purpose of the Study

The purpose of this study is to examine the relationship between the availability of STEM academic enrichment programs and academic engagement progress among urban minority students. More specifically, the objective of this study is to investigate the effectiveness of an intellectually stimulating enrichment program among urban minority students attending the Capital Preparatory Magnet School in Hartford, CT.

Research Questions

What is the relationship between (solution/action plan) and (problem)?

Essential Question: What is the relationship between the availability of STEM-related academic enrichment program and academic engagement among urban minority students? There are three sub questions:

1. What is the level of students' academic engagement before participating in the program?
2. What is the level of students' academic engagement during the program?
3. What is the level of students' academic engagement after the program?

Operational Definitions

For the purpose of the study these terms apply:

Academic Engagement- the willingness a student demonstrates to participate during activities in a math or science classroom.

Enrichment Program- Programs for educating the students that broaden and deepen knowledge and skills through extra activities, projects, field trips, or mentoring (Higher Education McGraw Hill, n.d.)

Minority- A student that belongs to a race that is typically underrepresented in STEM-related programs and careers. Races include African American, Hispanic/Latin American, and Native American.

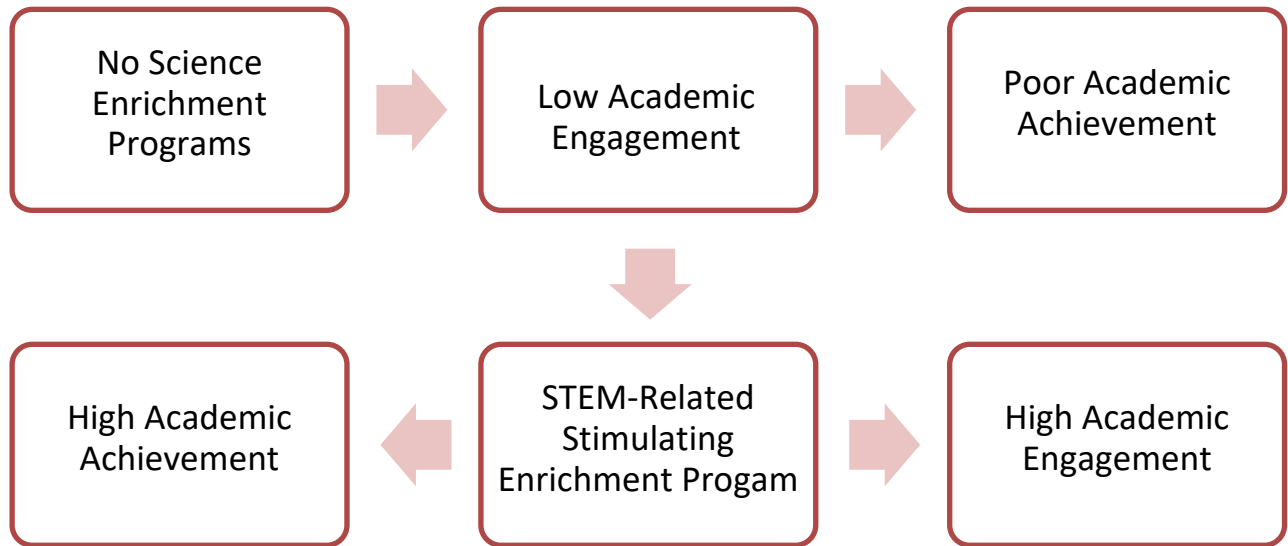
Underrepresentation- Inadequate representation of minorities in a group that is disproportional to the demographics of the general population.

Academically Talented- Students that display great potential to be more than proficient in their academic classes

STEM- Career and education cluster including science, technology, engineering, and math

First Lego League- a robotics program for 9 to 16 year olds, which is designed to get children excited about science and technology -- and teach them valuable employment and life skills.

Conceptual Framework



Visual representation of the current methods and future major findings the researcher plans to see.

CHAPTER 2: LITERATURE REVIEW

Introduction

A systematic search of peer-reviewed journals was conducted. The literature review was identified using a number of different sources, including Educator's Reference Complete,

Academic Search Premier, and Eric. Various combinations of terms were used relating to achievement gap, STEM programs, unequal access in stem education, academic engagement, underrepresentation, and minorities. Search limits were set for peer-reviewed articles and years of publication 2000 to 2013.

Synthesis of Studies

The five studies presented in this literature review examines many factors which impact academic engagement of minority students who are underrepresented in STEM-related academic enrichment programs. Lee et. al (2005) conducted a study that determined the quality of instruction in urban high schools. The purpose of their study was to determine if the quality of instruction and engagement is systematically better in English and social studies than in math and science. The Uekawa et. al (2010) study focused on academic engagement of students in math and science classes. The Weiss et. al (2004) study examined student engagement from the size of schools achievement on mathematics achievement. The Zvoch et. al study focused on the achievement in math and science classrooms based on the school context. Finally, the Cole and Espinoza (2010) study examine factors that affect students academic performance in postsecondary education.

Three major trends emerge from a synthesis of the studies. First, educators agree that minority students have high potential, but some environmental factors may hinder their academic engagement and achievement. Environmental factors include many things from an unsupportive family, crime, lack of positive peer support, and more. Because many minority students live in urban settings with societal distractions, it is imperative for them to be preoccupied with other activities, such as sports or academic enrichment programs to avoid things that are detrimental to their achievement. Lee et al. (2005) found that students that participated in extracurricular

activities were more likely to achieve than those who do not. Also, Cole and Espinoza (2005) reported that minority students often feel isolated from their own culture; therefore, extracurricular programs keep these students from feeling completely left out.

Another major trend in the findings is that cultural bias exists within the education system, and minority students are not accommodated for. Many educators debate whether or not it is an accurate assessment tool. For example, in the De Wet and Gubbins (2011) study, 40 percent of the survey participants felt that it is an appropriate way to measure academic achievement, while the remaining 60 percent felt that it was not. Although these discrepancies exist, a majority of researchers and participants from all five studies believe cultural bias exists in different forms

The third trend relating to this study is that parents play a critical role in getting kids to become interested in STEM. Therefore, it is very necessary for parents to be aware of available academic opportunities and advocate for their children. The parents surveyed in both the Zvoch et al. (2005) study and the Michael-Chadwell (2010) study were very involved in their children's academics and the school systems. Therefore, most of them were well-aware of the opportunities available for the children. Weiss et al. (2005) indicated that not all students, especially minority students, have parents who are knowledgeable of STEM careers.

The findings from these studies suggest the need for more research. Many of the researchers, such as Weiss et al. (2005) and Zvoch et al. (2005) state that their studies were fundamental, and there is a need for more studies like theirs to better understand the problem and develop solutions to counter the adverse factors contributing to the underrepresentation of minority students in STEM programs. Future research should be done on ways to promote social integration of urban minority students with their non-minority counterparts. Research also needs

to be done on the level of awareness, amongst parents about the opportunities available for their child and compare it to parental advocacy, which plays a crucial role in students academic engagement. Also, further investigation on the perspectives of educators and how minority students are academically engaged can be culturally biased is essential to fully comprehend the extent of the problem.

Summary of the Chapter

The literature review presented a review of selected literature and empirical studies on topics related to academic engagement of urban minority students in STEM. As can be seen from the five studies presented, there are a number of factors that contribute to the level of academic engagement between minority and non-minority students. There are very few studies that look at academic engagement among urban students in STEM. Neither is the use of a stimulated academic enrichment program effects on math and science classes.

CHAPTER 3: RESEARCH DESIGN & METHODOLOGY

Introduction

This study is an exploratory, mixed-methods action research intended to improve the academic engagement of early adolescent minority students by implementing an enrichment program that teaches creative problem solving skills. The purpose of this study was to examine the relationship between the availability of STEM academic enrichment programs and academic engagement progress among urban minority students. More specifically, the objective of this

study was to investigate the effectiveness of an intellectually stimulating enrichment program among urban minority students attending the Capital Preparatory Magnet School in Hartford, CT. Data was examined to determine the effectiveness a STEM enrichment program has on academic engagement.

Re-Statement of Problem

Academic engagement among minority and non-minority students is one of the most significant issues in the public education system today. Minority students continue to be affected by a combination of different factors that affect their engagement in academic subjects (Cole & Espinoza, 2008). One area of particular concern within the context of academic engagement is U.S. primary and secondary education systems lack to provide resources to encourage students to become interested in STEM (Science, Technology, Engineering, and Math) fields. Due to the lack of resources, urban minority students have a low retention rate in STEM during post-secondary education and career outlook (Anft, 2013).

Currently, at the Capital Preparatory Magnet School there are no academic enrichment programs for students to keep students engaged in their classes. In past years, there were programs (particularly in STEM) created for students to continue to stimulate their minds which thus increased engagement and achievement in math and science, but slowly programs were cut to currently none. The interest in STEM has also began to decrease because of students lack of knowledge about STEM careers.

Research Questions

Essential Question: What is the relationship between the availability of STEM-related academic enrichment program and academic engagement among urban minority students? There are three sub questions:

1. What is the level of students' academic engagement before participating in the program?
2. What is the level of students' academic engagement during the program?
3. What is the level of students' academic engagement after the program?

Design of the Study

Academic engagement of academically talented minority students is a complex social concept. The phenomenon will study participants' teacher reports of their underachievement of high ability minority students. This study attempted to determine the effectiveness of an STEM intervention program on improving academic engagement of talented minority students. Thus, a qualitative action research design appeared to be the most appropriate for the phenomenon under investigation. This study was designed to collect evidence among academically talented middle school students. The selected design helped investigate outcomes in different contexts based on student racial and ethnic backgrounds, grade level, and academic engagement in the classroom.

Table 1:

Case Study Protocol: Summary of Activities and Procedures

| Timeframe | Activity | Procedure |
|------------|--|---|
| April 2015 | Searched background information | Identified empirical studies on topic to draft literature review Met weekly with Ms. Loomis during the writing process. |
| July 2015 | Identify research that specifically informs action plan. | Identified previous theoretical and empirical research on the topic in order to draft specific strategies that will be utilized by the researcher to address the problem. |

| | | |
|-----------------------------------|--|--|
| July 2015 | Identify weaknesses in my research or skills | Identify research deficiencies or deficiencies in personal project management in order to identify and confirm a consultant to address these concerns. |
| August 2015 | Identify and schedule action plan components | Using informed research strategies, identify specific action plan components, the research question trying to be answered, data tools being used, and the timeline being followed. |
| August 2014 | Data Collection Tools | Identified and create data collection tools that will be used during action plan components in order to answer research questions. |
| September 2014 - December 2014 | Problem Solving Activities | Identify students and begin academic enrichment program |
| October 2014 | Present proposal to panel | Defend my problem and action plan to panel |
| October 2014 | Draft Research Design and Methodology | Designed the study, determined field procedures, and data collection and analysis during the writing process. |
| November 2014 | Raising Awareness in the Media | Design and create a press release for the Hartford Courant |
| November 2014 | Create Multimedia Product | Create an application to be used throughout the world. |
| December 2014 | Raising Awareness Event | Create and do a STEM night for the students and families at the Capital Preparatory Magnet School. |
| December 2014 - January 2014 | Analyze Data from Raising Awareness Event | Using collected data, created a data wall for each research questions that communicates outcomes. |
| January 2015 | Analyze Data from Problem Solving Activities | Using collected data, created a data wall for each research questions that communicates outcomes. |
| January 2015 | Present Action Plan to Panel | Identify treatment and raising awareness components to panel |
| February 2014 | Draft findings | Will meet weekly with Ms. Loomis during writing process |
| February 2014 | Finalize findings | Make final revisions |
| February 2015 | Draft conclusion & | Will meet weekly with Ms. Loomis |

| | | |
|---------------------|--|--|
| | recommendations | during the writing process |
| March 2014 | Finalize Senior Social Justice Project Paper | Edit finalized paper |
| March or April 2014 | Defend Social Justice Project | Will defend research study before the staff panel at Capital Preparatory Magnet School |

Treatment

Over the course of four months, the researcher conducted an academic enrichment program called Lego Robotics Exploration with a selected ten participants. The meeting took place in a classroom two days out of the week. The team will meet during the students' enrichment period on Mondays and Thursdays from 2:52 to 3:40.

For the treatment, the researcher used three types of learning activities: classroom activities, challenge problems, and project scenarios. Classroom activities were exercises that explored different areas of academics in both math and science, which will help students develop critical thinking skills. Each classroom activity will take one class to complete. One classroom activity will be called the Straw Tower Activity. The primary goal of this specific activity was that students would be able to use their creativity to develop a tower made out of straws with the help of no one. Other activities developed research skills, public speaking skills, collaboration, communication, and critical thinking skills.

The second learning activity is challenge problems. For challenge problems, students only have 10 to 30 minutes to come up with a solution. Many challenge problems build on verbal skills, some build mechanical skills, and some build both. Students will spend one day out of the week working on their own. One challenge problem was that students will have to build a structure of toothpicks and clay that sat on a table behind a boundary line. The structure had to cantilever, or stick out, as far as possible beyond the boundary line without touching the

table surface. The students only had 10 minutes to complete the problem. Challenge problems will develop quick-thinking skills.

The third learning activity is long-term problems. The long-term problem was worked on over the span of two months and was the final portion of the program. The long-term open-ended problem is presented at the state tournament. The students had to come up with a solution to the problem presented and come up with a creative method of presenting it to judges. The facilitators, which were the researcher and another teacher, are not allowed to tell the students what to do. The program was run in a Socratic manner, in which the student participants had to come up with everything on their own. Participants of the study had to choose the long-term problem they wanted to work on.

In the first meeting of the program, the researcher gathered materials for the various activities, including markers, paper, magazines, books, newspapers, and art supplies. The students had a journal in which they wrote down their goals for the program and their schoolwork. At the end of the program, students reflected whether or not their goals were met. The students will then discuss their likes and dislikes about the Robotics program as well as other feedback. In addition to student feedback, classroom teachers completed student evaluation forms about the students' performances in class bi-weekly.

Population and Sample

The population for this study was middle school students attending Capital Prep in Hartford, Connecticut. Capital Prep is an high performing school in the Hartford Public School district. The student body of Capital Prep is ethnically diverse consisting of students from various racial, ethnic, and socioeconomic backgrounds. Ultimately, the goal was to select

participants who could provide substantial contributions to understanding methods to increase academic achievement and engagement in minority students.

In this study, the researcher used multiple selection strategies. The sample for this study was chosen using methods of convenience and of purpose. Capital Prep was chosen as a site to conduct the study because the researcher, as a student there, had easy access to the students and their teachers. Also, the researcher then used a specific eligibility criterion to choose the seven participants from the pool of middle school students.

Eligibility criteria for selecting students to participate in the program included students must be in grades 6-8, students must self select to be a part of the program, and students are minorities. The sample of the study included students who are considered to have high potential; however, they may not necessarily be performing in academics at the level they should be due to low student engagement in the classroom.

The sample was chosen based on meeting the criteria above. The researcher compiled a list of 25 students. From that list, the researcher chose ten students that expressed an interest in participating, and their parents signed a consent form allowing the researcher to study their child. The goal was to select students who have potential, but need to be further challenged to develop their talent and improve their student engagement. The researcher chose twelve participants because that is the number of students needed to make a team for the Lego Robotics program.

Data Collection Tools

In this study, the researcher used three methods to collect data. These data collection tools included are student evaluation forms, researcher observation notes and class discussion observation notes. Student evaluation forms were the primary source of data. Researcher observations were the secondary source of data, and the class discussion observation notes were

the tertiary source of data for this study. The purpose of the data was to determine the effect the Lego Robotics Program has on student engagement progress of the students. The following provides a description of each tool.

Student-Teacher Evaluation Forms

The student evaluation forms were the primary source of data. At the start and end of the program, the teachers of each participant were required to complete an evaluation form assessing the student's performance in class. The evaluation form asked about active participation, whether or not the students are performing better in class, and if the teachers feel as though the students are benefiting from the academic enrichment program. The purpose of the evaluation form was to determine the academic progress of the participants over the duration of the program and to assess the impact on the students' academic performances. In addition to evaluating academic performance, the teachers also provided information on what their students were learning in their class. The researcher incorporated some of the academic lessons into the Lego Robotics classroom activities. The evaluation forms were developed by the researcher and will be scored using a rubric.

Researcher Observation Notes

The researcher took observation notes during each class. The students were mainly observed on participation and their engagement in the activities. The students were encouraged to think out loud so the researcher would know how they were using their critical thinking skills to complete the activities and solve each problem for the robots. The researcher noted how long it took students to build a robot, and also whether or not the students enjoyed participating in the program. The researcher used the enrichment as a way to assess the students ideas on their . The researcher also noted how well the participants worked with each other. Most of the Lego

Robotics activities required good collaboration skills. The researcher looked for improvement in collaboration skills over the duration of the program.

Class Discussions Rubric

The students and researcher had a discussion of the program. At the end of the program, the students reflected whether or not the program had an impact. The students then discussed their likes and dislikes about the program and provided other feedback. The researcher took notes on the feedback and then later coded the data. The purpose of this was to determine the effectiveness of the Lego Robotics enrichment program. Indicators that showed the effectiveness of the program in addition to growth in academic achievement include growth in collaboration skills, creativity skills, self-esteem and problem solving skills. The researcher also used the student feedback to make improvements to the program.

Table 2

Data Source Chart: Relationship of Research Questions to Data Sources

| | Pre-Program Evaluation Form Questions | Post-Program Evaluation Form Questions | Observation Rubric | Post-Program Class Discussions |
|---|---------------------------------------|--|--------------------|--------------------------------|
| What is the relationship between the availability of STEM-related academic enrichment programs and academic engagement among urban minority students? | 1-5 | 1-5 | 1-2 | 1-3 |
| 1. What is the level of students' academic engagement before participating in the program? | 1-5 | - | - | - |

| | | | | |
|---|-----|-----|-----|-----|
| 2. What is the level of students' academic engagement during the program? | 1-5 | - | 1-2 | - |
| 3. What is the level of students' academic engagement after participating in the program? | - | 1-5 | - | 1-3 |

Data Collection Process

The researcher collected data both qualitatively and quantitatively using student evaluation forms, observational notes, and class discussions. Teachers were asked to assess the participating students on their academic performance in their classes. The students were required to take part in classroom activities, as well as discuss their likes and dislikes, and provide feedback on the program. The researcher observed the students' participation in the program and determined the impact of the activities on the students' engagement skills. The following provides a description of the procedures used to gather the data for this study.

Participant Recruitment

The researcher recruited ten middle school students from grades fifth through seventh. The researcher asked middle school teachers to recommend three to five students whom they felt were not challenged enough or showed a lot of academic capabilities; however, they were not performing to their potential. The students were then interviewed, and those who expressed an interest in joining the program were given a consent form to be signed by their parents, since

the program did meet after school one day each week. The researcher picked seven students to participate in the study, and a majority of the participating students were from diverse backgrounds.

Table 3

Summary of Recruitment Timeframes and Strategies

| Timeframe | Strategy |
|-------------|--|
| First Week | The researcher compiled a list of potential participants from teacher recommendations for students need to be more challenged. |
| Second Week | The researcher interviewed possible participants. Those who expressed an interest were given a consent form to be signed by their parents. Once the consent forms were signed, the students were allowed to participate in the Robotics program. |

Evaluation Form Procedures

The classroom teachers of the students completed an evaluation form at the beginning and end of the program. The evaluation forms were designed by the researcher to gain insight on the students’ performance and participation in their academic classes. The researcher emailed a copy of the form to each of the teachers. The teachers were given a choice to fill out an online form or a printed one. The online forms were emailed to the researcher. The hard copy evaluation forms were picked up from the classrooms at the end of each three week period. The researcher looked for changes in the students’ class participation and academic progress over the course of the study.

Observational Note-taking Procedures

During each meeting, students worked on completing the classroom activities and solving creative problems. The researcher monitored the students' use of critical thinking skills, problem solving skills, and collaboration. The researcher specifically looked for participation in activities, collaboration with peers, problem solving abilities and the amount of time it takes students to come up with solutions, and uniqueness and creativity of the solutions to the problems. These observations indicated the participants' enthusiasm, collaboration, problem solving skills, and divergent thinking skills. Each meeting the researcher noted observations for each student individually, as well the team collectively. The researcher tracked changes over the course of the study.

Class Discussion Procedures

At the beginning and end of the program, the researcher and participants met and discussed the goals of the participants and their likes and dislikes about the program. The discussions were approximately a half hour long. The researcher asked the students to first write their goals, likes, and dislikes in their journals. After the students wrote down their ideas, the researcher asked students to share what they wrote. The students self-assessed their performance and participation in Lego Robotics. The researcher took notes on the students' feedback. The researcher noted the students' feedback and used it to assess the effectiveness of the program and make adjustments.

Limitations of the Study

Limitations are potential weaknesses or problems in the study that can be identified by the researcher. In this study there were two potential limitations. First, the small sample size and selection criteria, while appropriate for the research design and methodology, may not support making generalizations to the larger population of middle school students in the school

district. There were only ten middle school students that were hand-picked to participate in the program. As the student population of the school district is diverse, the program may impact each student differently.

A second limitation was data collection and analysis. To measure academic engagement the researcher relied on student evaluations that were to be completed by teachers as a source of data. Though most teachers filled out the forms consistently, some teachers may not have provided enough feedback that could be used as evidence for academic progress. This may have limited the amount evidence that indicates change in academic progress over the course of the program. Another limitation of the data collection and analysis was the researcher observation. The researcher observed each student individually. As there were seven students, the researcher was unable to have detailed notes about each student, each class. Also, there were days when the researcher was not present during the classes, and therefore, was unable to make observations.

CHAPTER 4: FINDINGS

Introduction

In this chapter, the findings of each research question are reported. There is a brief overview of the primary research question and subsequent research questions. Following a description of each question is a table which exhibits participants' and teacher responses. This report is an analysis of all data collected from the data collection tools. Also, following are tables and descriptions describing the data collected from teacher responses of subjects. Collectively, the report of the table and records of data helped to describe the level of engagement for each subject throughout the study.

Primary Research Question: How is academic engagement affected by participating in a STEM-related enrichment program?

Minority students may not be adequately challenged, which in turn, leads to lower academic engagement and achievement. This study determined the impact of an enrichment program called First Lego League intended for a group of minority students identified by science teacher's as lacking student engagement skills. The primary research question was answered using teacher and student interviews, teacher evaluation forms about the subjects' academic progress and parent communication methods. The primary research question was answered via findings in three sub questions.

Research Question 1: What is the level of students' academic engagement before participating in the program?

The research question was designed to evaluate the level of academic engagement the subjects demonstrated prior to the start of the program. Evaluated forms were distributed and collected. These tools were given before the start of the treatment. Codes derived from the evaluation form are (a) student actively participates in class, (b) demonstrates mastery in all subjects, (c) demonstrates need to be further challenged, (d) collaborates effectively in group settings. The evaluation forms were handed out to classroom teachers at two different Hartford Public schools: Capital Preparatory Magnet School and Burns Latino Studies Academy. The responses from each teacher are found in the following table. The questions asked on the evaluation forms corresponded to likert scale responses. Each likert scale response had a response of always, often, rarely and never.

Table 5

Participant's Level of Academic Engagement before the Program

| Codes | CA | CB | CC | CD | BA | BB | BC |
|--------------------------------------|----|----|----|----|----|----|----|
| Actively participates in class | | | | | | | |
| Always | | | | | | x | |
| Often | | x | | | | | x |
| Rarely | x | | x | | x | | |
| Never | | | | x | | | |
| Demonstrates Mastery in all subjects | | | | | | | |
| Always | | | | | | X | X |
| Often | X | X | X | X | X | | |
| Rarely | | | | | | | |

| | | | | | | | |
|--|---|---|---|---|---|---|---|
| Never | | | | | | | |
| Needs to be further challenged | Y | Y | Y | Y | Y | Y | Y |
| Collaborates effectively during group settings | | | | | | | |
| Always | | | | | | X | |
| Often | | | X | X | | | X |
| Rarely | X | | | | X | | |
| Never | | | | | | | |

Findings for Research Question 1

Finding 1.1. Three (43%) of the subjects ($N=7$) rarely participated in class.

29% (2) often participated in class and one (14%) participated actively in class, One (14%) subject was identified as never actively participated in class.

This suggested need to plan programs encouraging active participation amongst subjects in the classroom and extracurricular. Specifically, the robotics enrichment subjects had to designate roles to teach and encourage active and proper participation for the activities to ensure active and fair participation among all member of the sample.

Finding 1.2. Teachers identified five (71%) of the subjects ($N=7$) reported often demonstrate mastery in all their classes. Two (29%) of the subjects ($N=7$) were reported by teachers to demonstrate mastery in all their academic classes.

In support of Finding 1.1, subjects were asked to become actively engaged in the learning process. Also, the researcher needed to collaborate with science teachers to make a better STEM enrichment programs for the students at both schools.

Finding 1.3. Teachers reported all of the subjects ($N=7$) demonstrated the need to be further challenged.

This suggested meaningful enrichments need to be accessed in the classroom. The rigorous enrichment curriculum designed by the researcher and FLL forced students to raise questions and develop problem solving skills which raised both engagement and achievement.

Finding 1.4. Teachers identified that three (43%) of the subjects ($N=7$) rarely collaborated effectively in group settings. Three (43%) of the subjects ($N=7$) often collaborated effectively in group settings. Only one (14%) subject always collaborated effectively in group settings.

The researcher worked on improving the way in which the sample was able to effectively collaborate in group settings and developed better group decision making skills. The researcher integrated more than planned collaboration activities to supplement the robotics competition activities.

Finding 1.5. Teachers identified three (43%) of the subjects ($N=7$) rarely exhibited problem solving skills. Three (43%) of the subjects ($N=7$) often exhibited problem solving skills. Only one (14%) participant ($N=7$) always exhibited problem solving skills.

Most students needed to improve and gain better problem solving skills. This is contrary to the mission of Capital Prep, where the learner expectation is problem solving. This should be implemented through all parts Capital Preparatory Magnet School’s curriculum.

Research Question 2: What is the level of student engagement during the program?

The second research question was designed to evaluate the level of academic engagement the subjects demonstrated during the program. The researcher determined this using evaluation forms filled out by classroom science teachers (Appendix_). The evaluation form is the same one which is used to answer research question 1 and was given monthly during the treatment. Codes derived from the evaluation form are (a) student actively participates in class, (b) demonstrates mastery in all subjects, (c) collaborates effectively in group settings, and (d) demonstrates significant improvement in academic progress. All the subjects classroom teachers responses for each student was found and presented in the following table. The questions asked on the evaluation forms corresponded to likert scale responses. Each likert scale response had a response of either always, often, rarely and never.

Table 6

Participant’s Level of Academic Engagement during the Program

| Codes | CA | CB | CC | CD | BA | BB | BC |
|--------------------------------|----|----|----|----|----|----|----|
| Actively participates in class | | | | | | | |
| Always | | | X | | X | | |
| Often | | X | | X | | X | X |
| Rarely | X | | | | | | |
| Never | | | | | | | |

| | | | | | | | |
|--|---|---|---|---|---|---|---|
| Demonstrates Mastery in all subjects | | | | | | | |
| Always | | | | | | X | X |
| Often | X | X | X | X | X | | |
| Rarely | | | | | | | |
| Never | | | | | | | |
| Collaborates effectively during group settings | | | | | | | |
| Always | | | | | | X | |
| Often | | X | X | | X | | X |
| Rarely | X | | | X | | | |
| Never | | | | | | | |

Findings for Research Question 2.

Finding 2.1a. Based on teacher evaluations that were completed, four (57%) of the participants ($N=7$) often participated in class. In addition, of the participants ($N=7$), two (29%) participated actively in class. Only one (14%) rarely participated in class.

In contrast to Finding 1.1, the researcher participation improved through the enrichment program. 57% of the sample began to participate in the research program as opposed to 29% which did not. Of that 57%, three subjects are from Capital Prep and all were from Burns students.

Finding 2.1b. There has been a percent increase of 96.5% of students often participating in class. In addition, there has been an increase 107.4% of students always participating in class.

Finding 2.2. Teacher's identified five (71%) of the subjects ($N=7$) often demonstrated high academic performance in all their classes. Two (29%) of the ($N=7$) always demonstrated high academic performance in all their academic classes.

In comparison with Finding 1.2, the overall academic performance of the subjects did not increase or decrease since the start of the program. Before the start of the program, the academic performance was 71% were often and 29% were always. Of that 71% all were from Capital and one from Burns. While the 29% always are subjects from Burns. The data shows, even with the challenging activities demonstrated in the researcher's seminar, students still were able to maintain strong academic achievement in their science classes. Also, the researcher continued meeting with the teachers at both Burns and Capital Prep bi-weekly, similarly to the current advisory program implemented currently at Capital Prep.

Finding 2.2b. There were no percent increase or decrease in all subject's academic performance.

Finding 2.3. Of the participants ($N=7$), teachers identified three (43%) demonstrated significant change in their academic progress.

Compared to Finding 2.2, which found all participants of the researcher's sample may not be challenged. The researcher increased almost half (43%) of the students academic progress, meaning their engagement increased as well. Of that 43%, 2 were from Burns and 1 from Capital. Moving forward in the treatment, the researcher's goal was to find the reason to the lack of academic progress for the remaining four students.

Finding 2.3b There were no percent increase or decrease.

Finding 2.4. Teacher's identified four (57%) of the participants ($N=7$) often collaborated effectively in group settings during the treatment. Two (29%) of the participants ($N=7$) rarely collaborated effectively in groups settings during the treatment. One (14%) participant ($N=7$) always collaborated effectively in group settings.

More than half (57%) of the sample has increased in collaboration skills compared to Finding 1.4. Of the 57%, 2 are from Capital and 2 from Burns. Of the 14% always was from Burns. The researcher needed to find other ways to increase student collaboration with each other in the enrichment program.

Finding 2.4b From research question 2, there has been a percent increase of 21% of subjects often participated in class. Also, there was a percent decrease of -33% of rarely collaborating in setting.

Research Question 3: How effective was STEM academic enrichment program after the study was done?

The third research question was designed for the researcher to determine the effectiveness of the program. The researcher used student interviews and class discussions to answer the third research question. These data collection tools were given 2 months after the treatment was given . The following codes were developed when analyzing data: (a) actively participates in beginning of program, (b) actively participates at end of program. In the class discussions after the program, subjects were asked about possible areas of improvement. The following codes were developed when analyzing data: (a) Communication with parents, (b) more activities, (c) project assistance, and (d) time for project. In addition to class discussions with the subjects, 3 teachers were asked about their feelings regarding the FLL experience. (Appendix)

Table 7

Participants Level of Academic Engagement at the End of the Program.

| Codes | CA | CB | CC | CD | BA | BB | BC |
|--|----|----|----|----|----|----|----|
| Actively participates in class | | | | | | | |
| Always | | | X | | X | X | X |
| Often | X | X | | X | | | |
| Rarely | | | | | | | |
| Never | | | | | | | |
| Demonstrate Mastery in all subjects | | | | | | | |
| Always | | | | | | X | X |
| Often | X | X | X | X | X | | |
| Rarely | | | | | | | |
| Never | | | | | | | |
| Collaborates effectively during group settings | | | | | | | |
| Always | | X | X | | | X | |
| Often | X | | | X | X | | X |
| Rarely | | | | | | | |
| Never | | | | | | | |

Findings for Research Question 3A

Finding 3A.1 There is a percent increase of 307.14% of subjects always actively participating in class from finding 2.1, 35.5% increase in subjects often participating in class

Finding 3A.2 There were no percent increases or decreases for mastery in classroom subjects from the middle and end of the program.

Finding 3A.3 There was a percent increase of 207.4% difference in subjects always collaborating effectively.

Table 8

The Effectiveness of First Lego League

| Codes | CA | CB | CC | CD | BA | BB | BC |
|---|----|----|----|----|----|----|----|
| Would the students participate in the program again | Y | Y | Y | Y | Y | - | Y |
| Student Looked Forward to Attending Program | | | | | | | |
| Always | | | | | | | |
| Sometimes | X | - | X | X | - | - | - |
| Rarely | - | X | - | - | X | X | X |
| Never | - | - | - | - | - | - | - |
| | - | - | - | - | - | - | - |
| Improvements: | | | | | | | |
| Communication with Parent | Y | - | Y | - | Y | Y | Y |
| More Activities | Y | Y | Y | Y | Y | Y | Y |
| More Assistance with Project | Y | Y | Y | Y | Y | - | - |
| More Time | Y | Y | Y | Y | Y | Y | Y |

Findings for Research Question 3B.

Finding 3B.1. The researcher identified six (83.3%) of the subjects ($n=7$) said they would participate in the program again next year.

Of this 83.3%, all were from Capital Prep and 1 were from Burns. This suggested the researcher's program was successful and programs similar should be implemented in upcoming years at both Capital Prep and Burns schools if engagement is expected to improve. Participation in one of these programs are helpful in raising engagement.

Finding 3B.2. The researcher identified five (49%) of the subjects($n=7$) said they would always look forward to attending the program and one participant would not attend again.

five of the participants ($n=7$) said they sometimes look forward to attending the program. One participant rarely looked forward to attending the program.

Thematic Analysis

A thematic analysis was employed to determine the effectiveness of the researcher's program. The researcher used student and teacher interviews, class discussions and parent communication methods (bi-weekly email and parent mobile website) to do the analysis. These interviews were given at the end after the treatment was given . The following themes occurred in which were developed when analyzing data: (a) Communication with parents, (b) more activities, (c) project assistance, and (d) time for project. See Appendix __, __. __

Communication

71% of participants felt the researcher needed to improve parent communication in future practice. For example, participant CC reported that "the program was fun, but my parents could have gotten more materials for us if they knew more about it". Participant BB said that their

“parents wanted more information about the program, like they knew a lot about Robotics but not First Lego League”. Also, parents of Burns felt “they knew very little about the program and wished the teacher would have kept active communication. This is contrary to Capital Prep parents in which they did not feel horrible cases of communication because of the researcher’s bi-weekly emails and mobile website. One CP parent said, “I loved the way [the researcher] really kept in touch with us during the program, he made sure we knew exact same information he did.” Another said, “my child was apart of another senior’s project programs but I felt really out of the loop with things, not with [the researcher’s] program.”

Time

57% of the sample feels the program should improve assistance needed to complete long term project and robotics competition. Participant CD indicated his major concern was the lack of assistance with the long term problem. He said, “The robotics competition was really challenging, I wish we had more resources to use. I know we can’t ask for help, but we needed some more guidance.” Also, participant CA indicated her major concern was for assistance on the worldwide solution. She said, “The program mostly emphasizes the robotics but does not give as much credit to the long term problem, which I did not find was great.” Participant CB agreed and included, “I feel First Lego League’s main objectives are seen more through the long term problems rather than the robotics and teamwork problems.”

Through teacher interviews, other programs When asked with other teachers about their current program, a teacher reported, “Our students and parents signed a contract with the time commitment with all their work.” Another coach noted, “Many of these students think of FLL as a sport, they expect for all team members to work around the schedule no matter what!”

Finding 3.5. All participants ($N=7$) suggested having more activities.

Throughout the program, the students repeatedly mentioned how much they enjoy teamwork problems. When asked about improvement, participant CA said “the Teamwork problems were really fun; I wish we did more of those”. Participant CD agreed, “Yeah, we should have done more activities..” In addition Participant BB said “the Teamwork problems helped me learn that teamwork doesn’t necessarily need to be done through verbal communication, but can also be done through non-verbal communication.”

Finding 3.5. Four participants ($N=7$) suggested improving assistance with long term problems.

Four participants, 57% of the sample feels the program should be more assistance needed to complete long term project and robotics competition. Participant CD indicated his major concern was the lack of assistance with the long term problem. He said, “The robotics competition was really challenging, I wish we had more resources to use. I know we can’t ask for help, but we needed some more guidance.” Also, participant CA indicated her major concern was for assistance on the worldwide solution. She said, “The program mostly emphasizes the robotics but does not give as much credit to the long term problem, which I did not find was great.” Participant CB agreed and included, “I feel First Lego League’s main objectives are seen more through the long term problems rather than the robotics and teamwork problems.”

Also parents of BC said, “When my child came home with the long term problem, they needed more time and assistance to be able to answer the questions.” In addition, parent of BB said, “I understand this program is structured to not give assistance during the problem, but the students still needed more time and adult assistance in preparation for the program.”

Finding 3.6. Three participants ($N=7$) suggested that the program runs for a longer time.

Thress participants (42%) this suggests there should be an increase in FLL program's length. For example, Participant CB reported that, "the program was really fun, but we didn't have enough time." Participant later commented, "I wish there was another competition in the Spring that will help us prepare." Participant BC commented "The program is not a long enough time length for students to create a quality robot, program, and create a solution. If there was more time then we [other participants] would've ended up doing a much better job at competition."

In addition, through various conversations with parents, many do feel the program should have ran for a longer period of time. Parent of CA said "this program is an amazing program that not only allows for students to do robotics but to see it in a real world application, I would think they would want to have this program more often."

CHAPTER 5: CONCLUSIONS AND RECOMMENDATIONS

Introduction

This chapter provides conclusions and recommendations based on the data that was collected and analyzed on the effectiveness of academic enrichment programs on academic engagement of high ability middle school students. More specifically, the objective of this study was to investigate the effectiveness of an intellectually stimulating enrichment program among high ability and gifted minority students attending current district magnet school and a district community school in the Northeast. This chapter consists of three sections. First, there are

conclusions based off of findings. Second there are recommendations for policy, practice, and futures research and practice. Finally, the chapter ends with the researcher's final thoughts.

Conclusions

Research Question 1: What is the level of students' academic engagement before participating in the program?

Conclusion 1. The participants in the program demonstrated different levels of academic engagement in the beginning of the program. However, all of them demonstrated potential for growth.

This conclusion was based on the following findings: 1.1, 1.2, 1.3, 1.4 and 1.5.

The participants vary in the level of participation, academic progress, and collaboration they exhibit in their academic classes. A majority of the students reported that they exhibited mastery in all or most of their academic classes, and demonstrated the need to be further challenged. These findings indicate that the participants may have the potential to be academically talented or even gifted students, however, they may not be challenged enough in their classes. Despite having good grades, many of the participants could still make improvements in other areas. Four of the participants (n=7) rarely or never participated in class and rarely or never collaborated effectively in groups. Three participants (n=7) rarely exhibited problem solving skills. Participation, collaboration, and problem solving were skills used in the First Lego League activities. These skills, along with grades, were indicators of academic engagement. The level of academic engagement for each student was recorded and compared at the beginning, middle, and end of the program.

Research Question 2: What is the level of student engagement during the program?

Conclusion 2. Most of the participants showed slight improvements in class participation, collaboration, and problem solving at the end of the program.

This conclusion was based on the following findings: 2.1, 2.2, 2.3, 2.4, and 2.5.

Most of the participants demonstrated improvements in the indicators of academic achievement. Many of the students' level of participation changed from "rarely participating" to "often participating". At the end of program, only one student (N=7) rarely participated in class, while the other six either often or always participated. In addition to class participation, by the end of the program, only two students (N=7) rarely collaborated in class. Of the two students, one of the students previously reported to never collaborate in class. This finding shows that participating in the First Lego League program has made an impact on the way students conduct in their academic classes. There was no change in the level of problem solving skills that the participants exhibited and academic progress.

Research Question 3: What is the level of student engagement after the ending of the program?

Conclusion 3. The program was effective in providing students with a challenging yet fun enrichment program; however, there are many areas in which improvements can be made.

This conclusion was based on the following findings: 3.1, 3.2, 3.3, 3.4, 3.5, and 3.6.

Most of the students responded that they would look forward to attending the program every Tuesday and Thursday and said that they would want to participate again next year. Only one student responded that they did not enjoy the program and would not participate again. The generally positive response to the program shows that it was effective in providing students with a challenging and fun program.

There were various areas where the researcher could have improved. Five of the participants (N=7) responded that the researcher should have improved communication with parents. This was an important finding because parents play a crucial role in the success of the students. Had the parents been more involved with the program, it is possible that the students could have demonstrated greater academic achievement. Greater parental involvement is correlated with high academic achievement as reported by Colbert, Hebert, and Reis (2005). Raising parental awareness of the potential of their child could have significantly impacted the results of this study.

The program could also be improved had the students participated in the program for a longer time. More time spent participating in the program would mean more activities for the students to do and more time for the researcher to provide assistance to the team of participants. Unfortunately, many of the planned meeting dates had to be cancelled because of school cancellations during snow days and schedule changes. More time in the program would have given the participants more time to work on the academic skills measured, and could have potentially even shown greater achievement.

Primary Research Question: How is academic engagement affected by participating in a STEM-related enrichment program?

Conclusion 4. First Lego League had a slight impact on academic engagement for the participants in the program

This conclusion was made based on findings 1.1, 1.2, 1.3, 1.4, 1.5, 2.1, 2.2, 2.3, 2.4, and 2.5. The participants exhibited slight changes in class participation and collaboration, based on the evaluation forms completed by teachers. This conclusion was based on the following findings: 2.1, 2.2, 2.3, 2.4, and 2.5.

Most of the participants demonstrated improvements in the indicators of academic engagement. Many of the students' level of participation changed from "rarely participating" to "often participating". At the end of program, only one student (N=7) rarely participated in class, while the other six either often or always participated. In addition to class participation, the students have also improved their collaboration skills. By the end of the program, only two students (N=7) rarely collaborated in class. Of the two students, one of the students previously reported to never collaborate in class. This finding shows that participating in the First Lego League program has made an impact on the way students conduct in their academic classes

There was no change in the level of problem solving skills that the participants exhibited and academic progress. Although the students did participate in a problem solving program, the level of problem solving skills they exhibited in the classroom did not really change. There may be various factors that resulted in this finding. One possibility is that the students may not necessary use problem solving in their academic classes. It is also possible that the program had no effect on problem solving skills. As for academic progress, the students already started the program with high academic talent. Therefore, measuring significant change is difficult. That is why it was necessary to measure other factors of academic engagement as well. In addition, the program was mostly effective. A majority of the participants indicated that they enjoyed being a part of First Lego League, however, pointed out that there were some major areas for improvements. The suggestions they made will be used to make changes to the program for the following year. It is possible that the suggested improvements, such as creating parental awareness of problem and increasing the duration of the program, could have a greater impact on the academic achievement of the participants.

Recommendations for Policy and Practice

Recommendation for policy and practice 1. The researcher should improve communication with parents.

Communications with parents is very important for long term program like this, and the lack of communication with parents may have negatively impacted the success of this program. Because this program involved middle school students and required a great deal of effort to complete the challenging problems, it is important that parents are aware of what their child is doing. Also, studies show that parents who are involved in their child's school life, the student is more likely to be academically successful. The researcher can send home weekly email updates about what the participants are accomplishing in the program. Also, the researcher could have updated the app much more. In addition, the researcher can invite them to a seminar in which the researcher can answer any questions that the parents may have. The seminar would also serve as a place for the researcher and parents to get to know each other and figure out the best ways to contact each other.

Recommendation for policy and practice 2. The researcher should run the program for a longer time.

One major problem for this project was that there was not enough time for students to meet and complete their long term problem. This was because there were many snow days during the days the students met. In the future, the program should be run three days a week and meet after school once a week. This gives more time for the students to work. The length of the time the program meets for may also have an impact. The participants in this study were middle school students. They tend to take a longer time to settle down, therefore, each session should be longer in order for them to be most productive.

Recommendation for policy and practice 3. The researcher should work with a larger group of students.

Recommendation for Future Research

Recommendation for future research 1. The researcher could work with less talented academic minority students.

Most of the participants in this program were academically talented or had the potential to be academically talented. It was difficult to measure significant change in these students. The purpose of this research was to create a program that further challenged academically talented or potentially gifted students. It is possible that this program could also benefit students who have low academic performance and their academic potential was never realized. Perhaps a creative problem solving program may even be a more effective way to improve academic engagement for low performing students than current programs already in place.

Recommendation for future research 2. The program should include students from a diverse age groups.

First Robotics is a program that is for every age group, from kindergarten to college. The program may be beneficial for younger students too and perhaps there could be a lower school program. Many of the activities in the program are geared towards a younger audience anyways. Perhaps getting student involved in a challenging program will help them get an early start in academic achievement. Research could be done on whether or not First Robotics makes a greater impact on younger students than older students. The study would be long term, and could follow the students as the transition for lower to upper school, and middle to high school. The study could be beneficial in establishing different teaching styles and activates for students in different age groups.

Final Thoughts

The academic achievement gap between minority and non-minority students has been decreasing, but is still apparent nationwide today. The lack of challenging and interesting material for academically talented minority students is a significant issue in many urban public school districts. Many schools fail to recognize minority students amongst the student body, and focus solely on underachieving students. These schools do not see many go hand in hand with each other. Most enrichment programs in place today offer benefits to students who are underperforming or are in need for special education. In order to make education in the United States more equitable, it is necessary for schools and policy makers to take action and also provide challenging curricula and enrichment programs that help minority students succeed.

First Lego League was effective in delivering students with activities that adequately challenged and encouraged them to think “outside of the box”. Not only did the program provide challenging material for students, but it also was a fun program. Many academic program options today for gifted and/or minority students include additional academic course work, which is not necessarily stimulating or exciting to students. In First Lego League, students were able to apply what they learned in the classroom and incorporate creativity to solve the unique problems. Participants in the program improved their academic progress and skills such as collaboration and problem solving.

This study set the foundation for developing a successful First Lego League program at Capital Prep. Because the researcher has a two year grant for the program, it could continue the following year. The improvements that the participants suggested at the end of the program would be used to make the First Lego League and First Robotics programs even better.

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Tables

Table 1:

Case Study Protocol: Summary of Activities and Procedures

| Timeframe | Activity | Procedure |
|-------------|--|--|
| April 2015 | Searched background information | Identified empirical studies on topic to draft literature review Met weekly with Ms. Loomis during the writing process. |
| July 2015 | Identify research that specifically informs action plan. | Identified previous theoretical and empirical research on the topic in order to draft specific strategies that will be utilized by the researcher to address the problem. |
| July 2015 | Identify weaknesses in my research or skills | Identify research deficiencies or deficiencies in personal project management in order to identify and confirm a consultant to address these concerns. |
| August 2015 | Identify and schedule action plan components | Using informed research strategies, identify specific action plan components, the research question trying to be answered, data tools being used, and the timeline being followed. |

| | | |
|-----------------------------------|--|--|
| August 2014 | Data Collection Tools | Identified and create data collection tools that will be used during action plan components in order to answer research questions. |
| September 2014 - December 2014 | Problem Solving Activities | Identify students and begin academic enrichment program |
| October 2014 | Present proposal to panel | Defend my problem and action plan to panel |
| October 2014 | Draft Research Design and Methodology | Designed the study, determined field procedures, and data collection and analysis during the writing process. |
| November 2014 | Raising Awareness in the Media | Design and create a press release for the Hartford Courant |
| November 2014 | Create Multimedia Product | Create an application to be used throughout the world. |
| December 2014 | Raising Awareness Event | Create and do a STEM night for the students and families at the Capital Preparatory Magnet School. |
| December 2014 - January 2014 | Analyze Data from Raising Awareness Event | Using collected data, created a data wall for each research questions that communicates outcomes. |
| January 2015 | Analyze Data from Problem Solving Activities | Using collected data, created a data wall for each research questions that communicates outcomes. |
| January 2015 | Present Action Plan to Panel | Identify treatment and raising awareness components to panel |
| February 2014 | Draft findings | Will meet weekly with Ms. Loomis during writing process |
| February 2014 | Finalize findings | Make final revisions |
| February 2015 | Draft conclusion & recommendations | Will meet weekly with Ms. Loomis during the writing process |
| March 2014 | Finalize Senior Social Justice Project Paper | Edit finalized paper |
| March or April 2014 | Defend Social Justice Project | Will defend research study before the staff panel at Capital Preparatory Magnet School |

Table 2

Data Source Chart: Relationship of Research Questions to Data Sources

| | Pre-Program Evaluation Form Questions | Post-Program Evaluation Form Questions | Observation Rubric | Post-Program Class Discussions |
|---|---------------------------------------|--|--------------------|--------------------------------|
| What is the relationship between the availability of STEM-related academic enrichment programs and academic engagement among urban minority students? | 1-5 | 1-5 | 1-2 | 1-3 |
| 1. What is the level of students' academic engagement before participating in the program? | 1-5 | - | - | - |
| 2. What is the level of students' academic engagement during the program? | 1-5 | - | 1-2 | - |
| 3. What is the level of students' academic engagement after participating in the program? | - | 1-5 | - | 1-3 |

Table 3

Summary of Recruitment Timeframes and Strategies

| Timeframe | Strategy |
|-------------|--|
| First Week | The researcher compiled a list of potential participants from teacher recommendations for students need to be more challenged. |
| Second Week | The researcher interviewed possible participants. Those who expressed an |

| | |
|--|---|
| | interest were given a consent form to be signed by their parents. Once the consent forms were signed, the students were allowed to participate in the Robotics program. |
|--|---|

Table 5

Participant's Level of Academic Engagement before the Program

| Codes | A | B | C | D | E | F | G |
|--|---|---|---|---|---|---|---|
| Actively Participates in Classroom | | | | | | | |
| Always | - | - | - | - | - | X | - |
| Often | - | X | - | - | - | - | X |
| Rarely | X | - | X | - | X | - | - |
| Never | - | - | - | X | - | - | - |
| Demonstrates Mastery in all subjects | | | | | | | |
| Always | - | - | - | - | - | X | X |
| Often | X | X | X | X | X | X | - |
| Rarely | - | - | - | - | - | - | - |
| Never | - | - | - | - | - | - | - |
| Needs to be further challenged | X | X | X | X | X | X | X |
| Collaborates effectively during group settings | | | | | | | |
| Always | - | - | - | - | - | X | - |
| Often | - | - | X | X | - | - | X |
| Rarely | X | - | - | X | X | - | - |
| Never | - | - | - | - | - | - | - |

Table 6

Participant's Level of Academic Engagement during the Program

| Codes | A | B | C | D | E | F | G |
|---|---|---|---|---|---|---|---|
| Actively Participates in the Classroom | | | | \ | | | |
| Always | | | | | | | |
| Often | - | - | X | - | X | - | - |
| Rarely | - | X | - | X | - | X | X |
| Never | X | - | - | - | - | - | - |
| | - | - | - | - | - | - | - |
| Demonstrates mastery in all subjects | | | | | | | |
| Always | - | - | - | - | - | X | X |
| Often | X | X | X | X | X | - | - |
| Rarely | - | - | - | - | - | - | - |
| Never | - | - | - | - | - | - | - |
| Collaborates effectively in group settings | | | | | | | |
| Always | - | - | - | - | - | X | - |
| Often | - | X | X | - | X | - | X |
| Rarely | X | - | - | X | - | - | - |
| Never | | | | | | | |
| Demonstrates significant improvement in academic progress | - | X | - | X | - | X | - |

Table 7

The Effectiveness of First Lego League

| Codes | A | B | C | D | E | F | G |
|-----------|---|---|---|---|---|---|---|
| Would the | X | X | X | X | X | X | X |

students
participate in the
program again

Student Looked
Forward to
Attending
Program

Always

Sometimes

Rarely

Never

| | | | | | | |
|---|---|---|---|---|---|---|
| X | - | X | X | - | - | - |
| - | X | - | - | X | X | X |
| - | - | - | - | - | - | - |
| - | - | - | - | - | - | - |

Improvements:

Communication
with Parent

| | | | | | | |
|---|---|---|---|---|---|---|
| X | - | X | - | X | X | X |
|---|---|---|---|---|---|---|

More Activities

| | | | | | | |
|---|---|---|---|---|---|---|
| X | X | X | X | X | X | X |
|---|---|---|---|---|---|---|

More Assistance
with Project

| | | | | | | |
|---|---|---|---|---|---|---|
| X | X | X | X | X | - | - |
|---|---|---|---|---|---|---|

More Time

| | | | | | | |
|---|---|---|---|---|---|---|
| X | X | X | X | X | X | X |
|---|---|---|---|---|---|---|

Appendices

Appendix A: Teacher-Student Evaluation Forms

Name of Teacher:

Class Taught:
Name of Student:
Date:

Program Student Evaluation Form

1. Does the student meet the learner objective of each class?

Never Rarely Often Always

2. How often does the student participate in class?

Never Rarely Often Always

3. How often does this student collaborate during group activities in class?

Never Rarely Often Always

4. What are some of the student's weaknesses?

5. Compared to the last evaluation, is the student performing better or worse? Explain.

6. What are some things the class is currently being taught?

7. What is the student's current grade in your class?

8. What is the most common standard grade for this student?

9. How often does the student exhibit problem solving skills in class?

Never

Rarely

Often

Always

Appendix B: Researcher Observation Notes

Researcher Observation Notes

Name of Student/Team:

Date:

Grade

Participation level (1-4):

1. None 2. Minimal 3. Somewhat 4. Excellent

Collaboration level (1-4):

1. None 2. Minimal 3. Somewhat 4. Excellent

Assistance Level (1-4)

1. None 2. Minimal 3. Somewhat 4. Frequent

Good Problem Solving

1. None 2. Minimal

Appendix C: Post Program Interview Discussion

Post Program Discussion

Would student participate in program again?

YES (n=)

NO (n=)

Student looked forward to attending program

ALWAYS (n=)

SOMETIMES (n=)

RARELY (n=)

NEVER (n=)

Ask students suggestions for improving program

1.

2.

3.

4.

5.

Other feedback

Appendix D: Observation Rubric

Observation Rubric

| Skills Assessed | Yes | No |
|--|-------|-------|
| Student shared his/her ideas with the group | _____ | _____ |
| Student listened to other peoples ideas | _____ | _____ |
| Student responded with constructive feedback about their ideas | _____ | _____ |
| Communication | | |
| Student participated in making decisions | _____ | _____ |
| Student used other peoples ideas to help form the final design | _____ | _____ |

| | | |
|--|-------|-------|
| Group Decision Making | | |
| Student stays on task | _____ | _____ |
| Student acts polite and pays attention | _____ | _____ |
| Maintaining focused Cooperation | | |
| Student shares their thoughts politely | _____ | _____ |
| Students comes up with thoughts and gives opinions on others | _____ | _____ |
| Expressing ideas & thoughts | | |
| Student writes down materials used | _____ | _____ |
| Student picks up after themselves when done | _____ | _____ |
| Organization | | |

Student Engagement Survey

1. What is your student's level of engagement in STEM before participating in FLL?
2. How were the kids selected for the program?
3. Do you find that the students are more interested in their science and math classes while participating in this program?

4. How often do you meet?

5. How is attendance for the students?

6. What is the student's attitude toward math and science currently?

Interview Questions:

1. How well prepared were they for the event? Explain

2. What parts did you feel needed improvement?

3. How were the team performance compared your own team in the past couple of years?

4. What were the strengths compared to the other teams there and/or your own team a couple of years ago?
5. Even though it wasn't as good as previous and/or current teams, do you think it was worthwhile to have the students have the experience?
6. What would be some suggestion to strengthen our program?
7. Why do you think we got the adult mentor/coach award?
8. In what ways, did the students demonstrate they learned something from the program?
9. How engaged were the students in the activity?

10. Is there anything else you would like to add from what you saw in the program?



Improving Student Engagement with First Lego League

Key Terms

Academic Engagement- the willingness a student demonstrates to participate during activities in a math or science classroom.

Enrichment Program- Programs for educating the students that broaden and deepen knowledge and skills through extra activities, projects, field trips, or mentoring (Higher Education McGraw Hill, n.d.)

STEM- Career and education cluster including science, technology, engineering, and math

First Lego League- a robotics program for 9 to 16 year olds, which is designed to get children excited about science and technology -- and teach them valuable employment and life skills.

What is my Social Inequality?

1. STEM jobs are becoming more competitive in U.S.
2. Lack of access to STEM enrichment programs
3. No STEM enrichment programs since 2011 at Capital Prep

Research Application

Uekawa, Borman, and Lee (2007) study shows variations between ethnic group members and reaction to classroom activities.

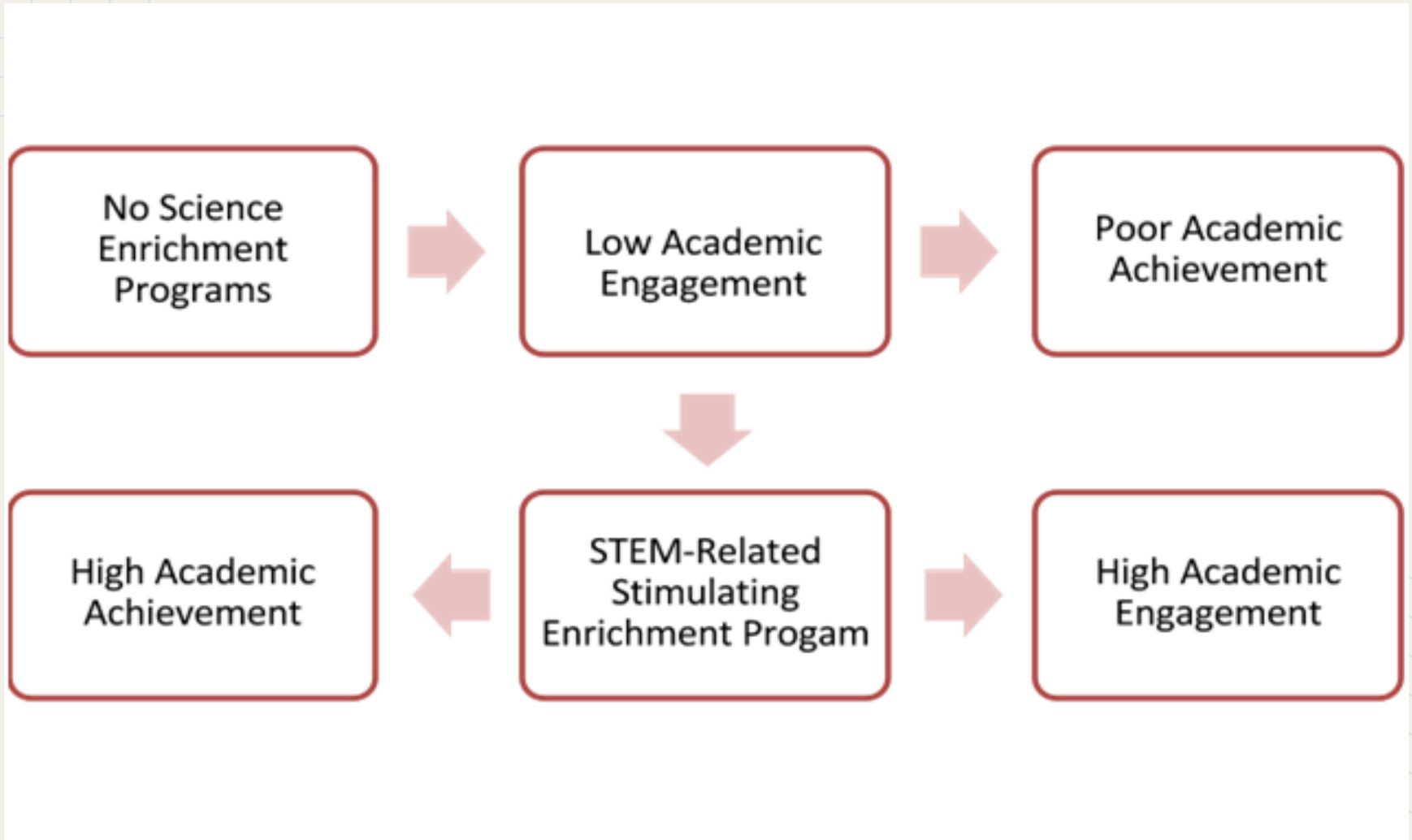
The Weiss, Carolan, and Baker-Smith (2008) study employs a composite measure of engagement that combines organizational and sociological perspectives.

The Cole and Espinoza (2011) study examines factors that affect academic performance of Latino high school Students in math and science.

Research Questions

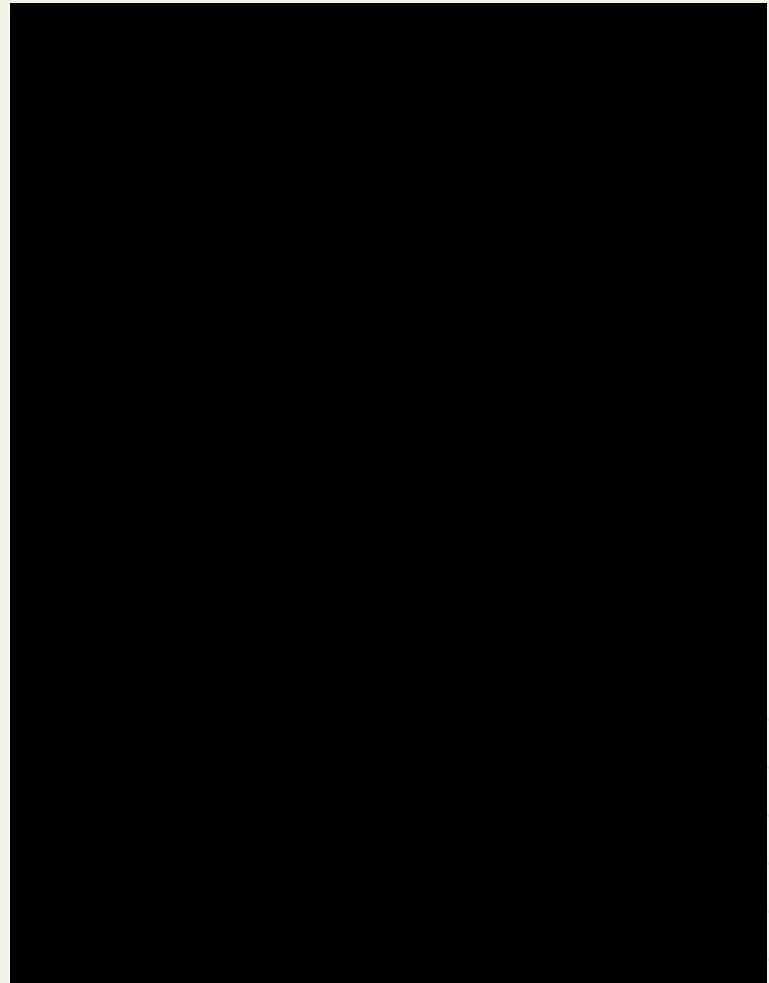
- Essential Question: How is academic engagement affected by participating in a STEM-related enrichment program?
 - Sub Question 1: What is the level of academic engagement before students participation in the STEM program?
 - Sub Question 2: What is the level of academic engagement while students participated in the STEM program?
 - Sub Question 3: What is the level of academic engagement after students participated in STEM program?

Conceptual Framework



Consultant: Lauren Jefferson

- Instrumental in creating FLL program at both Burns and Capital Prep
- Allowed me to put in input towards future changes of FLL project.
- Used my project as a baseline to understand the deficit of STEM in urban communities.



Purpose of Action Plan

- Create a relationship between enrichment programs and classrooms.
- Improve the use of technology in the classroom.
- Compare the incidences of student engagement with both students at Capital Prep and Burns Latino Studies Academy
- Students competition in First Lego League will exhibit the usefulness of academic enrichment programs in CPREP curriculum

Population and Sample

Population: 5-7th grade students at
Capital Prep & Burns

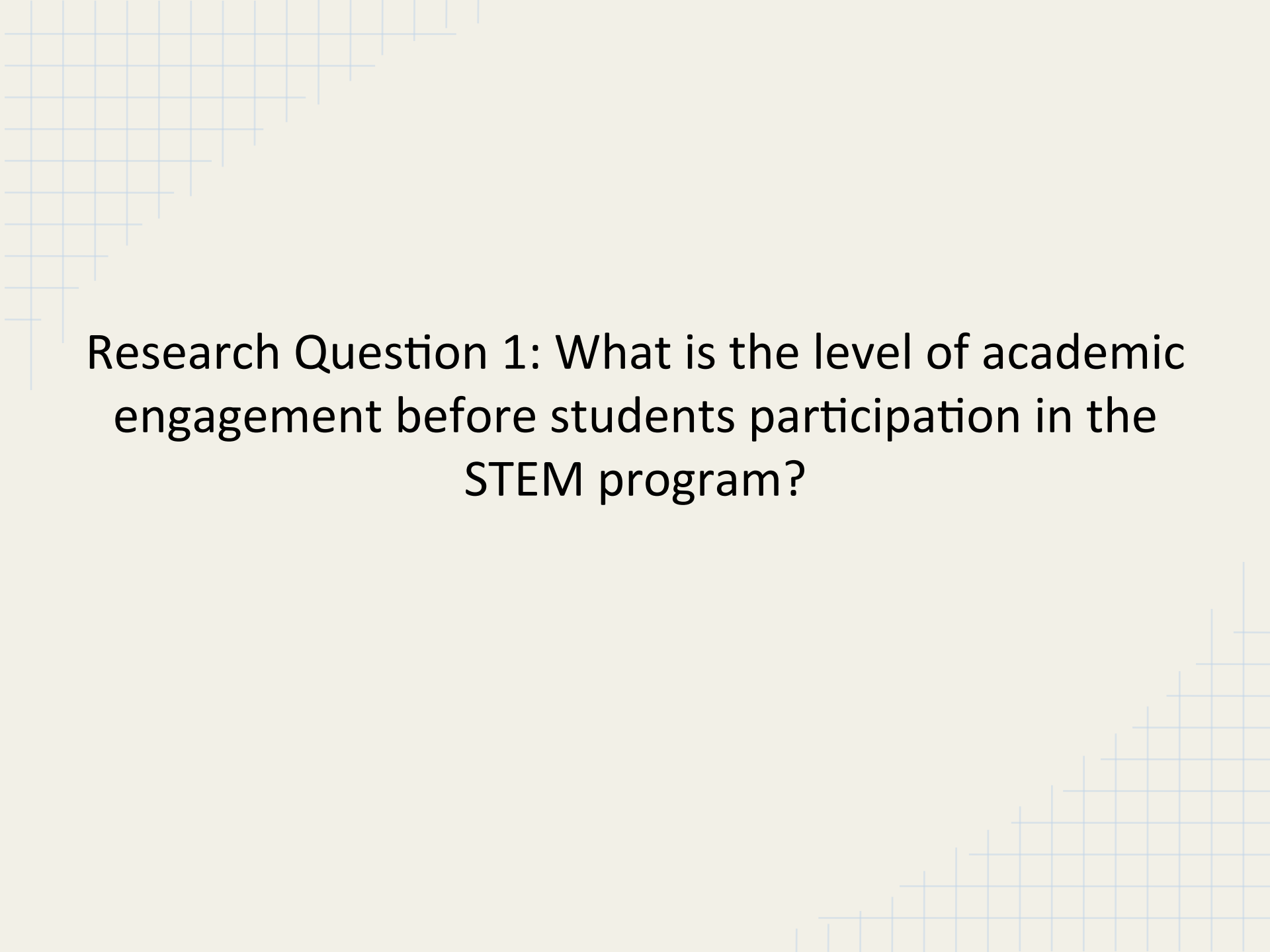
Sample: 7 Self-Selected Students apart of
First Lego League Program.

4 Capital Prep Students

3 Burns Students

Action Plan Task

| Project Component | Component Description | Data Collection Tool(s) | Research Question |
|---|---|---|---------------------------|
| <p>Problem Solving Activities (Sept. 2014 - Nov. 2014) Completed</p> | <p>Learning Communities: Lego STEM Robotics Enrichment Burns Internship</p> | <p>Observation Notes Bi-Weekly Teacher/Student Evaluations</p> | <p>Sub Question 1/2</p> |
| <p>Raising Awareness in Media or Policy Makers (Jan. 2015)</p> | <p>Blazer Happenings Mobile Website</p> | <p>N/A</p> | <p>Essential Question</p> |
| <p>Raising Awareness Event (Nov. 2014) Completed</p> | <p>First Lego League Competition (Video)</p> | <p>Post- Interview with Students on the whole program Post Interview with students/Teachers</p> | <p>Sub Question 3</p> |
| <p>Multimedia Product (Sept. 2014 - Nov. 2014) Completed</p> | <p>Mobile Website/ App Flickr</p> | <p>The amount of times it is visited/ downloaded</p> | <p>Sub Question 2</p> |



Research Question 1: What is the level of academic engagement before students participation in the STEM program?

Capital Prep Research Question 1

Findings

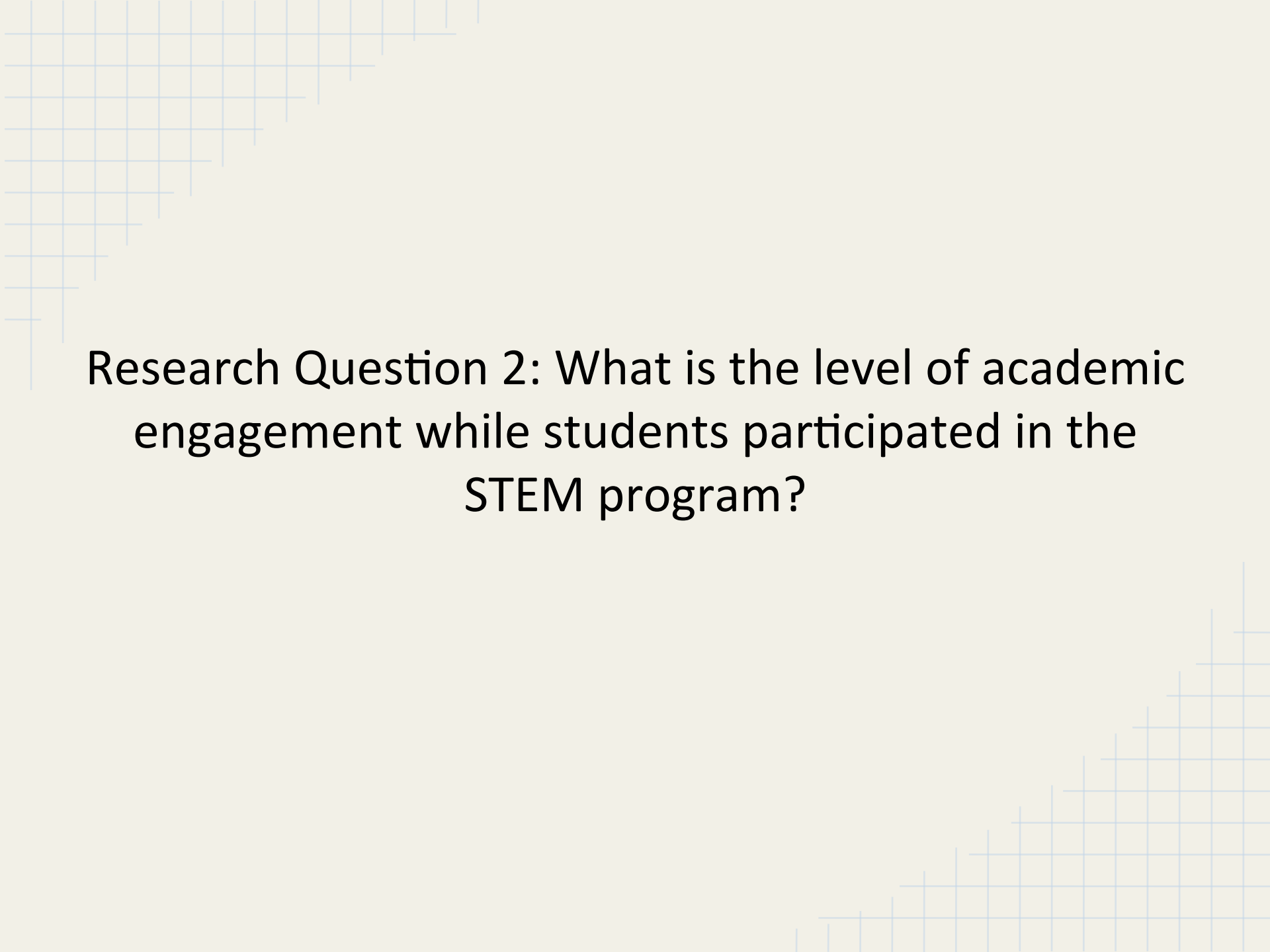
| | Teacher Responses on Subjects | | | |
|-------------------------------|-------------------------------|-------|--------|-------|
| Codes | Always | Often | Rarely | Never |
| Participation | 0% | 25% | 50% | 25% |
| Academic Performance | 0% | 100% | 0% | 0% |
| Need to be Further Challenged | 100% | 0% | 0% | 0% |
| Collaboration | 0% | 50% | 50% | 0% |
| Problem Solving | 14% | 43% | 43% | 0% |

Burns Latino Studies Research Question 1 Findings

| | Teacher Responses on Subjects | | | |
|---------------------------------|-------------------------------|-------|--------|-------|
| Codes | Always | Often | Rarely | Never |
| Participation | 33.3% | 33.3% | 33.3% | 0% |
| Academic Performance | 67% | 33% | 0% | 0% |
| Need to be furthered challenged | 100% | 0% | 0% | 0% |
| Collaboration | 33.3% | 33.3% | 33.3% | 0% |
| Problem Solving | 0% | 33.3% | 33.3% | 33.3% |

Conclusions for Research Question 1

- Varying level of academic achievement = different levels of academic engagement
- This suggests there is significant room for improvement in the following areas:
 - Problem Solving
 - Participation
 - Collaboration
- All students are in need of a challenging assignment/activity.



Research Question 2: What is the level of academic engagement while students participated in the STEM program?

Capital Prep Research Question 2 Findings

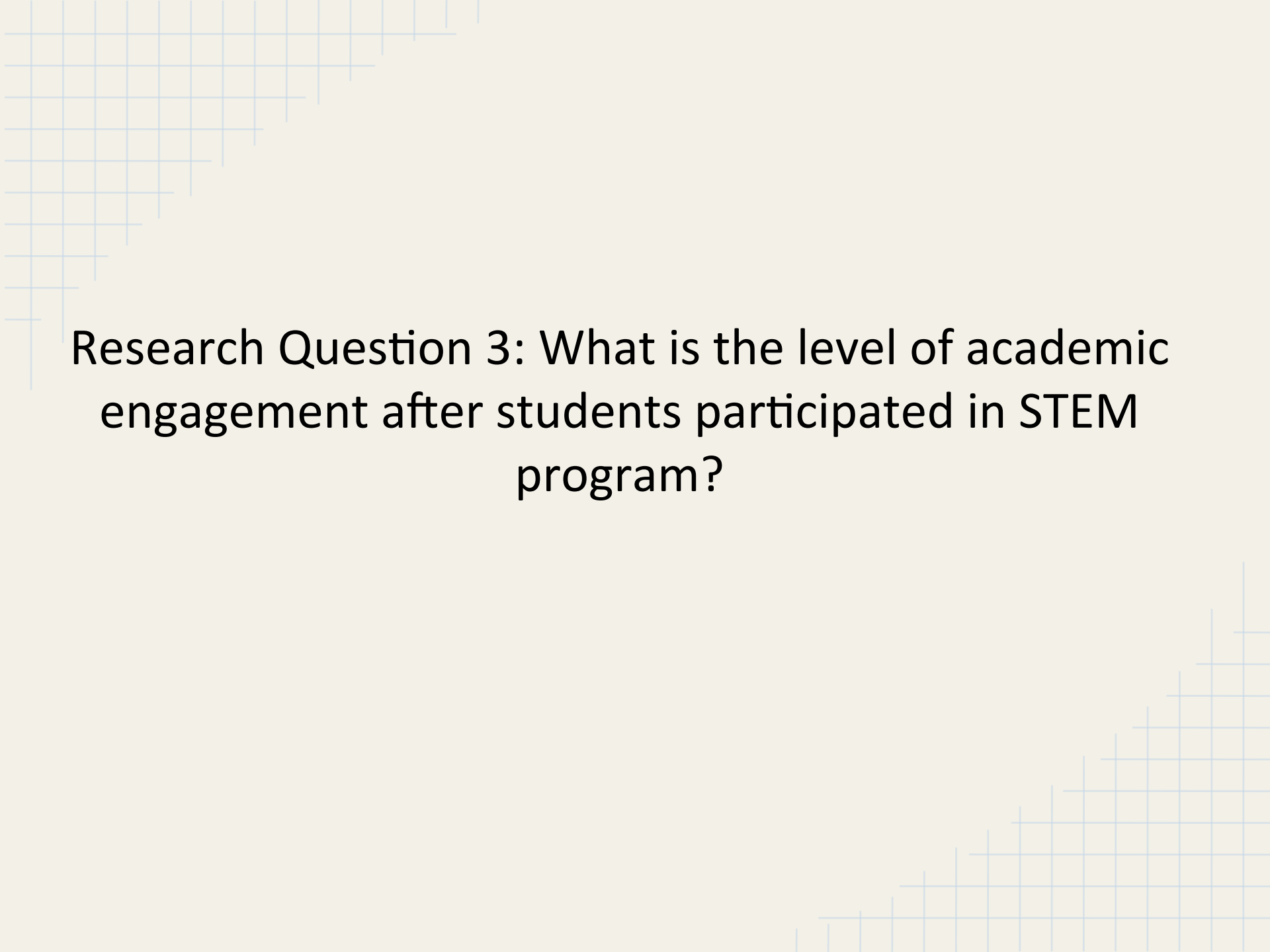
| | Teacher Responses on Subjects | | | |
|------------------------|-------------------------------|-------|--------|-------|
| Codes | Always | Often | Rarely | Never |
| Participation | 25% | 50% | 25% | 0% |
| Academic Performance | 0% | 100% | 0% | 0% |
| Collaboration | 0% | 50% | 50% | 0% |
| Problem Solving Skills | 0% | 50% | 50% | 0% |

Burns Research Question 2 Findings

| | Teacher's Responses on Subjects | | | |
|----------------------|---------------------------------|-------|--------|-------|
| Codes | Always | Often | Rarely | Never |
| Participation | 33.3% | 66.7% | 0% | 0 |
| Academic Performance | 66.7% | 33.3% | 0% | 0% |
| Collaboration | 33.3% | 0% | 0% | 0% |
| Problem Solving | 0% | 0% | 0% | 0% |

Conclusions for Research Question 2

- Slight improvement in the following engagement skills:
 - Participation
 - Collaboration
- This suggests the researcher and teacher need to improve student problem solving skills in both enrichment and classroom.
- Academic performance has gradually increased



Research Question 3: What is the level of academic engagement after students participated in STEM program?

Capital Prep Research Question 3 Findings

| | Teacher Responses on Subjects | | | |
|------------------------|-------------------------------|-------|--------|-------|
| Codes | Always | Often | Rarely | Never |
| Participation | 75% | 25% | 0% | 0% |
| Academic Performance | 100% | 0% | 0% | 0% |
| Collaboration | 57% | 43% | 0% | 0% |
| Problem Solving Skills | 43% | 14% | 43% | 0% |

Burns Research Question 3 Findings

| | Teacher responses on subjects | | | |
|------------------------|-------------------------------|-------|--------|-------|
| Codes | Always | Often | Rarely | Never |
| Participation | 50% | 50% | 0% | 0% |
| Academic Performance | 50% | 50% | 0% | 0% |
| Collaboration | 0% | 75% | 25% | 0% |
| Problem Solving Skills | 30% | 40% | 0% | 0% |

Capital Prep Research Question 3 Findings

| | Subject Responses | | | |
|------------------------------------|-------------------|-------|--------|-------|
| Codes | Always | Often | Rarely | Never |
| Participation in the Program Again | 100% | - | - | - |
| Student Looks forward in program | 43% | 43% | 14% | - |

Research Question 3 Conclusions/ Recommendations

- Overall drastic improvements in the following areas:
 - Participation
 - Collaboration
 - Problem Solving Skills
- Academic performance did not increase
 - Gifted w/o the label.

Research Question 3 Conclusions

- Students enjoyed the program overall
- Continued participation in the program is certain.
- This suggests FLL and other STEM programs enrichment activities are useful for both student and teacher.



Percent Increases/Decreases





Improvements and Recommendations



Improvements Based on Feedback

| | Responses based on Student and Teacher Responses in interviews | |
|------------------------------|--|-----|
| Codes | Yes | No |
| Communication with Parents | 71% | 29% |
| More Activities | 29% | 71% |
| More Assistance with Project | 57% | 43% |
| More Time | 100% | 0% |

Conclusions from Improvements/ Recommendations

- **Even better communication with parents**
 - “the program was fun, but my parents could have gotten more materials for us if they knew more about it”
 - “parents wanted more information about the program, like they knew a lot about Robotics but not First Lego League”
- **Better training meetings with more structured activities**
 - “The Teamwork problems helped me learn that teamwork doesn’t necessarily need to be done through verbal communication, but can also be done through non-verbal communication.”
 - “The Teamwork problems were really fun; I wish we did more of those during practice.”

Conclusion From Improvements/Recommendations

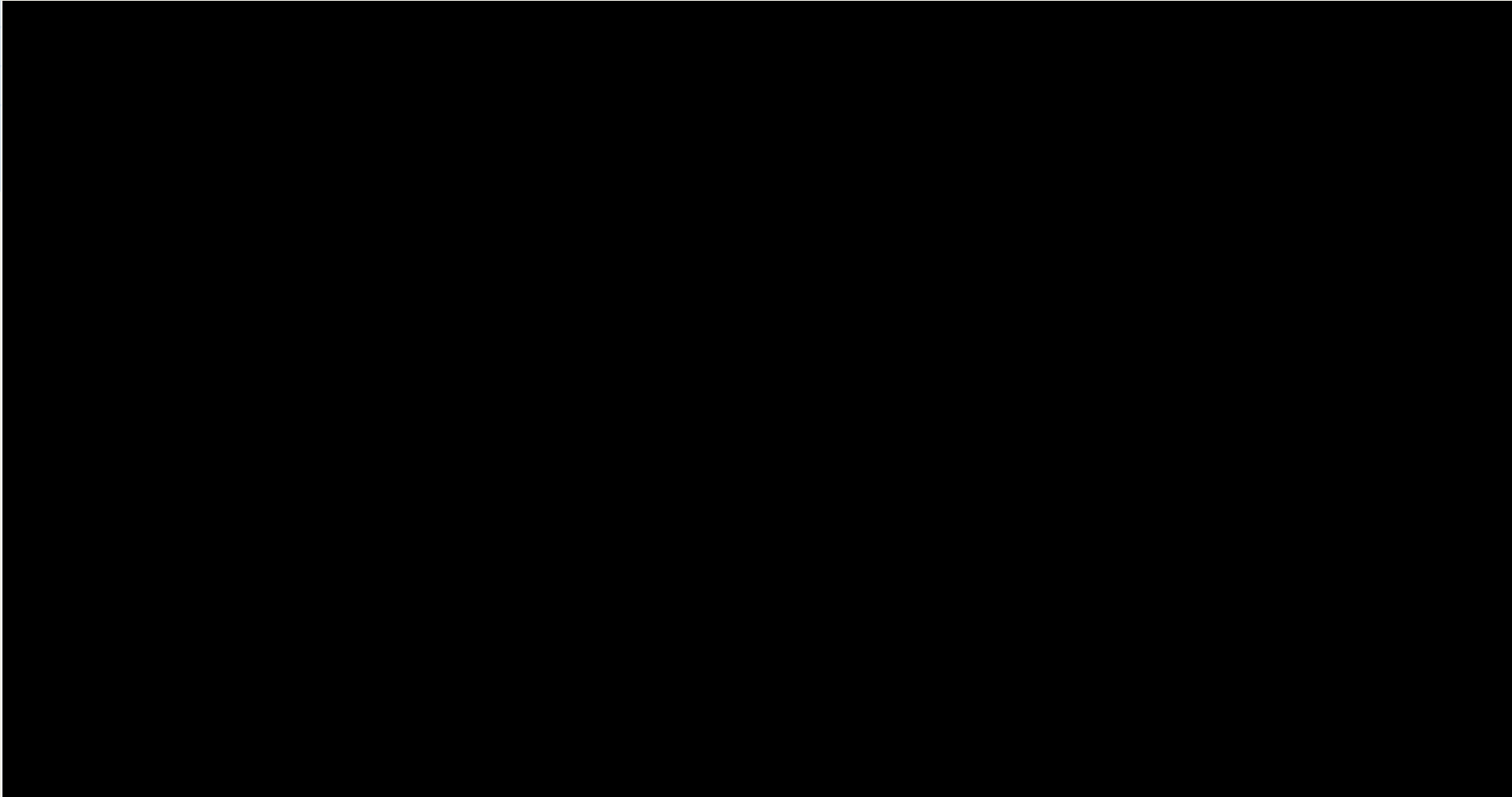
- **More Time= Post-Season Plans**

- “The program was really fun, but we didn’t have enough time.”
- “I wish there was another competition in the Spring that will help us prepare.”
- “The program is not a long enough time length for students to create a quality robot, program, and create a solution. If there was more time then we [other participants] would’ve ended up doing a much better job at competition.”

- **Adult involvement not supervision**

- “The robotics competition was really challenging, I wish we had more resources to use. I know we can’t ask for help, but we needed some more guidance.”

Raising Awareness Event: FLL Qualifier



Engagement of Raising Awareness Event

- Student Selection were based on try outs.
 - “We had similar problems in the past, we noticed the quality of students came from try outs, it helped us weed out the uninterested students” - Farmington FLL
 - “For many of these kids, its a sport, they prepare long and hard for this all year round so we do not deny those kids of that right.” - Old Lyme FLL
- Students met on an everyday basis
 - “Our students and parents signed a contract with the time commitment with all their work.” - Old Lyme FLL
 - Students were expected to show up on time and if late, parent and student needed to give us a 48 hour notice” - New London FLL
- Students attitude in math and science increased tremendously
 - “One of my alumni students, was once performing below grade level, once he joined FLL his scores boomed and is now getting ready to graduate in the top 10% of his high school class” - Westport FLL

Raising Awareness in the Media

Sent: Wednesday, January 28, 2015 10:14 PM

Subject: Capital Prep - Blazer Happenings!

Blazer Happenings!

Your one stop shop for school news and information.

January 28, 2015

Please disregard this message if you are no longer affiliated with the school. Thank you!

Congratulations!

In December, students in my senior social justice project enrichment competed at a robotics competition at Old Lyme High School and won the Coaches Award for showing spirit and having tremendous teamwork on different parts of the project.

Please click the link to see photos of my enrichment and the competition: <https://www.flickr.com/photos/130854864@N06/>

Submitted by:

Marquise Clarke '15

Head Boy of Capital Preparatory Magnet School

National Honor Society President

Multimedia Product: The Mobile Website

| Gadgets of Website | Number of Visits by Parents |
|---------------------------|------------------------------------|
| Calendar | 50 checks |
| Contacts | 40 checks |
| Documents | 10 checks |
| News | 20 checks |
| Photos | 45 checks |

Challenges Faced throughout Project

1. Thursday Absences
2. Snow Days (Post Season)
3. The small period of time for competing in First Lego League
4. Lack of communication with consultant
5. Keeping students engaged during meeting sessions
6. Lack of adult involvement
7. Better communication with my Burn students.

Panel Recommendations

- Speak slowly and loud so that everyone can hear you.
- Distinguish both Burns and Capital Prep students.
- Show percent increase/decreases from sub questions
- Put in more qualitative data



South Africa

Summer 2017

One month volunteer trip for 30 students

2012 Marshall Teacher Rubric

A. Planning and Preparation for Learning

| The teacher: | | 4 Highly Effective | 3 Effective | 2 Improvement Necessary | 1 Does Not Meet Standards |
|-------------------------------|--|--|--|---|---------------------------------|
| a. Knowledge | Is expert in the subject area and up to date on authoritative research on child development and how students learn. | Knows the subject matter well and has a good grasp of child development and how students learn. | Is somewhat familiar with the subject and has a few ideas of ways students develop and learn. | Has little familiarity with the subject matter and few ideas on how to teach it and how students learn. | |
| b. Standards | Has a detailed plan for the year that is tightly aligned with high standards and ensures success on external assessments. | Plans the year so students will meet high standards and be ready for external assessments. | Has done some thinking about how to cover high standards and test requirements this year. | Plans lesson by lesson and has little familiarity with state standards and tests. | |
| c. Units | Plans all units embedding big ideas, essential questions, knowledge, skill, and non-cognitive goals that cover all Bloom's levels. | Plans most units with big ideas, essential questions, knowledge, skill, and non-cognitive goals covering most of Bloom's levels. | Plans lessons with some thought to larger goals and objectives and higher-order thinking skills. | Teaches on an <i>ad hoc</i> basis with little or no consideration for long-range curriculum goals. | |
| d. Assessments | Prepares diagnostic, on-the-spot, interim, and summative assessments to monitor student learning. | Plans on-the-spot and unit assessments to measure student learning. | Drafts unit tests as instruction proceeds. | Writes final tests shortly before they are given. | |
| e. Anticipation | Anticipates students' misconceptions and confusions and develops multiple strategies to overcome them. | Anticipates misconceptions that students might have and plans to address them. | Has a hunch about one or two ways that students might become confused with the content. | Proceeds without considering misconceptions that students might have about the material. | |
| f. Lessons | Designs each lesson with clear, measurable goals closely aligned with standards and unit outcomes. | Designs lessons focused on measurable outcomes aligned with unit goals. | Plans lessons with some consideration of long-term goals. | Plans lessons aimed primarily at entertaining students or covering textbook chapters. | |
| g. Engagement | Designs highly relevant lessons that will motivate all students and engage them in active learning. | Designs lessons that are relevant, motivating, and likely to engage most students. | Plans lessons that will catch some students' interest and perhaps get a discussion going. | Plans lessons with very little likelihood of motivating or involving students. | |
| h. Materials | Designs lessons that use an effective mix of high-quality, multicultural learning materials and technology. | Designs lessons that use an appropriate, multicultural mix of materials and technology. | Plans lessons that involve a mixture of good and mediocre learning materials. | Plans lessons that rely mainly on mediocre and low-quality textbooks, workbooks, or worksheets. | |
| i. Differentiation | Designs lessons that break down complex tasks and address all learning needs, styles, and interests. | Designs lessons that target several learning needs, styles, and interests. | Plans lessons with some thought as to how to accommodate special needs students. | Plans lessons with no differentiation. | |
| j. Environment | Uses room arrangement, materials, and displays to maximize student learning of all material. | Organizes classroom furniture, materials, and displays to support unit and lesson goals. | Organizes furniture and materials to support the lesson, with only a few decorative displays. | Has a conventional furniture arrangement, hard-to-access materials, and few wall displays. | |

B. Classroom Management

| The teacher: | 4 Highly Effective | 3 Effective | 2 Improvement Necessary | 1 Does Not Meet Standards |
|--------------------------------|---|---|---|--|
| a. Expectations | Is direct, specific, consistent, and tenacious in communicating and enforcing very high expectations. | Clearly communicates and consistently enforces high standards for student behavior. | Announces and posts classroom rules and punishments. | Comes up with <i>ad hoc</i> rules and punishments as events unfold during the year. |
| b. Relationships | Shows warmth, caring, respect, and fairness for all students and builds strong relationships. | Is fair and respectful toward students and builds positive relationships. | Is fair and respectful toward most students and builds positive relationships with some. | Is sometimes unfair and disrespectful to the class; plays favorites. |
| c. Respect | Wins all students' respect and creates a climate in which disruption of learning is unthinkable. | Wins almost all students' respect and refuses to tolerate disruption. | Wins the respect of some students but there are regular disruptions in the classroom. | Is not respected by students and the classroom is frequently chaotic and sometimes dangerous. |
| d. Social-emotional | Implements a program that successfully develops positive interactions and social-emotional skills. | Fosters positive interactions among students and teaches useful social skills. | Often lectures students on the need for good behavior, and makes an example of "bad" students. | Publicly berates "bad" students, blaming them for their poor behavior. |
| e. Routines | Successfully inculcates class routines up front so that students maintain them throughout the year. | Teaches routines and has students maintain them all year. | Tries to train students in class routines but many of the routines are not maintained. | Does not teach routines and is constantly nagging, threatening, and punishing students. |
| f. Responsibility | Gets all students to be self-disciplined, take responsibility for their actions, and have a strong sense of efficacy. | Develops students' self-discipline and teaches them to take responsibility for their own actions. | Tries to get students to be responsible for their actions, but many lack self-discipline. | Is unsuccessful in fostering self-discipline in students; they are dependent on the teacher to behave. |
| g. Repertoire | Has a highly effective discipline repertoire and can capture and hold students' attention any time. | Has a repertoire of discipline "moves" and can capture and maintain students' attention. | Has a limited disciplinary repertoire and some students are not paying attention. | Has few discipline skills and constantly struggles to get students' attention. |
| h. Efficiency | Skillfully uses coherence, momentum, and transitions so that every minute of classroom time produces learning. | Maximizes academic learning time through coherence, lesson momentum, and smooth transitions. | Sometimes loses teaching time due to lack of clarity, interruptions, and inefficient transitions. | Loses a great deal of instructional time because of confusion, interruptions, and ragged transitions. |
| i. Prevention | Is alert, poised, dynamic, and self-assured and nips virtually all discipline problems in the bud. | Has a confident, dynamic presence and nips most discipline problems in the bud. | Tries to prevent discipline problems but sometimes little things escalate into big problems. | Is unsuccessful at spotting and preventing discipline problems, and they frequently escalate. |
| j. Incentives | Gets students to buy into a highly effective system of incentives linked to intrinsic rewards. | Uses incentives wisely to encourage and reinforce student cooperation. | Uses extrinsic rewards in an attempt to get students to cooperate and comply. | Gives out extrinsic rewards (e.g., free time) without using them as a lever to improve behavior. |

C. Delivery of Instruction

| The teacher: | 4 Highly Effective | 3 Effective | 2 Improvement Necessary | 1 Does Not Meet Standards |
|-------------------------------|--|--|---|---|
| a. Expectations | Exudes high expectations and determination and convinces all students that they will master the material. | Conveys to students: This is important, you can do it, and I'm not going to give up on you. | Tells students that the subject matter is important and they need to work hard. | Gives up on some students as hopeless. |
| b. Mindset | Actively inculcates a "growth" mindset: take risks, learn from mistakes, through effective effort you can and will achieve at high levels. | Tells students that effective effort, not innate ability, is the key. | Doesn't counteract students' misconceptions about innate ability. | Communicates a "fixed" mindset about ability: some students have it, some don't. |
| c. Goals | Shows students exactly what's expected by posting essential questions, goals, rubrics, and exemplars of proficient work. | Gives students a clear sense of purpose by posting the unit's essential questions and the lesson's goals. | Tells students the main learning objectives of each lesson. | Begins lessons without giving students a sense of where instruction is headed. |
| d. Connections | Hooks all students' interest and makes connections to prior knowledge, experience, and reading. | Activates students' prior knowledge and hooks their interest in each unit and lesson. | Is only sometimes successful in making the subject interesting and relating it to things students already know. | Rarely hooks students' interest or makes connections to their lives. |
| e. Clarity | Always presents material clearly and explicitly, with well-chosen examples and vivid and appropriate language. | Uses clear explanations, appropriate language, and examples to present material. | Sometimes uses language and explanations that are fuzzy, confusing, or inappropriate. | Often presents material in a confusing way, using language that is inappropriate. |
| f. Repertoire | Orchestrates highly effective strategies, questions, materials, technology, and groupings to boost the learning of all students. | Orchestrates effective strategies, questions, materials, technology, and groupings to foster student learning. | Uses a limited range of classroom strategies, questions, materials, and groupings with mixed success. | Uses only one or two teaching strategies and types of materials and fails to reach most students. |
| g. Engagement | Gets all students highly involved in focused work and discussions in which they are active learners and problem-solvers. | Has students actively think about, discuss, and use the ideas and skills being taught. | Attempts to get students actively involved but some students are disengaged. | Mostly lectures to passive students or has them plod through textbooks and worksheets. |
| h. Differentiation | Successfully reaches all students by skillfully differentiating and scaffolding and using peer and adult helpers. | Differentiates and scaffolds instruction and uses peer and adult helpers to accommodate most students' learning needs. | Attempts to accommodate students with learning deficits, but with mixed success. | Fails to differentiate instruction for students with learning deficits. |
| i. Nimbleness | Defly adapts lessons and units to exploit teachable moments and correct misunderstandings. | Is flexible about modifying lessons to take advantage of teachable moments. | Sometimes doesn't take advantage of teachable moments. | Is rigid and inflexible with lesson plans and rarely takes advantage of teachable moments. |
| j. Application | Consistently has all students summarize and internalize what they learn and apply it to real-life situations. | Has students sum up what they have learned and apply it in a different context. | Sometimes brings closure to lessons and asks students to think about applications. | Moves on at the end of each lesson without closure or application to other contexts. |

D. Monitoring, Assessment, and Follow-Up

| The teacher: | 4 Highly Effective | 3 Effective | 2 Improvement Necessary | 1 Does Not Meet Standards |
|---------------------------|---|---|---|---|
| a. Criteria | Posts and reviews clear criteria for proficient work, including rubrics and exemplars, and all students internalize them. | Posts criteria for proficiency, including rubrics and exemplars of student work. | Tells students some of the qualities that their finished work should exhibit. | Expects students to know (or figure out) what it takes to get good grades. |
| b. Diagnosis | Gives students a well-constructed diagnostic assessment up front, and uses the information to fine-tune instruction. | Diagnoses students' knowledge and skills up front and makes small adjustments based on the data. | Does a quick K-W-L (Know, Want to Know, Learned) exercise before beginning a unit. | Begins instruction without diagnosing students' skills and knowledge. |
| c. On-the-Spot | Uses a variety of effective methods to check for understanding; immediately unscrambles confusion and clarifies. | Frequently checks for understanding and gives students helpful information if they seem confused. | Uses mediocre methods (e.g., thumbs up, thumbs down) to check for understanding during instruction. | Uses ineffective methods ("Is everyone with me?") to check for understanding. |
| d. Self-Assessment | Has students set ambitious goals, continuously self-assess, and take responsibility for improving performance. | Has students set goals, self-assess, and know where they stand academically at all times. | Urges students to look over their work, see where they had trouble, and aim to improve those areas. | Allows students to move on without assessing and improving problems in their work. |
| e. Recognition | Frequently posts students' work with rubrics and commentary to celebrate progress and motivate and direct effort. | Regularly posts students' work to make visible their progress with respect to standards. | Posts some 'A' student work as an example to others. | Posts only a few samples of student work or none at all. |
| f. Interims | Works with colleagues to use interim assessment data, fine-tune teaching, re-teach, and help struggling students. | Uses data from interim assessments to adjust teaching, re-teach, and follow up with failing students. | Looks over students' tests to see if there is anything that needs to be re-taught. | Gives tests and moves on without analyzing them and following up with students. |
| g. Tenacity | Relentlessly follows up with struggling students with personal attention so they all reach proficiency. | Takes responsibility for students who are not succeeding and gives them extra help. | Offers students who fail tests some additional time to study and do re-takes. | Tells students that if they fail a test, that's it; the class has to move on to cover the curriculum. |
| h. Support | Makes sure that students who need specialized diagnosis and help receive appropriate services immediately. | When necessary, refers students for specialized diagnosis and extra help. | Sometimes doesn't refer students promptly for special help, and/or refers students who don't need it. | Often fails to refer students for special services and/or refers students who do not need them. |
| i. Analysis | Works with colleagues to analyze and chart data, draw action conclusions, and leverage student growth. | Analyzes data from assessments, draws conclusions, and shares them appropriately. | Records students' grades and notes some general patterns for future reference. | Records students' grades and moves on with the curriculum. |
| j. Reflection | Works with colleagues to reflect on what worked and what didn't and continuously improve instruction. | Reflects on the effectiveness of lessons and units and continuously works to improve them. | At the end of a teaching unit or semester, thinks about what might have been done better. | Does not draw lessons for the future when teaching is unsuccessful. |

E. Family and Community Outreach

| The teacher: | 4 Highly Effective | 3 Effective | 2 Improvement Necessary | 1 Does Not Meet Standards |
|------------------------------|--|--|---|--|
| a. Respect | Shows great sensitivity and respect for family and community culture, values, and beliefs. | Communicates respectfully with parents and is sensitive to different families' culture and values. | Tries to be sensitive to the culture and beliefs of students' families but sometimes shows lack of sensitivity. | Is often insensitive to the culture and beliefs of students' families. |
| b. Belief | Shows each parent an in-depth knowledge of their child and a strong belief he or she will meet or exceed standards. | Shows parents a genuine interest and belief in each child's ability to reach standards. | Tells parents that he or she cares about their children and wants the best for them. | Does not communicate to parents knowledge of individual children or concern about their future. |
| c. Expectations | Gives parents clear, user-friendly learning and behavior expectations and exemplars of proficient work. | Gives parents clear expectations for student learning and behavior for the year. | Sends home a list of classroom rules and the syllabus for the year. | Doesn't inform parents about learning and behavior expectations. |
| d. Communication | Makes sure parents hear positive news about their children first, and immediately flags any problems. | Promptly informs parents of behavior and learning problems, and also updates parents on good news. | Lets parents know about problems their children are having but rarely mentions positive news. | Seldom informs parents of concerns or positive news about their children. |
| e. Involving | Frequently involves parents in supporting and enriching the curriculum for their children as it unfolds. | Updates parents on the unfolding curriculum and suggests ways to support learning at home. | Sends home occasional suggestions on how parents can help their children with schoolwork. | Rarely if ever communicates with parents on ways to help their children at home. |
| f. Homework | Assigns highly engaging homework, gets close to a 100% return, and promptly provides helpful feedback. | Assigns appropriate homework, holds students accountable for turning it in, and gives feedback. | Assigns homework, keeps track of compliance, but rarely follows up. | Assigns homework but is resigned to the fact that many students won't turn it in, and doesn't follow up. |
| g. Responsiveness | Deals immediately and successfully with parent concerns and makes parents feel welcome any time. | Responds promptly to parent concerns and makes parents feel welcome in the school. | Is slow to respond to some parent concerns and comes across as unwelcoming. | Does not respond to parent concerns and makes parents feel unwelcome in the classroom. |
| h. Reporting | Uses student-led conferences, report cards, and informal talks to give parents detailed and helpful feedback on children's progress. | Uses conferences and report cards to give parents feedback on their children's progress. | Uses report card conferences to tell parents the areas in which their children can improve. | Gives out report cards and expects parents to deal with the areas that need improvement. |
| i. Outreach | Is successful in contacting and working with all parents, including those who are hard to reach. | Tries to contact all parents and is tenacious in contacting hard-to-reach parents. | Tries to contact all parents, but ends up talking mainly to the parents of high-achieving students. | Makes little or no effort to contact parents. |
| j. Resources | Successfully enlists classroom volunteers and extra resources from homes and the community to enrich the curriculum. | Reaches out to families and community agencies to bring in volunteers and additional resources. | Asks parents to volunteer in the classroom and contribute extra resources. | Does not reach out for extra support from parents or the community. |

F. Professional Responsibilities

| The teacher: | 4 Highly Effective | 3 Effective | 2 Improvement Necessary | 1 Does Not Meet Standards |
|----------------------------|--|--|---|---|
| a. Attendance | Has perfect or near-perfect attendance (98-100%). | Has very good attendance (95-97%). | Has moderate absences (6-10%). If there are extenuating circumstances, state below. | Has many absences (11% or more). If there are extenuating circumstances, state below. |
| b. Language | In professional contexts, speaks and writes correctly, succinctly, and eloquently. | Uses correct grammar, syntax, usage, and spelling in professional contexts. | Periodically makes errors in grammar, syntax, usage and/or spelling in professional contexts. | Frequently makes errors in grammar, syntax, usage, and/or spelling in professional contexts. |
| c. Reliability | Carries out assignments conscientiously and punctually, keeps meticulous records, and is never late. | Is punctual and reliable with paperwork, duties, and assignments; keeps accurate records. | Occasionally skips assignments, is late, makes errors in records, and misses paperwork deadlines. | Frequently skips assignments, is late, makes errors in records, and misses paperwork deadlines. |
| d. Professionalism | Presents as a consummate professional and always observes appropriate boundaries. | Demonstrates professional demeanor and maintains appropriate boundaries. | Occasionally acts and/or dresses in an unprofessional manner and/or violates boundaries. | Frequently acts and/or dresses in an unprofessional manner and violates boundaries. |
| e. Judgment | Is invariably ethical, honest, and forthright, uses impeccable judgment, and respects confidentiality. | Is ethical and forthright, uses good judgment, and maintains confidentiality with student information. | Sometimes uses questionable judgment, is less than completely honest, and/or discloses student information. | Is frequently unethical, dishonest, uses poor judgment, and/or discloses student information. |
| f. Above-and-beyond | Is an important member of teacher teams and committees and frequently volunteers for extra activities. | Shares responsibility for grade-level and schoolwide activities and takes part in extra activities. | When asked, will serve on a committee and attend an extra activity. | Declines invitations to serve on committees and attend extra activities. |
| g. Leadership | Frequently contributes valuable ideas and expertise and instills in others a desire to improve student results. | Is a positive team player and contributes ideas, expertise, and time to the overall mission of the school. | Occasionally suggests an idea aimed at improving the school. | Rarely if ever contributes ideas that might help improve the school. |
| h. Openness | Actively seeks out feedback and suggestions from students, parents, and colleagues and uses them to improve performance. | Listens thoughtfully to other viewpoints and responds constructively to suggestions and criticism. | Is somewhat defensive but does listen to feedback and suggestions. | Is very defensive about criticism and resistant to changing classroom practice. |
| i. Collaboration | Meets at least weekly with colleagues to plan units, share ideas, and analyze interim assessments. | Collaborates with colleagues to plan units, share teaching ideas, and look at student work. | Meets occasionally with colleagues to share ideas about teaching and students. | Meets infrequently with colleagues, and conversations lack educational substance. |
| j. Growth | Actively reaches out for new ideas and engages in action research with colleagues to figure out what works best. | Seeks out effective teaching ideas from colleagues, workshops, and other sources and implements them well. | Can occasionally be persuaded to try out new classroom practices. | Is not open to ideas for improving teaching and learning. |