

A			B		C		D	
	Are you incorporating this response by reference?		Charter Information		Specific response, attachment, or exhibit incorporated by reference	This response applies to:		
	No (go to Column D)	Yes with no minor revisions	School Name	Charter Approval Date		All Schools in Ed. Corp.	Proposed School Only	N/A
1 (a-c) – Community Description, Need, Impact	All applicants must provide Responses to these Requests.							
2(a) – Mission and Vision	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter	5/27/11	3rd Charter Agreement 2.1	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
2(b) – Key Design Elements	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter	5/27/11	3rd Charter Agreement 2.4	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
2(c) – Accountability Plan	All applicants must provide a Response to this Request.							
3(a-c) – Proposal History	All applicants must provide Responses to these Requests.							
4 – School Enrollment	All applicants must provide a Response to this Request.							
5(a) – Curriculum and Selection Processes	<input type="radio"/>	<input type="radio"/>	Amber Charter	5/27/11	3rd Charter Agreement 2.4	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
5(b) – Assessment System	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter	5/27/11	3rd Charter Agreement 2.4	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
5(c) – Instructional Methods	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter	5/27/11	3rd Charter Agreement 2.4	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
5(d) – Course Overview	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter	5/27/11	3rd Charter Agreement 2.4	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
5(e) – Promotion and Graduation Policy	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter	5/27/11	3rd Charter Agreement 2.4	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
6(a-b) – Calendar and Schedules	All applicants must provide Responses to these Requests.							
7(a) – At-risk Students	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter	5/27/11	3rd Charter Agreement 2.4	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
7(b) – Special Education Students	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter	5/27/11	3rd Charter Agreement 3.1	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
7(c) – English Language Learners	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter	5/27/11	3rd Charter Agreement 2.4	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
7(d) – Advanced and/or Gifted Students	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter	5/27/11	3rd Charter Agreement 2.4	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
8(a) – Instructional Leadership Roles	<input checked="" type="radio"/>	<input type="radio"/>				<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
8(b) – On-going Teacher Supervision and Support	<input checked="" type="radio"/>	<input type="radio"/>				<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
8(c) – Professional Development	<input checked="" type="radio"/>	<input type="radio"/>				<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
8(d) – Teacher Evaluation and Accountability	<input checked="" type="radio"/>	<input type="radio"/>				<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

PROPOSED CHARTER SCHOOL NAME: Amber Charter School II

DESIRED OPENING DATE: 9/15

A			B		C	D
	Are you incorporating this response by reference?		Charter Information		Specific response, attachment, or exhibit incorporated by reference	This response applies to:
	No (go to Column D)	Yes with minor revisions	School Name	Charter Approval Date		
9(a) – School Culture and Discipline	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter School II	5/27/11	3rd Charter Agreement 2.4	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
9(b) – Discipline Policy	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter School II	5/27/11	3rd Charter Agreement 2.8	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
9(c) – Special Education Policy	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter School II	5/27/11	3rd Charter Agreement 2.8	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
9(d) – Dress Code Policy	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter School II	5/27/11	3rd Charter Agreement 2.4	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
10 – Organization Chart	All applicants must provide a Response to this Request.					
11(a) – Staffing Charter and Rationale	All applicants must provide a Response to this Request.					
11(b) – Qualifications and Responsibilities	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter School II	5/27/11	3rd Charter Agreement 4.2	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
11(c) – School Leadership and Management Structure	All applicants must provide a Response to this Request.					
11(d) – Staff Recruitment and Retention	All applicants must provide a Response to this Request.					
11(e) – Personnel Policies	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter School II	5/27/11	3rd Charter Agreement 4.2	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
12(a-b) – Partner Organizations	Responses required only if the school would have a significant relationship with a partner organization. Response <input type="radio"/> are <input checked="" type="radio"/> are not included.					
13(a) – Ed. Corp. Board Roles and Responsibilities	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter School II	5/27/11	3rd Charter Agreement 2.10	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
13(b) – School Board Design	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter School II	5/27/11	3rd Charter Agreement 2.10	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
13(c) – Current or Proposed BoT	All applicants must provide a Response to this Request.					
13(d) – Stakeholder Participation	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter School II	5/27/11	3rd Charter Agreement 2.10	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
13(e) – By-laws	<input checked="" type="radio"/>	<input type="radio"/>				<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
13(f) – Code of Ethics	<input type="radio"/>	<input checked="" type="radio"/>	Amber Charter School II	5/27/11	3rd Charter Agreement 2.9	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
13(g) – Board Member Information	<input checked="" type="radio"/>	<input type="radio"/>				<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
14(a-c) – Community Relations	All applicants must provide Responses to these Requests.					
15(a-b) – Student Demand	All applicants must provide Responses to these Requests.					
15(c) – Evidence of Demand	All applicants must provide a Response to this Request.					

PROPOSED CHARTER SCHOOL NAME: Amber Charter School II

DESIRED OPENING DATE: 9/15

A			B		C	D	
	Are you incorporating this response by reference?			Charter Information		Specific response, attachment, or exhibit incorporated by reference	This response applies to:
	No (go to Column D)	Yes with minor revisions	Yes with major revisions	Charter Approval Date	Most recent material revision date, if applicable		
15(d) – Admissions Policy	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	School Name	5/27/11	3rd Charter Agreement 2.3	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
16(a-c) – Facilities	All applicants must provide Responses to these Requests.						
16(d) – Additional Facility Information	All applicants must provide a Response to this Request.						
17 – Food Services	All applicants must provide a Response to this Request.						
18 – Health Services	All applicants must provide a Response to this Request.						
19 - Transportation	All applicants must provide a Response to this Request.						
20 – Insurance	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	Amber Cha	5/27/11	3rd Charter Agreement 5.7	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
21 – Programmatic Audits	All applicants must provide a Response to this Request.						
22(a-c) – Budget, Financial Planning and Fiscal Audits	All applicants must provide Responses to these Requests.						
22(d) – Dissolution Procedures	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	Amber Cha	5/27/11	3rd Charter Agreement 8.6	<input checked="" type="radio"/> <input type="radio"/> <input type="radio"/>
22(e) – Budget Template	All applicants must provide a Response to this Request.						
22(f) – Letters of Commitment	All applicants must provide Responses to this Request.						
23 – Action Plan	Optional Response. Please indicate whether you <input type="radio"/> have or <input checked="" type="radio"/> have not included a response.						
24(a-b) – Supplemental Information	Optional Responses. Please indicate whether you <input checked="" type="radio"/> have or <input type="radio"/> have not included responses.						



Charter Schools Institute
The State University of New York

Replication Proposal Transmittal Form

1. School Information

Proposed Name of Charter School

Proposed Location (School District or CSD & Region for NYC)

Proposed Enrollment & Grades	Grades Served	Proposed Enrollment
Year 1	K-1	250
Year 2	K-2	366
Year 3	K-3	473
Year 4	K-4	565
Year 5	K-5	650

Proposed Opening Date

Proposed Charter Term

2. Proposed Affiliations

Educational Service Provider or Management Company (if any)

Public Contact Info (Name & Phone #)

Partner Organization (if any)

Public Contact Info (Name & Phone #)

3. Lead Applicant Contact Information

Lead Applicant Name & Affiliation

Name of Existing Education Corp.

Mailing Address

City

State

Zip Code

Office Phone #

Cell Phone #

E-Mail

Lead Applicant Media/Public Contact Phone # (required)

Lead Applicant Signature

Note: Authenticated Digital Signatures accepted/ If a handwritten signature is used, at least one copy of the submitted proposal must bear an original (e.g., not photocopied) signature. 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 of 1998 (as amended) with the State University of New York Board of Trustees is true and accurate to the best of his or her knowledge.

Submit Completed Proposal to:

Charter Schools Institute
State University of New York
41 State Street, Suite 700
Albany, New York 12207

Phone: (518) 433-8277

Fax: (518) 427-6510

Web: www.newyorkcharters.org

FOR OFFICIAL USE ONLY: Received By:

Date Received



Charter Schools Institute
The State University of New York

Application Summary Form

1. Charter School Education Corporation Name

Amber Charter Schools

2. Charter School Name

Amber Charter School II

3. Charter School Location

CSD 6 or CSD 28

4. Anticipated Opening Date

September 2015

5. Management Organization Name (if applicable)

None

6. Other Partner Organization(s) (if applicable)

None

7. Student Population and Grades Served

	School Year	Grades Served	Total Enrollment
Year 1	2015-2016	K-1	250
Year 5	2019-2020	K-5	650

8. Applicant(s)

	Name	Bio
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X Dr. Vasthi Acosta

Dr. Acosta has six years of experience as Head of School of Amber Charter School plus another year as Director of Curriculum and Instruction. Dr. Acosta successfully saw the school through its last charter renewal. Dr. Acosta is a graduate of Columbia University's Teachers College where she was awarded both a Doctor of Education and Master of Arts degrees. She also holds a Master of Science degree from Bank Street College of Education and a Bachelor of Arts degree from Fordham University. Dr. Acosta has worked in the NYC Department of Education as Assistant Principal, consultant and teacher. She was a college professor at Hostos Community College in the Early Childhood Education department, a curriculum developer and teacher trainer at Teachers College. While at Teachers College, she was responsible for training teachers throughout the North Eastern United States, Puerto Rico, and the Virgin Islands. She has been a national validator for early childhood programs seeking accreditation from the National Association for the Education of Young Children (NAEYC). Dr. Acosta has extensive experience with early childhood and bilingual education. As a professor and lecturer she has taught the following courses within the CUNY Early Childhood Education program: Introduction to Early Childhood, Development of the Young Child, Social Studies in the Early Childhood Classroom, Music and Movement in Early Childhood Education, Bilingual Bicultural Early Childhood Education, Language Arts in the Early Childhood Classroom, and Field Experience I and II. Dr. Acosta has presented scholarly work at national and statewide conferences. She has published several articles, the three most recent, book review of the books, "Breaking the mold of education for culturally and linguistically diverse students." and "Language, Space and Power: A Critical Look at Bilingual Education", and a commentary titled, "Stung by Buzz Words", all in the Teachers College Record. As an author, her novella "Gifts from the Magi" is published in the anthology, A Big Apple Christmas. Dr. Acosta started publishing her weekly column in the Education section of El Diario La Prensa, which addresses various aspects of parenting and education on November 14, 2011. In addition, Dr. Acosta was recently honored as a Mama Latina, one of only 7 mothers chosen across the entire U.S. for her contributions to her community and dedication to her family. Finally, Dr. Acosta has experience with school start-up and implementation; she chaired the committee that wrote and presented the proposal for the creation of Bronx Latin High School and was the Co-founder/Developer of another New Visions school in CSD 6.

Add New Applicant

9. Proposed Board of Trustees

	Name	Bio
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X	David Briggs	<p>• David Briggs, A.I.A., is the Chair of the Board of Trustees at Amber Charter School. He has recently joined the Board of Trustees for four New Visions charter schools in Brooklyn. In 2009, Dave co-founded Gowanus by Design, a nonprofit community-based advocacy group that is exploring the long-term urban planning challenges around the Gowanus Canal Superfund site in Brooklyn. Dave opened his own architectural practice in 1993 and founded Loci Architecture PC in 1998. Since then, both the firm and its range of design work have included commercial, educational, institutional, community development, and residential projects. In 1997, he was awarded the A.I.A. New York City Chapter Stewardson Keefe LeBrun Travel Grant to study Indian railroad architecture. His teaching credentials include Visiting Critic for the Weimar Bauhaus University "Summer Academy in Rome," 1999, 2000, and 2004; Visiting Critic/Professional Advisor for the 3rd and 5th year architecture studios at Philadelphia University, 1998-2005; and Adjunct Professor for Design III at Philadelphia University, Fall 2002. Dave lives in Brooklyn with his [REDACTED]</p>
X	Soledad Hiciano	<p>• Soledad Hiciano was born in Santo Domingo, Dominican Republic. She joined her parents in the United States in 1973, when she was 8 years old. A product of Washington Heights, Soledad obtained both a Bachelor of Science from Mercy College in Dobbs Ferry, New York. She is the mother of three daughters and a resident of Washington Heights. Over the past seven years Soledad Hiciano has served as the Executive Director of La Asociación Comunal de Dominicanos Progresistas (ACDP) or Community Association of Progressive Dominicans, a highly respected community organization serving thousands of families in Northern Manhattan and the Bronx. ACDP is the first Dominican community based organization in Washington Heights. ACDP has been providing services to Washington Heights for over 25 years. The mission of Community Association of Progressive Dominicans (ACDP) is to promote and develop the physical, emotional, social and economic well-being of the residents of Upper Manhattan, the Bronx, and New York City by facilitating community empowerment through education, provision of human services, and the development of individual skills and community leadership. Soledad Hiciano has been and still is very active in the role of parent advocate in the field of education. She led the Presidents Council of District Six in 1997. Soledad was a key member of the ACDP-sponsored team that founded PS 210/Twenty-first Century Academy for Community Leadership in 1997, and has remained an active parent at 21st Century Academy. She played a key role in the founding of Amber Charter School. Soledad has served as a member of the Amber Charter School Board since its founding by ACDP in 2000. In her role as the Executive Director of ACDP she is also serves as an ex officio member on the Amber Charter School Board of Trustees.</p>

X	Julio Sandoval	<ul style="list-style-type: none"> Julio Sandoval is a Senior Vice President at Citigroup, a multinational financial services company. He works in the Financial Planning and Analysis team within the Citi Holdings organization which specializes in managing and divesting Citigroup's non-core assets, he is also the Finance Lead for the Special Asset Pool segment. Before joining Citigroup, Julio worked as a consultant at CISA Consultores and Deloitte both in Mexico City and at American Express as a Business Development manager at their Latin American headquarters in Miami FL. Julio has an Industrial Engineering degree from ITESM in Mexico City and a MBA from The Fuqua School of Business / Duke University. Julio grew up in Mexico City and moved to the U.S. when pursuing his MBA; he currently lives in Manhattan and is an avid soccer fan.
X	Jessica Jimenez	<ul style="list-style-type: none"> Jessica M. Jimenez is an associate in Barton LLP's Corporate Department. Jessica represents a variety of domestic and international clients, ranging from start-up businesses to Fortune 500 companies. Jessica regularly advises clients in an outside general counsel role on a variety of matters, including those in the areas of corporate formation and governance, contract, securities, commercial lending, real estate, intellectual property, employment, and pre-litigation dispute resolution. Further, Jessica counsels clients in the negotiation and consummation of asset and stock purchases, mergers, corporate reorganizations, transfers of interest, buy-sell agreements and corporate redemptions. Although Jessica's practice remains focused on contractual matters and business transactions, she has also taken part in the prosecution and defense of claims of securities fraud, misappropriation of corporate assets, RICO, breach of contract, copyright and trademark infringement, employment discrimination and labor law violations. Prior to pursuing a career in law, Jessica was Marketing Director of AdvantEdge TV Advertising, where she worked closely with the general counsel of the firm, negotiated talent agreements with members of the Screen Actors Guild, and license agreements with healthcare networks, financial institutions and regional retail companies. She is fluent in Spanish, proficient in Italian and brings a variety of cultural experiences to the practice that enhances the overall diversity of the firm.
X	Jorge Romero	<ul style="list-style-type: none"> Jorge Romero is an analytical fiscal executive and administrator with more than 30 years' results-driven experience in all aspects of financial control and accountancy. Mr. Romero has received awards for his work and dedication from leading community agencies and institutions such as: NY State Senate, Regional Aid for Interim Needs, Inc., Christian Community Benevolent Association, Inc., Christmas in April The Bronx, Mercy College, and others. He holds an undergraduate degree in Accounting and Finance from Mercy College and a Masters of Science from Long Island University. He has been an adjunct professor in the Business and Economics Department at Mercy College for the past 30 years.

X	James N. Serafino	<ul style="list-style-type: none"> • James N. Serafino is the founder of Copper Hill Development, an Owners Representative firm. He started Copper Hill in 2006 after 14 years of experience and more than \$200 Million worth of successfully completed construction projects. Copper Hill assists clients in the planning, design, and construction of their corporate facilities. Prior to forming Copper Hill Development, James was the Associate Director of Facilities at SAC Capital Advisors. While at SAC he oversaw a vast expansion of the business and helped develop locations both domestically and internationally. Before joining SAC James worked at Salomon Smith Barney. James received a Bachelor's of Architecture from New York Institute of Technology in 1992. James lives in Long Island with his wife, [REDACTED]
X	Manny Morales	<ul style="list-style-type: none"> • Manny Morales the principal of MIM Consulting Services, Inc., helps businesses with executive leadership and staff development. He started MIM Consulting in 2000 as a technology solutions firm, but moved towards business consulting in 2009. Manny began his career in architecture, working for firms such as Richard Gluckman Architects and Fox &Fowle Architects. Whether architecture, information technology, or consulting, Manny's career has focused on finding solutions for organizations to help them fulfill their vision. Manny is thankful for his parents' courage in immigrating to New York from Colombia with two young boys, and is proud of his New York City public school education. He received a Bachelor of Architecture from Rensselaer Polytechnic Institute. Manny lives in Forest Hills, NY with his wife and two sons.
X	Frank Aldridge	<ul style="list-style-type: none"> • Frank Aldridge is an Assistant Vice President at Tradeweb Markets LLC, a leading firm in operating electronic over-the-counter marketplaces that has helped transform the way trading occurs in the fixed income and derivatives markets. Frank began his career at Ernst & Young LLP in their Financial Services Office where he worked in their audit and advisory practices. He received his BBA in Accounting from the University of Georgia and is currently pursuing his MBA from New York University. Frank has lived in Manhattan since graduating from the University of Georgia and has previously been involved in the community through the SLE Lupus Foundation and Habitat for Humanity.

X	Jenna Pantel	<ul style="list-style-type: none"> • Jenna graduated magna cum laude from Syracuse University's S.I. Newhouse School of Public Communications and the College of Arts and Sciences. She then graduated magna cum laude with her Juris Doctorate from the University of Miami School of Law. While at the University of Miami, Jenna participated in the Center for Ethics and Public Service's Street Law program. As a Street Law fellow, she taught law and ethics to Miami Senior High School students. Jenna is currently an associate at a New York City education law firm where she represents parents of students with disabilities. Jenna has been interested in education, education law, and education policy since taking her first psychology of reading disabilities course at Syracuse University. Since that time Jenna has dedicated herself to learning more about educational issues and helping students.
X	Ann Wiener	<ul style="list-style-type: none"> • Ann Wiener graduated from Smith College and then went to Harvard Graduate School of Education where she was awarded a Master's Degree. Ann has experience as an elementary and secondary school teacher, was the Founding Principal at Crossroads School from 1990-2005, and is the ex-chair and member of North Dakota Study Group's Planning Group. Ann is also the Founder of Urban Teaching Fellows Program and served as a board chair at Whitby School, Buxton School, and The Prospect School. Ann currently coaches new principals starting new schools for the Leadership Academy. In addition, she works with the Office of New Schools to select and train prospective new principals of new schools, and as a consultant to networks and other educational entities. Ann loves to visit new places and has recently done home exchanges in Istanbul, Marrakesh, and Provence as well as travelled to Bhutan, Ethiopia, and Iran.

X	Aileen Wilson	<ul style="list-style-type: none"> • Aileen Wilson is currently Associate Professor, Art and Design Education, Pratt Institute where she was Director of the Saturday Art School from 2002-2009. Born and brought up in Scotland, she moved to London where she worked for many years with the Inner London Education Authority and Hackney Social Services as an art teacher in programs serving young people at risk of custodial sentences and/or homeless and attending drug and alcohol treatment programs. She came to New York in 1995 and before joining the faculty at Pratt, she was an art teacher in a middle school in Harlem. In addition to a B.A. (Hons) 1st class Printmaking/Painting, Gray's School of Art, Aberdeen, Scotland, and an M.A. in Printmaking, Chelsea School of Art, London, UK, she recently earned an EdD. (with distinction) in Art/Art Education, Teacher's College, Columbia University, New York City. She was confirmed as a Fulbright specialist candidate 2010-2015 and was a Fulbright specialist grantee to Iceland in 2011 and 2012. While she has been involved in all aspects of art and design education, her research interests include the process and content of adolescent drawing and the role of art and design in youth and community development. Her volunteer work has included participating in community development projects in Cuba and Nicaragua and working in the Vietnamese camps in Hong Kong. She worked as an architectural illustrator in Hong Kong from 1992-1994. Aileen lives in Brooklyn with [REDACTED]
X	Cecilia Castro	<ul style="list-style-type: none"> • Cecilia Castro currently works at a dental office and is also the Parent Representative to the Board at Amber Charter School. Before serving at the Amber Board Cecilia volunteered at a Mount Carmel Holy Rosary Elementary School's Parent Association and at Lasalle Academy High School's Parents Association. Her previous volunteer work included assisting at open houses, dance events, and award ceremonies. Cecilia graduated from Norman Thomas High School. When Cecilia is not at Amber she is at Steven Kauftheil's D.D.S. Dental Office where she works as the Office Manager.

Add New Trustee

10. Overview of the Proposed Program

- Mission statement: Our mission is to provide our students an academically rigorous and well-rounded education, along with strong character development, that will enable them to prosper in top middle schools and beyond.
- Rationale for establishing the school: We have created a successful school and a great deal of extra demand. With approximately four students trying to get every one of Amber's open seats and an overall waitlist roughly the size of the entire school, we have decided that it is time to replicate Amber's elementary model
- Description of the school's key design elements:
 - Literacy: 90 minutes of instruction per day
 - Mathematics: 90 minutes of math instruction per day
 - Science: 90 minutes of science instruction per week
 - Social Studies: 90 minutes of social studies instruction per week
 - Spanish as a Foreign Language: All students will learn Spanish language and culture

- **Enrichment:** Students will have opportunities to learn: art, music, physical education, and Technology
- **School Culture:** A strong culture of respect for learning is fostered through the infusion of the Amber Way throughout the student and adult culture. The Amber Way teaches the following character traits: Achievement, comMunity, responsiBility, honEsty and Respect.
- **Service:** Every student is required to complete a community service project every year. In this way, students begin to know their community, its needs and strengths, and see themselves as a vital contributor of their community.
- **Number of days of instruction in a school year and typical hours of operation:** 180 days of instruction, typically from 8:10 am to 3:10 pm on Monday, Wednesday, Friday and 3:45 pm on Tuesday, Thursday.
- **Discussion of considered instructional materials to be used to implement the curriculum:** For Literacy Amber uses Journeys Common Core reading program. GO Math! is a focused program designed to meet the objectives and intent of the Common Core State Standards for Math. In Science students use K12 for grades Kindergarten to 3rd grade and in 4th and 5th grade the Scott Foresman Science program. The Social Studies curriculum integrates the languages arts into the teaching of social studies units where students investigate themes and topics about history, geography, economics, and civics. All students learn verbal communication skills in Spanish and gain cultural understanding of the countries that have Spanish as their main language.
- **Discussion regarding any unique characteristics of the program:** Amber has established a strong culture based on the Amber Way, which teaches the following character traits: Achievement, comMunity, responsiBility, honEsty and Respect.
- **Discussion of the school's instructional leadership model and supervision and support for teachers:** Amber II will have a Principal and Assistant Principal as well as two Staff Developers who provide ongoing coaching, observation and feedback, professional development and evaluation.
- **Summary of the management structure of the proposed school, e.g., instructional and operational leadership positions and lines of reporting:** The school leader will be an Executive Director who oversees both Amber I and II and supervises the school's Principal, who will be responsible for day-to-day affairs at the school. The Principal will supervise school-based staff, including a Business Manager who will handle operations and an Assistant Principal who will help to coordinate the academic program. Amber will also benefit from a Shared Services Team that provides back-office support to Amber schools, including finance, facilities, special education, and outreach.
- **Discussion of any intended relationships with management organizations (not-for-profit) or other partner organizations:** Not applicable
- **Information regarding the proposed location for the school:** Amber is considering the Sugar Hill Development in CSD 6 and the Our Savior Lutheran School in CSD 28.

1. Community Description, Need and Proposed School Impact

(a) Community Description and Need:

Provide an analysis of the community and target population for the school, including;

- A description of the community from which the proposed school intends to draw students;
- Community demographics;
- A description of the specific population of students the proposed school intends to serve;
- The applicants' rationale for selecting the community;
- Performance of local schools in meeting the need; and,
- How the proposed school provides a needed alternative for the proposed community.

Community Selection

As part of the strategic planning process that promulgated this proposal, Amber considered the following as potential geographic locations for its second school, hereafter referred to as Amber II:

1. Washington Heights in Manhattan
2. Marble Hill/Kingsbridge section of the Bronx
3. Lower East Side of Manhattan
4. Queens

In the Bronx, East Side, and Queens locations, there is a geographic ring that is connected by mass transit, and Washington Heights was a highly desired location as well due to community ties and high need. The general criteria used by the Amber Board of Trustees to greenlight a replication included:

1. Potential locations that are in need, with at least :
 - 70% or higher free/reduced lunch population
 - 40% or higher at Level 1 on NY State Exams (on average or by any one subgroup)
 - At least 70% Black and Latino population combined
 - Few or no charters/magnet schools (i.e., has little public choice)
2. Community receptivity to Amber and our mission.

Based on these criteria, Amber identified two high potential facilities located in Washington Heights in Manhattan (CSD 6) and in Queens (CSD 28).

Community Descriptions

Washington Heights: At the north end of the island of Manhattan, Washington Heights is bordered to the south by Harlem along 155th Street, Inwood to the north along Hillside

Avenue, the Hudson River to the west and the Harlem River and Coogan's Bluff to the east. The community is predominantly Hispanic, primarily Dominican. A study by the Latino Data Project at the CUNY Graduate Center's Center for Latin American, Caribbean and Latino Studies found the Hispanic population in Washington Heights/Inwood growing from 67% in 1990 to 73% in 2005 (Bergad, 2008). During the same time period the proportion of Whites in Washington Heights declined from 18 to 14 percent and non-Hispanic Blacks from 14% to 7%. In addition, 49% of residents are foreign born and 30% of the population lives below poverty level. While gentrification is a concern in this historic neighborhood, it is still a visibly Hispanic community with Spanish commonly heard on the street and seen on signage.

Queens: The neighborhoods in CSD 28 include Jamaica, one of the most diverse communities in New York. Historically predominantly African-American, in recent years Jamaica and surrounding neighborhoods have witnessed a sharp influx of other ethnicities, including West Indian, Indians, Arabs, Russians, Puerto Ricans, Dominicans and Filipinos.

District Descriptions

District Demographics¹

Characteristic	CSD 6	CSD 28
K-5 Enrollment	12,779	16,007
Eligible for Free Lunch	83%	60%
Eligible for Reduced Lunch	4%	10%
Limited English Proficient	36%	11%
Special Education	13%	12%
Black	7%	27%
Hispanic	88%	25%
Asian	1%	30%
White	3%	16%

Need for Amber Charter School II

District Overall Performance on 2012-13 State Tests (Percent Proficient)

Grade	CSD 6		CSD 28	
	ELA	Math	ELA	Math
3	17.7	20.8	32.4	37.0
4	13.4	20.1	29.4	38.1
5	17.1	17.3	32.2	33.7
6	11.0	15.5	28.9	35.3
7	13.2	12.5	28.3	28.6
8	13.1	15.0	31.0	28.5
All Grades	14.3	17.0	30.4	33.7

¹ All data from SED 2011-12 Report Cards except Special Education, which came from NYCDOE 2012-13 data

**District Special Education Performance
on 2012-13 State Tests (Percent Proficient)**

Grade	CSD 6		CSD 28	
	ELA	Math	ELA	Math
3	4.2	10.2	10.2	14.5
4	3.9	5.9	5.0	12.3
5	3.5	5.7	6.3	9.4
6	2.3	3.3	3.6	8.0
7	4.6	4.2	4.0	4.3
8	3.1	2.7	7.8	6.1
All Grades	3.6	5.3	6.1	9.1

**District English Language Learner Performance
on 2012-13 State Tests (Percent Proficient)**

Grade	CSD 6		CSD 28	
	ELA	Math	ELA	Math
3	6.4	8.8	7.6	15.1
4	1.6	6.5	4.0	15.8
5	2.2	5.0	2.4	7.6
6	0.2	3.9	2.4	8.4
7	0.6	1.6	0.5	4.8
8	1.5	2.9	1.6	8.5
All Grades	2.3	5.0	3.5	10.6

As can be seen in the tables above, the academic performance in these districts is quite low, especially for English language learners and students with disabilities. Less than one-third of students in CSD 28 are at acceptable levels and fewer than 1 in 5 students in CSD 6 is proficient in ELA and Math. Amber II will provide a needed alternative in these communities by offering a proven academic program that has been successful with students with the same backgrounds. Amber II will provide 90 minutes of instruction daily in both literacy and mathematics, as well as science, social studies, Spanish and enrichment classes for every grade. Students will experience a strong culture of respect for learning through the infusion of the “Amber Way,” which teaches the following character traits:

Achievement
community
responsibility
honesty
Respect

All students will complete a service project each year and benefit from contributing to their community. After 14 years of serving the children of East Harlem, Amber has forged a program that produces strong student performance and addresses the “whole” child through enrichment offerings. Amber II will be a unique option for students who deserve the choice of educational opportunity.

(b) Programmatic Impact

Describe the *programmatic* impact of the establishment of the proposed charter school on existing public and nonpublic schools in the same geographic area as the proposed school location. Responses should include:

- A table listing the existing educational options and grades served available to the target population including all district, charter, and private schools;
- Information demonstrating a thorough analysis of existing educational options for the existing community and target population;
- Analysis of how the proposed school’s enrollment plan will impact the enrollment and programmatic viability of the public and non-public schools; and,
- Analysis of the provision of novel or different programs or instructional approaches to those currently in place in the targeted community or population.

Existing Educational Options

DOE Schools: Below is a list of the schools that serve students in grades K-5 in the target communities.

CSD 6 DOE Schools

Name	Total Enrollment	% Free and Reduced Price Lunch	% ELL	% SPED	% Asian	% Black	% Hispanic	% White
PS 004 DUKE ELLINGTON	713	100*	34.1	12.2	0.4	8.8	90.2	0.6
PS 005 ELLEN LURIE	751	100*	35.8	12.8	0.5	6.9	92.1	0.1
PS 008 LUIS BELLIARD	588	97.8	34.2	12.1	0.3	4.6	94.6	0.5
PS 018 PARK TERRACE EARLY CHIL	424	100*	48.6	7.5	0.5		99.3	0.2
PS 028 WRIGHT BROTHERS	839	100*	39.3	13.3	0.2	13.2	84.3	2.0
PS 048 PO MICHAEL J. BUCZEK	638	93.3	32.9	18.0	1.6	1.6	93.1	3.3
PS 098 SHORAC KAPPOCK	613	87.3	31.0	10.4	1.1	3.3	93.6	1.8
PS 115 ALEXANDER HUMBOLDT	603	95.9	27.5	10.8		1.0	97.7	1.2

Name	Total Enrollment	% Free and Reduced Price Lunch	% ELL	% SPED	% Asian	% Black	% Hispanic	% White
PS 128 AUDUBON	595	94.5	28.7	13.1	0.2	3.2	96.5	0.2
PS 132 JUAN PABLO DUARTE	763	100*	46.7	14.3	0.4	0.5	97.4	1.4
PS 152 DYCKMAN VALLEY	706	90.8	25.1	13.6	0.3	2.3	96.5	1.0
PS 153 ADAM CLAYTON POWELL	942	89.1	27.8	13.0	1.4	17.1	78.7	2.4
PS 173	701	87.9	16.7	10.6	1.0	2.6	93.3	2.7
PROF. JUAN BOSCH PUBLIC SCHOOL	218	75.7	20.6	21.6	1.8	3.7	82.6	11.5
PS 187 HUDSON CLIFFS	776	48.1	8.0	11.6	3.7	2.3	56.8	33.8
PS 189	1,094	91.3	31.8	11.1	0.3	0.4	97.8	1.4
PS 192 JACOB H SCHIFF	381	94.5	23.1	12.3	0.8	5.0	91.9	1.8
PS 210 21ST CENT ACAD	463	94.8	43.4	16.4	0.4	3.0	96.1	0.4
P.S./I.S. 278	514	72.0	13.4	11.1	3.1	2.7	80.2	13.6
AMISTAD DUAL LANGUAGE SCHOOL	432	76.4	22.7	12.3	2.1	1.4	87.5	8.1
MUSCOTA	249	43.4	7.2	9.6	5.6	7.6	53.0	32.1
PS 325	296	94.6	35.5	23.6	0.3	6.1	91.2	2.4
WASHINGTON HEIGHTS ACADEMY	395	85.3	20.3	5.8	1.8	1.3	92.9	2.5
HAMILTON HEIGHTS SCHOOL	240	73.3	21.7	8.7	5.4	24.6	59.2	9.2

CSD 28 DOE Schools

Name	Total Enrollment	% Free and Reduced Price Lunch	% ELL	% SPED	% Asian	% Black	% Hispanic	% White
PS 030 QUEENS	194	83.0	3.6	28.9	1.0	7.1	8.2	2.6
PS 040 SAMUEL HUNTINGTON	557	91.4	5.9	11.0	4.8	62.5	23.3	7.4
PS 048 WILLIAM WORDSWORTH	467	79.4	4.5	13.5	9.2	73.2	13.7	
PS 050 TALFOURD LAWN ELEMENTARY SCHOOL	765	95.0	15.3	10.2	15.2	27.1	41.3	2.1
PS 054 HILLSIDE	568	100*	18.1	15.3	34.2	9.7	48.4	5.1
PS 055 MAURE	538	81.6	6.3	15.4	56.5	12.8	26.2	1.5
PS 080 THURGOOD MARSHALL MAGNET	580	84.3	2.8	22.6	2.6	87.8	7.1	1.2
PS 082 HAMMOND	648	100*	25.3	10.6	30.9	9.6	56.8	2.5
PS 086 QUEENS	953	100*	26.8	9.1	52.3	12.1	30.3	4.1

Name	Total Enrollment	% Free and Reduced Price Lunch	% ELL	% SPED	% Asian	% Black	% Hispanic	% White
PS 099 KEW GARDENS	819	69.2	11.7	13.8	25.0	7.1	39.2	28.1
PS 101 SCHOOL IN THE GARDENS	626	16.9	4.3	6.2	33.1	3.0	12.3	46.2
PS 117 J.KELD/BRIARWOOD SCH	1,044	100*	9.5	11.4	37.4	10.3	32.6	17.3
PS 121 QUEENS	810	86.5	2.5	8.6	30.9	18.1	12.0	0.7
PS 139 REGO PARK	887	64.5	14.0	11.7	26.6	3.2	34.5	34.7
PS 140 EDWARD K ELLINGTON	636	89.3	2.4	12.4	2.4	72.0	15.6	1.1
PS 144 COL JEROMUS REMSEN	785	28.3	4.6	10.4	36.3	3.3	14.5	38.3
PS 160 WALTER FRANCIS BISHOP	676	88.9	3.8	17.0	12.3	59.8	17.8	2.1
PS 161 ARTHUR ASHE SCHOOL	664	92.8	10.4	11.0	64.2	6.9	17.3	2.4
PS 174 WILLIAM SIDNEY MOUNT	632	39.2	7.4	9.7	33.5	4.4	24.8	34.5
PS 175 THE LYNN GROSS DISCOVERY SCHOOL	733	63.7	7.2	9.8	16.8	1.8	13.1	67.9
PS 182 SAMANTHA SMITH	859	95.8	32.9	11.8	28.9	15.5	51.3	1.7
PS 196 GRAND CENTRAL PKWY	689	21.8	4.8	9.3	41.4	1.5	13.4	38.6
PS 206 HORACE HARDING	624	78.4	16.3	9.0	17.6	19.2	33.2	28.4
PS 220 EDWARD MANDEL	647	78.7	17.8	12.8	27.4	9.7	23.6	37.6
THE ACADEMY FOR EXCELLENCE THROUGH THE ARTS	211	17.1	1.4	10.0	23.2	3.8	20.4	50.7
PS 354	355	88.2	2.8	12.1	3.1	87.6	7.6	1.1

Charter Schools: In each district there is only one operating elementary charter school:

Charter Schools

CSD 6	CSD 28
<ul style="list-style-type: none"> Global Community Charter School 	<ul style="list-style-type: none"> Rochdale Early Advantage Charter School

Private Schools: Below is a list of private and parochial schools in the vicinity of our proposed locations:

Private Schools

CSD 6	CSD 28
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<ul style="list-style-type: none"> • St. Elizabeth School • Yeshiva University High School for Boys - St Rose of Lima • The School of The Incarnation • St Spyridon Elementary School • BeisHamidrashJeshurun • Yeshiva Rabbi S R Hirsch • Herbert G. Birch School for Exceptional Children, • Manhattan Christian Academy • St. Jude School • Good Shepherd School • Our Lady Queen of Martyrs • Yeshiva Rabbi Samson Raphael 	<ul style="list-style-type: none"> • St. Margaret's School • Forest Hills Montessori School • Resurrection Ascension School • Life-Skills School (The) • Jewish Institute of Queens • Our Lady of the Angelus • Our Lady of Mercy School • Sacred Heart School • Our Lady of Hope Elementary School • The Montessori School of New York - Queens • Ming Yuan Chinese • Ascension School • St. Adalbert Elementary School • Our Lady Queen of Martyrs School • Khan Education Center • Yeshiva Tifereth Moshe Dov Rev • BnosMalka Academy • Sha'Arei Zion OhelBracha • Redeemer Lutheran School • St. Pancras School
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Impact Analysis

Other Schools: Amber II will have a positive impact on the local communities by providing a high performing educational option. The school will be small, serving approximately 125 students per grade, which should not draw a significant number of students from any one school in the community. As a secular school of choice targeting disadvantaged students, Amber II is unlikely to compete with parochial and private schools, though it may draw some students whose parents would prefer a free education option and have heretofore been unwilling to place their children in the existing public schools. While some of the schools in the community provide one or more of Amber’s key design elements, we know of no other schools in the community that offer the combination of unique academic program, school culture and professional environment provided by the Amber model.

Amber I: The original Amber Charter School is well-established in the community it serves. It has a private facility, a stable staff and high demand for enrollment. The creation of Amber II should not have a negative effect on the original school it replicates. There will be some adjustment as the current Amber Head of School/Principal transitions into her role as Executive Director of both Amber schools and a number of her current administrative staff become members of the proposed Shared Service Team. Nevertheless, this is a strong administrative team that has strategically planned for this expansion and with the hiring of additional school-based support staff has the capacity to support both schools.

In addition, the economies of scale generated by this replication model are an advantage to the original school in that it will now share some administrative costs that previously it bore on its own. Moreover, the expansion of faculty who will collaborate across schools on curriculum and professional development reduce the isolation many teachers experience in small schools.

1. Community Description, Need and Proposed School Impact

(c) Fiscal Impact

Complete the following table and discuss the fiscal impact of the school on other public and non-public schools in the area, including;

- Enrollment expectations (which should be consistent with Responses 4 and the 5-year budget projection);
- Per Pupil Allocation assumptions;
- Dollar amount the proposed charter school anticipates receiving from each district in Per Pupil Funding;
- Other projected revenue the proposed charter school anticipates receiving from the district (special education, grant, etc.);
- Projected Budget for the school district of location; and,
- Projected impact as a percentage of dollars of each sending district's budget (with more than 10 students projected to attend the charter school) for each year.

Operational Year (A)	Enrollment (# of Students) (B)	Per Pupil Allocation (C)	Projected Per Pupil Charter Cost (B x C = D)	Other Projected District Revenue (SPED Funding, Food, Service, Grants, etc.) (E)	Total Projected Funding to Charter School from District (D + E = F)	Total Budget for District (G)	Projected Impact (i.e. % of District's Overall Funding) ((F / G) x 100 = H)
2015 – 2016	250	13527	\$3,381,750	\$450,240	\$3,831,990	\$19,800,000,000	0.02%
2016 – 2017	366	13527	\$4,950,882	\$659,151	\$5,610,033	\$20,394,000,000	0.03%
2017 – 2018	473	13527	\$6,398,271	\$851,854	\$7,250,125	\$21,005,820,000	0.03%
2018 – 2019	565	13527	\$7,642,755	\$1,017,542	\$8,660,297	\$21,635,994,600	0.04%
2019 – 2020	650	13527	\$8,792,550	\$1,170,624	\$9,963,174	\$22,285,074,438	0.04%

We assume that per pupil charter school funding will not increase, but that the NYCDOE budget will increase by 3% annually, using the 2013-14 operating budget as a starting point. As a result, the fiscal impact will be a small fraction of one percent of the district's budget each year. This will have a negligible impact on the district. While the school may draw disproportionately from certain schools in its community school district, Amber II's relatively small enrollment size per grade will limit its impact on any schools in its vicinity.

2. Addressing the Need**(a) Mission and Vision**

If the proposed school is adopting the same mission and vision as the replicating school, incorporate the programs by reference per the instructions above. If applicable, note any changes to the original mission and vision and indicate if these changes pertain to the proposed school only, or would modify the terms of the entire education corporation.

Response incorporated by reference to Amber Third Renewal Charter, Section 2.1

- **Note:** In a letter dated July 12, 2012 Amber received approval from the SUNY Charter Schools Institute to change its mission statement to:

Our mission is to provide our students an academically rigorous and well-rounded education, along with strong character development, that will enable them to prosper in top middle schools and beyond.

(b) Key Design Elements

If the proposed school is adopting the replicating school’s key design elements, incorporate the Key Design Elements by reference per the instructions above. If applicable, note any changes to the original model and indicate if these changes pertain to the proposed school only, or would modify the terms of the entire education corporation. Any changes should not exceed five (5) pages in length.

Response incorporated by reference to Amber Third Renewal Charter, Section 2.4

(c) 5% Districts

If the proposed charter school will be located in a district where more than five percent of students are enrolled in charter schools, either provide evidence that the school district of location approves of the establishment of the proposed charter school or explain how the proposed charter school will have a “significant educational benefit” to the students who attend that school. A complete list of 5% districts can be found in the accompanying Guidance Handbook. Note that at this time SUNY anticipates that the NYC School District will be over the 5% threshold.

Amber has not received approval from the district of location; however, Amber Charter School II will have a significant educational benefit to the students who attend by providing:

- **Literacy:** 90 minutes of instruction per day
- **Mathematics:** 90 minutes of math instruction per day
- **Science:** 90 minutes of science instruction per week

- **Social Studies:** 90 minutes of social studies instruction per week
- **Spanish as a Foreign Language:** All students will learn Spanish language and culture
- **Enrichment:** Students will have opportunities to learn: art, music, physical education, and Technology
- **School Culture:** A strong culture of respect for learning is fostered through the infusion of the Amber Way throughout the student and adult culture. The Amber Way teaches the following character traits: Achievement, comMunity, responsiBility, honEsty and Respect.
- **Service:** Every student is required to complete a community service project every year. In this way, students begin to know their community, its needs and strengths, and see themselves as a vital contributor of their community.

Amber provides a unique school option in communities where parents have few if any opportunities for enrolling their child in a high performing school.

Accountability Plan for the Charter Period 2015-16 to 2019-20**Academic Goals****ENGLISH LANGUAGE ARTS**

Goal 1: All students at Amber Charter School will become proficient readers and will make strong yearly progress towards mastery of English language reading skills.

Goal 1a: Absolute Measure: Each year, 75 percent of all tested students who are enrolled in at least their second year will perform at or above Level 3 on the New York State English language arts examination.

Goal 1b: Absolute Measure: Each year, the school's aggregate Performance Index (PI) on the State English language arts exam will meet the Annual Measurable Objective (AMO) set forth in the state's NCLB accountability system.

Goal 1c: Comparative Measure: Each year, the percent of all tested students who are enrolled in at least their second year and performing at or above Level 3 on the State English language arts exam will be greater than that of all students in the same tested grades in the local school district.

Goal 1d: Comparative Measure: Each year, the school will exceed its predicted level of performance on the State English language arts exam by at least a small Effect Size (performing higher than expected to a small degree) according to a regression analysis controlling for students eligible for free lunch among all public schools in New York State.

Goal 1e: Growth Measure: Each year, each grade-level cohort will reduce by one-half the gap between the percent at or above Level 3 on the previous year's State English language arts exam and 75 percent at or above Level 3 on the current year's State English language arts exam. If a grade-level cohort exceeds 75 percent at or above level 3 in the previous year, that cohort is expected to show at least an increase in the current year.

Goal 1f: Optional Measure (Growth): Each year grade-level cohorts of students in grades K-2 will reduce by one-half the gap between their average NCE in the previous Spring on the Terra Nova, a nationally-normed reading test, and an NCE of 50 (i.e., grade level) in the current Spring. If a grade-level cohort exceeds an NCE of 50 in the previous year, the cohort is expected to show at least an increase in the current year.

MATHEMATICS

Goal 2: All students at Amber Charter School will become proficient readers and will make strong yearly progress towards mastery of mathematical skills.

Goal 2a: Absolute Measure: Each year, 75 percent of all tested students who are enrolled in at least their second year will perform at or above Level 3 on the New York State mathematics examination.

Goal 2b: Absolute Measure: Each year, the school's aggregate Performance Index (PI) on the State mathematics exam will meet the Annual Measurable Objective (AMO) set forth in the state's NCLB accountability system.

Goal 2c: Comparative Measure: Each year, the percent of all tested students who are enrolled in at least their second year and performing at or above Level 3 on the State mathematics exam will be greater than that of all students in the same tested grades in the local school district.

Goal 2d: Comparative Measure: Each year, the school will exceed its predicted level of performance on the State mathematics exam by at least a small Effect Size (performing higher than expected to a small degree) according to a regression analysis controlling for students eligible for free lunch among all public schools in New York State.

Goal 2e: Growth Measure: Each year, each grade-level cohort will reduce by one-half the gap between the percent at or above Level 3 on the previous year's State mathematics exam and 75 percent at or above Level 3 on the current year's State mathematics exam. If a grade-level cohort exceeds 75 percent at or above level 3 in the previous year, that cohort is expected to show at least an increase in the current year.

Goal 2f: Optional Measure (Growth): Each year grade-level cohorts of students in grades K-2 will reduce by one-half the gap between their average NCE in the previous Spring on the Terra Nova, a nationally-normed mathematics test, and an NCE of 50 (i.e., grade level) in the current Spring. If a grade-level cohort exceeds an NCE of 50 in the previous year, the cohort is expected to show at least an increase in the current year.

SCIENCE

Goal 3: All students at Amber Charter School will become proficient in science and will make strong yearly progress towards mastery of scientific skills.

Goal 3a: Absolute Measure: Each year, 75 percent of all tested students who are enrolled in at least their second year will perform at or above Level 3 on the New York State science examination.

NCLB

Goal 5: Under the state's accountability system, the school's Accountability Status will be "Good Standing" each year.

OPTIONAL GOALS

PARENT SATISFACTION

Goal 6: Amber will maintain strong parent interest.

Goal 6a: Absolute Measure: Each year, parents will express satisfaction with the school program, based on the school's Parent Survey in which at least two-thirds of *all* parents provide a positive response to each of the survey items.

Goal 6b: Absolute Measure: Each year 90 percent of the parents will participate in Parent Teacher Conferences and Primary Language Interviews.

STUDENT SATISFACTION

Goal 7: Amber will maintain strong student enrollment, interest and engagement.

Goal 7a: Absolute Measure: Each year, the school will have a daily student attendance rate of 95 percent.

LEGAL COMPLIANCE

Goal 8: Amber will be in legal compliance.

Goal 8a: Absolute Measure: Each year, the school will generally and substantially comply with all applicable laws, rules and regulations, including, but not limited to, the New York Charter Schools Act, the New York Freedom of Information Law, the New York Open Meetings Law, the federal individuals with Disabilities Education Act, and federal Family Educational Rights and Privacy Act, and the provisions of its by-laws and charter.

Goal 8b: Absolute Measure: Each year, the school will have in place and maintain effective systems, policies, procedures and other controls for ensuring that legal and charter requirements are met.

Goal 8c: Absolute Measure: Each year, the school will maintain a relationship with independent legal counsel that reviews relevant policies, documents, and incidents and makes recommendations as needed, and in proportion to the legal expertise on the board of trustees, if any.

FISCAL SOUNDNESS

Goal 9: Amber will make sound decisions and effective, responsible use of financial resources to maximize student learning.

Goal 9a: Absolute Measure: Each year, the school will operate on a balanced budget meaning actual revenues will equal or exceed actual expenses.

Goal 9b: Absolute Measure: Beginning with the school's first operating year, at the end of each fiscal year, unrestricted net assets will be equal to or exceed two percent of the school's operating budget for the upcoming year.

Goal 9c: Absolute Measure: Each year, the school will take corrective action, if needed, in a timely manner to address any internal control or compliance deficiencies identified by its external auditor, SED, or the Institute.

3. Proposal History

(a) Applicant Information

Provide a brief description of the applicant(s) including relevant background and experience and whether each applicant is a parent, teacher, administrator and/or community resident as required by the Act.

If the proposal is to add a new school to an existing Education Corporation, simply include the name of the replicating Education Corporation in this response, and include the name of the board chair as the nominal applicant. No further information is required in this section.

Amber II is proposed to be added to an existing Education Corporation and the applicant is Dr. Vasthi R. Acosta, Head of School/Principal at the current Amber Charter School.

- **Name of Replicating Education Corporation:** Amber Charter School
- **Name of Board Chair:** David Briggs

(b) Community Outreach

Explain:

- **The methods used to inform stakeholders in the intended community about the proposed charter school;**
- **The strategies used to solicit community input regarding the educational and programmatic needs of students and the plan to meet those needs;**
- **The form and nature of feedback received from community stakeholders and the process for incorporating that feedback into the submitted proposal; and**
- **The extent to which, if at all, community input regarding the educational and programmatic needs of students was incorporated into the final proposal.**

Methods to Inform Stakeholders

After the Board of Trustees voted to replicate the original Amber Charter School at their Board Retreat on January 23, 2014, a press release announcing this decision was released on January 30, 2014. The press release informed the existing school community and the larger public that an application to open a charter school would be submitted to SUNY Trustees. It identified the key design elements of the charter school, the intended grades, and the targeted geographic areas. The press release was forwarded to the following on-line, print, and radio outlets:

- NY Daily News
- NY Post
- NYC Channel 1
- WCBS 880 AM
- El Diario/La Prensa
- 1010 WINS
- Radio Wado
- Manhattan Times
- Bronx Free Press
- Queens Chronicle
- Queens Patch

Opportunities for Input

Survey: A survey was created to solicit input from the community on Amber's proposed new charter school. As of Monday, March 10, 2014, there have been 338 responses to the survey. The survey may be seen online at <https://www.surveymonkey.com/s/amberfeedback>. Notice of the survey was sent via email and /or regular mail to the following parties in CSD 6 and CSD 28:

- Local politicians
- Local churches
- Local charter schools
- Local community based organizations
- Amber families and friends
- Local pediatricians
- Local health clinics

Community Meeting: A community meeting was held on Tuesday, February 18, 2014 at Amber Charter School to allow community members the opportunity to ask questions, voice concerns, and share ideas regarding the proposal. A press release informed the public of this meeting and the opportunity to use the survey. A flyer was also posted and distributed announcing the public community meeting; it was placed as an ad in the *Manhattan Times*, a local periodical for CSD6, and the *Queens Chronicle*, a local periodical for CSD 28.

Community Planning Boards: The local community planning boards and community school districts have been contacted to request an appointment to have a representative from Amber report on the proposal and receive feedback.

Community Feedback

The number of applications received by the initial Amber is seven-fold to the number of spaces available. The idea to replicate Amber resulted from a desire to respond to the continued demand from parents and community members for school options.

It was important to Amber to incorporate community feedback in the development of the proposal and it reviewed carefully all of the responses received from the survey, meetings

with key community members, the public meeting, and parents. 87% of survey respondents answered in the affirmative to the question: “Do you think there is a need for a program such as this in your neighborhood?” Qualitative feedback about the school model included:

- Recommendation: There should be an Amber Charter JHS! Please consider this.
- Amber should collaborate with Asphalt Green to provide swimming lessons for the children.
- Offer another language besides Spanish, possibly Mandarin which will have a more global impact. Use NYC as part of your classroom. The city has so many resources that can be used for hands on learning.
- Yes more learning and less focus on testing. There should be testing but it don't like the core standard testing. When you prepare for your career you do not use Core standards, college prepares you for your career.
- Advanced technology - robotics, game design, etc.
- Cultural appreciation
- Teacher assistants are needed for grade 3 since it’s the first grade taken state exams
- Admission I would like to see Amber charter school have middle school and high schools for single struggling parents
- French and Violin lesson

Another key piece of feedback from community outreach is the importance of establishing a community partner in the new community where Amber will open a school and working together to address the needs of that community. Amber is considering locating its replication school in two communities and has established connections in those communities through which to explore the proposal. Already Amber has formed a close partnership with the leadership of the Lutheran Church Our Savior and their governing body The Lutheran Church Missouri Synod in CSD 28. Amber has also established a partnership with the Broadway Housing Communities Sugar Hill Development in CSD6. This has been a long standing partnership where the Dorothy Day Care Center housed in one of Broadway Housing Centers has been a feeder to Amber Charter School’s kindergarten classes.

(c) Evidence of Outreach

This response should include concrete and detailed evidence that the applicants conducted community outreach.

See Response 3(c) – Outreach Evidence

- Attachment A: Press release 1 & 2
- Attachment B: Survey

- Attachment C: Letter to community members and recipient list
- Attachment D: Media outlets
- Attachment E: Public meeting flyer and newspaper advertisement
- Attachment F: Letters of partnership and support

4. School Enrollment

Use the following table to submit student enrollment information for the first five (5) operational years of the proposed charter school, including:

- Ages of the students to be served in each grade (for Kindergarten, indicate the date by which a student must turn five in order to be eligible to enroll in the charter school (December 1 or 31);
- Number of students to be served in each grade;
- Total number of enrolled students for each year of the charter term;
- Classes per grade;
- Average number of students per class; and
- Place an asterisk (*) next to the grades in which the school would enroll new students.

Amber II Enrollment

Grades	Ages	Number of Students				
		Year 1 2015-16	Year 2 2016-17	Year 3 2017-18	Year 4 2018-19	Year 5 2019-20
K*	4-5	125	125	125	125	125
1*	5-6	125	125	125	125	125
2	6-7	-	116	116	116	116
3	7-8	-	-	107	107	107
4	8-9	-	-	-	92	92
5	9-10	-	-	-	-	85
Total Students		250	366	473	565	650
Classes Per Grade		5	5	4-5	4-5	4-5
Average Number of Students Per Class		25	25	24	24	23

- Aggregate number of students attending all of the education corporation's schools for each year of this proposal's charter term (which may assume renewal of the existing school(s)); and any differences in eligible or minimum age in the same grades between schools.

Amber I and II Enrollment

Grades	Ages	Number of Students				
		Year 1 2015-16	Year 2 2016-17	Year 3 2017-18	Year 4 2018-19	Year 5 2019-20
K*	4-5	225	225	225	225	225
1*	5-6	225	225	225	225	225
2	6-7	93	209	209	209	209
3	7-8	86	86	193	193	193
4	8-9	67	74	74	166	166
5	9-10	50	56	62	68	153
Total Students		746	875	987	1085	1170

There will be no differences in eligible or minimum age in the same grades between schools in the education corporation.

5. Curriculum and Instructional Design

If the proposed school is adopting the replicating school's academic program, incorporate the program by reference per the instructions above. If applicable, note any changes to the original model and indicate if these changes pertain to the proposed school only, or would modify the terms of the entire education corporation. Describe any changes under the relevant headings below:

- (a) Curriculum Selection and Process**
- (b) Assessment System**
- (c) Instructional Methods**
- (d) Course Overview**
- (e) Promotion and Graduate Policy**

Note that applicants who propose a significantly different academic model for the proposed new school than the replicating school should not use the Replication Requests, and should instead use the Standard Requests.

Response incorporated by reference to Amber Third Renewal Charter, Section 2.4

- **Note:** Minor changes were made to Amber's promotion policy in 2013 and are attached on the following page. This policy will apply to the entire education corporation.

Promotion Policy

In addition to the policy stated in the Parent handbook, the following guidelines must be followed for student promotion:

Non -Testing Grades (K-2)

Student will not be promoted if:

- They score in the composite¹ Reading portion of the Terra Nova Exam below the average or score below grade level on the DRA; **and**
- They score in the composite Math portion of the Terra Nova Exam below the average.

Testing Grades (3-5)

Student will not be promoted if:

- They scored below a mid Level 2 in the ELA NY State Test.
 - 3rd grade raw score of 632 or below
 - 4th grade raw score of 632 or below
 - 5th grade raw score of 633 or below, **and**

If state scores have not been received by the first week in June a student will not be promoted if they score below grade level on the DRA or score in the composite Reading portion of the Terra Nova below the average.

- They scored below a mid Level 2 in the Math NY State Test.
 - 3rd grade raw score of 632 or below²
 - 4th grade raw score of 632 or below
 - 5th grade raw score of 633 or below.

If state scores have not been received by the first week in June a student will not be promoted if they score in the composite Math portion of the Terra Nova below the average.

OR

Attendance and Tardiness

Student will not be promoted if:

- They have had twenty or more days of unexcused³ absences. Three unexcused tardy equal one absence.

IEP Students

Students must meet the promotion criteria as outlined in their IEP and absent of such criteria due consideration of other academic and socio/emotional factors as determined by school administration.

English Language Learners

Students will be promoted if deemed ready to succeed in the next grade with ESL support services.

Based on these guidelines and other performance indicators all final decisions regarding promotion will be determined by Head of School.

¹ Approved June 8, 2011.

¹ Composite includes all literacy strands and math strands.

² Or the prevailing scale score for mid level 2.

³ An unexcused absence is anything except: death in the family, family crisis, religious holiday, special circumstances, and illness (all must be accompanied by a doctor and/or parent note to be deemed excused).

6. Calendar and Schedules**(a) School Calendar**

Provide the following:

- **The first and last days of school for the opening school year.**
- **The total full days of instruction for the school year.**
- **The total days and/or hours of professional development for teachers.**
- **The total family conference days for the school year.**
- **The total days of supplementary programming (e.g., summer school).**

If the number of days of instruction is different than the replicating school, provide a rationale for this difference and indicate if this change would apply to all schools in the educational corporation, or this school only.

First day of school: September 8, 2015

Last day of school: June 21, 2016

Total instructional days: 180

Total PD days: 14 (6 are ½ days)

Total family conference days: 2

Total days of supplementary programming: 10 Saturday Academy days

The Amber school calendar will be the same for both the original Amber Charter School and the proposed replication school, and is presented on the following page. It generally follows the NYCDOE school calendar with regards to holidays and vacations. Teachers start a week before students in order to participate in Summer Institute for planning and professional development.

Proposed 2015-2016 School Calendar

Events and Holidays	S	M	T	W	T	F	S	S	M	T	W	T	F	S
	July							January						
August:				1	2	3	4						1	2
31 Summer Institute	5	6	7	8	9	10	11	3	4	5	6	7	8	9
September:	12	13	14	15	16	17	18	10	11	12	13	14	15	16
1-4 Summer Institute	19	20	21	22	23	24	25	17	18	19	20	21	22	23
7 Labor Day	26	27	28	29	30	31		24	25	26	27	28	29	30
8 School Year Begins								31						
14: Rosh Hashanah	August							February						
23: Yom Kippur							1		1	2	3	4	5	6
October:	2	3	4	5	6	7	8	7	8	9	10	11	12	13
12 Columbus Day	9	10	11	12	13	14	15	14	15	16	17	18	19	20
30 PD ½ Day	16	17	18	19	20	21	22	21	22	23	24	25	26	27
November:	23	24	25	26	27	28	29	28	29					
11 Veteran's Day	30	31												
24 PTC ½ Day	September							March						
25 PD ½ Day			1	2	3	4	5			1	2	3	4	5
26-27 Thanksgiving	6	7	8	9	10	11	12	6	7	8	9	10	11	12
December:	13	14	15	16	17	18	19	13	14	15	16	17	18	19
23-31 Winter Break	20	21	22	23	24	25	26	20	21	22	23	24	25	26
January:	27	28	29	30				27	28	29	30	31		
1 Winter Holiday														
9,16,23,30 Saturday Academy	October							April						
18 MLK Day					1	2	3						1	2
29: PD ½ Day	4	5	6	7	8	9	10	3	4	5	6	7	8	9
February:	11	12	13	14	15	16	17	10	11	12	13	14	15	16
6,13,20 Saturday Academy	18	19	20	21	22	23	24	17	18	19	20	21	22	23
15 President's Day	25	26	27	28	29	30	31	24	25	26	27	28	29	30
22-26 Winter Recess														
March:	November							May						
5,12,19 Saturday Academy	1	2	3	4	5	6	7	1	2	3	4	5	6	7
24: PTC ½ Day	8	9	10	11	12	13	14	8	9	10	11	12	13	14
28-31 Spring Break	15	16	17	18	19	20	21	15	16	17	18	19	20	21
April:	22	23	24	25	26	27	28	22	23	24	25	26	27	28
1 Spring Break	29	30						29	30	31				
29: PD ½ Day														
May:	December							June						
27: PD ½ Day			1	2	3	4	5				1	2	3	4
30 Memorial Day	6	7	8	9	10	11	12	5	6	7	8	9	10	11
June:	13	14	15	16	17	18	19	12	13	14	15	16	17	18
24 School Year Ends	20	21	22	23	24	25	26	19	20	21	22	23	24	25
	27	28	29	30	31			26	27	28	29	30		
*Number of days of instruction may differ depending on factors such as snow days.														

(b) School Schedule**Provide the following:**

- The school start and end times.
- The total hours of core academic instruction per day.
- Time committed to non-instructional activities per day.

Include the total number of instructional days and/or hours for the school year. If the number of hours of instruction is different than the replicating school, provide a rationale for this difference and indicate if this change would apply to all schools in the educational corporation, or this school only.

School start time: 8:10 am

School end time: 3:10 pm Monday, Wednesday, Friday
3:45 pm Tuesday, Thursday

Total hours of core academic instruction per day: 6.0 hours Monday, Wednesday, Friday
6.35 hours Tuesday, Thursday

Total hours non-instructional activities per day: 1 hour Monday, Wednesday, Friday
1 hour Tuesday, Thursday

Sample 1st Grade Student Schedule

	Monday	Tuesday	Wednesday	Thursday	Friday
8:10 -8:20	Morning Routines	Morning Routines	Morning Routines	Morning Routines	Morning Routines
8:20-9:05	Math Block	Math	Math	Math	Math
9:05-9:50					
9:50-10:35	Literacy Block	Literacy Block	Literacy Block	Literacy Block	Literacy Block
10:35-11:20					
11:25-12:25	Lunch/Recess	Lunch/Recess	Lunch/Recess	Lunch/Recess	Lunch/Recess
12:25-1:25	Social Studies	Science	Social Studies	Science	Social Studies
1:25-2:10	Music	Spanish	Art	Music	PE
2:10-2:55	Independent Writing	Independent Reading	Independent Writing	Independent Reading	Independent Writing
2:55-3:40		RTI ELA		RTI Math	

7. Specific Populations**(a) Struggling Students**

Discuss the proposed school's methods and strategies for identifying and serving students who are struggling academically and at-risk of academic failure, including:

- How the school will determine and identify which students are struggling, including within the context of a Response to Intervention (RtI) program. The applicant should clearly define the term "struggling student" as it would be applied in the school;
- The strategies, programs and resources (including personnel) the school will devote to assisting struggling students both within general education classrooms and in other settings, e.g., planning time, small group instruction, tutoring, targeted assistance, technology, staff and consultants, etc.;
- Any research or evidence that supports the appropriateness of the proposed approach; and,
- The process that the school will use to evaluate the efficacy of the program and ensure that the school is meeting the needs of these students.

(b) Students with Disabilities

Discuss the proposed school's methods and strategies for identifying and serving students with disabilities in compliance with all federal laws and regulations. Please refer Appendix B – Assurances Regarding the Provision of Special Education Services when creating this response as, if approved, the final charter will incorporate by reference the assurances found in this document. Include:

- A statement agreeing to abide by all of the assurances found in Appendix B of this RFP – Special Education Assurances (see Appendix B).
- The process for identifying students with disabilities (child find), especially within the context of the school's RtI process;
- The resources, personnel (including administrative responsibilities), direct and related services the school is likely to provide both within general education classrooms and in other settings (e.g., planning time, instructional materials, technology, professional development, staff and consultants, etc.);
- The services or settings that will be provided by the school district of the student's residency or through a third party contract;
- Any research or evidence that supports the appropriateness of the school's approach to serving students with disabilities;
- The process for coordination between general education teachers and special education teachers or service providers;
- The process that will be used to monitor the achievement and progress of

students with disabilities;

- The process that will be used to evaluate the efficacy of the program and ensure that the needs of these students are being met; and,
- Specific professional development for identifying, supporting and evaluating the progress of special education students including the implementation of RtI and behavioral intervention plans in the classroom.

(c) English Language Learners

Discuss the proposed school's methods and strategies for identifying and serving ELLs in compliance with all federal laws and regulations, including;

- The process for identifying students whose first language is not English and the methods for determining the scope of assistance that these students may need, including how the school will ensure that they are not inappropriately identified as students with special education needs;
- The approach, resources, and personnel (including qualifications and reflecting associated administrative responsibilities) the school will use to meet the needs of ELLs (both within general education classrooms and in other settings);
- The research and evidence that supports the appropriateness of this approach;
- The process for coordination between general education teachers and staff serving ELLs;
- The process that will be used to monitor the achievement and progress of ELLs, including exit criteria;
- The process that will be used to evaluate the efficacy of the program and ensure that the needs of ELL students are being met;
- How the school will make all necessary materials available to parents of ELLs in a language that they can understand; and,
- How the school will make after school and other extra-curricular programming available to ELLs.

(d) Gifted and Advanced Students

Discuss the proposed school's methods and strategies for identifying and serving students who are academically advanced and/or gifted and at risk of not being adequately served, including;

- How the school will determine and identify advanced and/or gifted and talented students. The applicant should define the term "advanced student" as s/he deems appropriate;
- Strategies and/or programs the school will use to accelerate learning for advanced students and/or gifted (both within general education classrooms and in other settings);
- The resources the school will devote to serving advanced students and/or gifted (e.g., enrichment activities, instructional materials, technology, staff

- and consultants, etc.);**
- Research or evidence that supports the appropriateness of this approach;**
- Personnel that the school will devote to serving advanced and/or gifted students; and,**
- Process that will be used to evaluate the efficacy of the program and ensure that the needs of these students are being met.**

Response incorporated by reference to Amber Third Renewal Charter, Sections 2.4 and 3.1

8. Instructional Leadership**(a) Instructional Leadership Roles**

Describe instructional leadership in the school over the first five years of operation, including;

- **Specific roles and responsibilities of the personnel who would provide instructional leadership in the proposed school;**
- **The process and criteria for identifying and selecting instructional leaders, and,**
- **How instructional leaders will monitor the effectiveness of the academic program.**

Instructional Leaders:

- **Executive Director:** The Executive Director will be the instructional leader of the school and set all expectations for teaching and learning.
- **Principal and Assistant Principal:** On a day-to-day basis the Principal and Assistant Principal will provide direct instructional leadership to Amber II's teaching staff. They will coordinate professional development, conduct formal and informal observations, and collect other evidence of teacher performance.
- **Special Education Coordinator:** The Special Education Coordinator supervises and supports special education teachers and provides training and support to all instructional staff on RTI, special education identification, accommodations, strategies and assessment.
- **Staff Developers:** The Staff Developers coach, model, observe and provide teachers with feedback to improve instructional planning and delivery. They lead book study groups, ensure teachers have all necessary materials and conduct workshops. The staff developer serves as liaison to all outside consultants, and conducts follow-up on the strategies introduced by these consultants.
- **Team Leaders:** Every grade has an experienced teacher who serves as the team leader. These teachers lead the grade in planning, coordination of activities, and represent the team at the Team Leader Meetings. At these meetings administration and team leaders plan together, problem-solve, share concerns, and work toward the school's overall goals. These meetings promote opportunities for the development of leadership skills in teachers.
- **Dean of Students:** The Dean assists teachers with the development of school culture and classroom management. The Dean conducts trainings, attends team meetings, observes instruction and provides suggestions and strategies to assist teachers.
- **Teachers:** In Kindergarten through 2nd grade teachers work with teacher assistants and provide them with mentoring and modeling to develop their instructional skills.

Instructional leaders are selected based on their experience and skills working with adults to improve their practice. They must possess solid content knowledge, a large instructional

toolbox filled with diverse strategies for meeting the needs of all students, a commitment to using data to plan instruction, and demonstrable evidence of student success.

Grade teams will be responsible for collecting and analyzing data on their students to evaluate the effectiveness of their instruction and interventions. They will disaggregate data by student characteristics such as special education status, ELL status, Title I status and by classroom to identify trends and patterns. Grade teams will also look at student work together to norm expectations and identify students' strengths and deficits.

Team Leader Meetings will bring together instructional leadership to examine data across the schools. Using aggregated and disaggregated data, they will monitor the implementation and effectiveness of curriculum programs, instructional methods, intervention programs and grades and teachers. This information will be used to target professional development, modify programs and consider teacher placement and retention.

(b) Teacher Support and Supervision

Describe on-going Teacher Supervision and Support including the school's approach to individual teacher supervision and support.

(c) Professional Development

Describe how the school's professional development program will assist teachers in meeting students' academic needs and school goals, including;

- **How and when professional development will be delivered;**
- **Who will be responsible for providing professional development;**
- **How professional development topics will be identified and the professional development priorities would be over the course of the first five years of operation;**
- **How the professional development program will meet the needs of all teachers, including novice teachers, teachers new to the school, veteran teachers, and teachers of all subjects; and**
- **The process for evaluating the efficacy of the professional development program.**

Goals for Professional Development

1. To strengthen and support teachers in the implementation of the curriculum,
2. To strengthen and support teachers in the delivery of small group instruction.
3. To strengthen and support teachers in the analysis of student work for student feedback and progress.
4. To support teachers in data analysis that drives instruction.
5. To guide teachers in the integration of the Common Core Standards within all aspects of the curricula.
6. To provide a vehicle for the development of leadership skills within the veteran staff.

Needs Assessment

The sources used to determine the needs in professional development are as follows:

- CSI Annual Evaluation Report/Renewal Visit Letter
- One on One meetings
- Formal Observations
- Final Evaluations
- NYS ELA student scores for 3rd – 5th grades
- NYS Math student scores for 3rd- 5th grades
- Terra Nova scores for K-5th grades
- Teacher Survey

Professional Development Activities

Professional development is not relegated to workshops and trainings but is a daily part of professional life at Amber. Below are key components of our professional development program.

- **Professional Teaching Standards:** Professional development focuses primarily on Danielson's Framework for Teaching Domain Three: Instruction. Every teacher and teacher assistant meets with the principal or assistant principal to examine their practice against the identified element of the component within the domain. For example, a teacher may choose to examine her practice in "feedback to students" within the component of Using Assessment in Instruction. The teachers self-evaluate against the rubric and determine how to move to the next level. Based on this discussion a plan and goals are set.
- **Summer Institute:** Instructional leaders and consultants present workshops to orient faculty on the Amber mission, the Amber Way, curricula materials, instructional strategies, school culture, and professional expectations.
- **One on One Meetings:** All teachers have at least two Individual Professional Development Meetings with their supervisor during the school year. The first meeting is held after the administration of the baseline tests no later than October 15. Teachers are responsible for bringing the following documents to the meeting: 1) a draft of one professional goal, based on their review of their formal observation reports and final evaluation form from the prior year and 2) results from their Student Learning Objectives(SLO) baseline tests and Terra Nova (if applicable). At this meeting, the teacher and principal review and finalize the teacher's professional goal and collaboratively outline expectations for the teacher's SLOs, including but not limited to drafting targets based on baseline results and other factors. The goals identified for their own teaching development are taken from the Danielson's Framework for Teaching Domain Three: Instruction.
- **Observation:** The Principal and Assistant Principal observe every teacher and teacher assistant conducting a lesson and working with children. As a result of these

observations specific areas of focus for professional development are identified. Action plans are put in place for those teachers in need. An analysis of the student scores for 3rd – 5th grades on the NYS ELA and NYS Math assessments is conducted. An analysis of the Terra Nova assessments for grades Kindergarten to 5th grades is also conducted.

- **Newly Hired Teachers:** A newly hired teacher as well as second year teachers are under the mentoring of Staff Developers and identified teachers within their grade. Teachers with three or fewer years of experience in their grade continue to be mentored by their Grade Team Leader.
- **PD Days:** To support faculty members' learning and delivery of the curricula, half days each month will focus on providing curriculum content knowledge, implementation guidelines, and planning time. The half days are typically scheduled for the last Friday of every month except November and June.
- **Lunch & Learn Sessions:** Faculty members who attend outside professional development can turn-key the information by presenting at a half hour lunch and learn session. These sessions are set up during the faculty lunch time and teachers bring their lunch while they learn the information. In addition, outside presenters are sometimes invited to present at a lunch and learn session.

Assessment of Professional Development

- **Staff Survey:** At the end of the school year a staff survey is conducted to evaluate the faculty's sense of how these goals were met.
- **Informal Feedback:** As professional development is provided, feedback from the teachers is solicited in writing and/or verbally and noted.
- **Written Evaluations:** After formal workshops written evaluations are collected.
- **Observation of Practice:** Instructional leaders observe meetings and classroom instruction to see if professional development is translating into practice.

(d) Teacher Evaluation and Accountability

Describe how the school will evaluate teachers and hold them accountability, including:

- **An explanation of how expectations for teacher performance and student achievement will be established, communicated to, and instilled in staff; and,**
- **A description of the school's process and criteria for evaluating teacher performance and holding teachers accountable for student achievement.**

Annual Professional Performance Review Plan

The overall evaluation rating for classroom teachers shall be determined using the following weights:

- 40% Student Performance based on Student Learning Objectives (SLOs)
- 60% Teacher Performance based on Principal formal observations and other evidence of effective teaching

Evaluations will be based on a 4 point rubric. For each of the two components and for a final holistic rating, a teacher may be evaluated as:

1. Ineffective;
2. Developing;
3. Effective; or
4. Highly effective.

The weights of each element of teacher performance will be as follows:

- 35% for formal observations
- 10% for service to school
- 10% for achievement of one professional goal
- 5% for teacher attendance

SLOs: The student learning measures used by the school will be rigorous, comparable across classrooms, and aligned with school and state priorities for student learning, including but not limited to Common Core standards and College and Career Readiness. The weights of each element of student performance for teachers of ELA/Math will be as follows:

- 5% Growth on Baseline ELA SLO
- 5% Growth on Baseline Math SLO
- 10% Class average on ELA Terra Nova SLO
- 10% Class average on Math Terra Nova SLO
- 10% Teacher-selected non-ELA/Math SLO (Growth or Achievement)

Teachers of subjects other than ELA/Math shall develop at least two SLOs, which will count for 40% of those teachers' final evaluations and will be developed collaboratively by the teacher and administration. At least one of these SLOs must be aligned with Common Core standards and at least one must integrate ELA and/or Math standards. Teachers in these categories who work with multiple grades or sections shall select two class sections from an upper grade (3-5) selected by the principal and two class sections from a lower grade (K-2) selected by the principal. The populations selected for the SLOs shall each constitute a majority of students in that grade.

Teachers shall submit all draft SLOs to the administration no later than October 30 of each school year. If the administration does not require any changes to the SLOs and targets, no further meetings are required. If the administration intends to make changes to the SLOs and

targets, the teacher shall be notified in writing and may request and receive a meeting to discuss these changes no later than November 15. If any teacher does not work with the school administration to develop or implement SLOs, the administration has the discretion to select SLOs for that teacher.

SLO targets may be adjusted by mutual agreement between the teacher and principal when significant changes occur after their initial development. Reasons for such adjustments may include but are not limited to: enrollment or departures of students during the school year; significant changes in students' attendance patterns; significant changes to students' health status; significant scheduling changes, including cancellation of scheduled classes due to school activities such as field trips; diagnoses of student learning disabilities during the school year.

Amber uses a system in which teachers' evaluation experiences will vary based on whether their experience and APPR rating place them on Track 1 or Track 2.

- All teachers who do not have at least three consecutive years of Satisfactory or Satisfactory with Elements of Excellence ratings at Amber will be placed on Track 1.
- All teachers with at least three consecutive years of Satisfactory or Satisfactory with Elements of Excellence final ratings at Amber will be placed on Track 2.
- Teachers with at least three consecutive years of Effective or Highly Effective final ratings (or Satisfactory or Satisfactory with Elements of Excellence in previous years) will be placed on Track 2. Teachers who received a final rating of Developing or Ineffective in the prior year or who have fewer than three consecutive years of Effective or Highly Effective final ratings (or Satisfactory or Satisfactory with Elements of Excellence the previous years) will be placed on Track 1. The principal may elect to place a teacher with fewer than three consecutive years of Effective or Highly Effective final ratings on Track 2 based on professional discretion. Tracks shall be used solely to determine the number of required formal observations, and shall have no impact on the other elements of this evaluation system or on other elements of the CBA.

Observations and Other Evidence of Effective Teaching Practice: Administrators who have been trained in the Danielson rubric will use it as the standard for formal and informal observations and review of professional goals and practice portfolios for teachers at Amber. All teachers will develop at least one professional goal aligned with Danielson, and will receive additional training in the Danielson rubric as needed. If any teacher does not work with the school administration to develop or implement a professional goal under the above circumstances, the school administration has the discretion to select a professional goal for that teacher. All teachers on Track 1 will receive a minimum of two formal observations annually and all teachers on Track 2 will receive a minimum of one formal observation annually. Formal observations shall be preceded by a pre-observation conference for teachers in their first year; pre-observation conferences are optional (at teachers' request) for teachers who have been at Amber for more than one year. All formal observations will be followed by a post-observation conference within three working days to discuss the observation. If the observation will result in a Teacher Improvement Plan (TIP), the administration will provide a written evaluation for the teacher to review and sign within two weeks of the observation. If the observation will not

result in a TIP, the administration will provide a written evaluation for the teacher to review and sign within four weeks of the observation. Teachers who receive a Developing or Ineffective for any of the Danielson standards during their observation will have the option of requesting and receiving additional formal observations.

Teachers who serve as peer observers will receive training in the Danielson rubric and methods and will be encouraged to work with colleagues towards improving their professional practice. Informal observations will continue to be used to analyze school-wide instructional trends and to follow up on recommendations made during formal observations. Teachers on both Track 1 and Track 2 have the option of choosing to submit evidence from peer observations and informal observations as part of their evaluation process, but are not required to include such evidence.

Evaluation Process

All teachers shall have a final Individual Professional Development Meeting with the administration before the last day of the school year. At this meeting, the administration will review the results of the teacher's SLOs, the progress towards the teacher's professional goal, the teacher's ratings on the components of the Danielson rubric, and the teacher's overall rating.

All teachers shall receive an evaluation form with written feedback after each formal observation during the school year. Teachers who receive ratings of Developing or Ineffective on any observed component during the school year, or who believe that adjustments to their professional goal or SLO targets are required, may request and receive a mid-year Individual Professional Development Meeting between December and March.

Teachers who have been rated Effective for any of the Danielson standards in their formal observation/s and wish to be considered for a final rating of Highly Effective may request an additional formal observation and/or a professional development plan to provide specific guidance for improving their professional practice to Highly Effective levels.

Teachers who are evaluated as Highly Effective in any of the standards defined in the Danielson rubric or in their annual APPR will be encouraged to share their expertise with colleagues, including but not limited to methods such as classroom visits or leadership of professional development sessions.

Accountability

If during any teacher observation or other documented professional interaction, the Principal determines that there is a possibility that administration will rate a teacher as Developing or Ineffective as their final rating, or if a teacher receives a final rating of Developing or Ineffective, a Teacher Improvement Plan (TIP) must be created to help foster teacher growth. The TIP shall include the following:

- Areas of growth, where specific improvement is needed and supporting evidence;

- Specific suggestions for improvement;
- Resources to be utilized to assist with the improvement; and
- The means by which improvement will be measured (including additional observations or other documentation of improved practice).
- Interim dates at which progress in meeting the TIP will be reviewed
- A reasonable date for achieving the specified improvement(s).
- A written notice that further discipline up to and including termination may follow unless the employee's performance improves.

The timeline for creating a TIP is as follows:

1. During a formal observation or other documented professional interaction, an administrator documents ineffective teaching practice at a level which would lead to a final rating of Ineffective or Developing if not improved.
2. Within three days of the documented interaction, or within 10 days of the start of the school year after a teacher has received a final rating of Developing or Ineffective, the administrator and teacher have a conference at which the documentation of ineffective or developing teaching is discussed and a meeting to develop a TIP is scheduled.
3. Within two weeks of the formal observation or other documented professional interaction, or within 10 days of the start of the school year after a teacher has received a final rating of Developing or Ineffective, written documentation of the developing or ineffective teaching practice and a draft TIP plan will be provided for the teacher's review.
4. Within one week of the provision of the written documentation and draft of the TIP plan, the teacher will meet with the administration and the staff developer to finalize and sign the TIP plan.
5. At interim and final review dates, the TIP can be closed or extended at the discretion of the administration. The union may attend interim and final reviews of the TIP at the teacher's request.

If any teacher does not work with the school administration to develop or implement a TIP under the above circumstances, the school administration has the discretion to either develop an alternative TIP or to terminate their employment.

The length of a TIP will vary depending on the areas identified for improvement and the specific resources and strategies necessary to carry out the plan. The principal will take affirmative action to give support to help the teacher correct any cited deficiencies. Such action shall include specific recommendations for improvement, direct assistance in implementing the recommendations, and adequate release time for the teacher to visit and observe similar classes in Amber.

In the event a teacher on a TIP has not improved their performance to at least "Developing" within the timeline established in the TIP, Amber may choose to either extend the timeline or to terminate and/or not re-hire for the following year. In cases where a teacher demonstrates documented but incomplete improvement after the initial timeline, the timeline may be

extended. For teachers with at least three consecutive or non-consecutive years of previous ratings of “Effective” or “Highly Effective” (or “Satisfactory” or “Satisfactory with elements of Excellence” under the prior evaluation system) at Amber, the combined TIP timelines (including any extensions) will allow at least 90 instructional days for improvement before a termination decision is made. The start date for the TIP shall be considered the date upon which the teacher signed the initial TIP plan.

9. School Culture and Discipline

If the proposed school is adopting the same approach to school culture and discipline, discipline policy, special education discipline policy, and dress code policy as the replicating school, incorporate the programs by reference per the instructions above. If applicable, note any changes to the original model or policies and indicate if these changes pertain to the proposed school only, or would modify the terms of the entire education corporation. Describe or attach any changes under the relevant headings below:

(a) School Culture and Discipline

(b) Discipline Policy

(c) Special Education Policy

(d) Dress Code Policy

Response incorporated by reference to Amber Third Renewal Charter, Section 2.4, 2.8 and 3.1

9. School Culture and Discipline

If the proposed school is adopting the same approach to school culture and discipline, discipline policy, special education discipline policy, and dress code policy as the replicating school, incorporate the programs by reference per the instructions above. If applicable, note any changes to the original model or policies and indicate if these changes pertain to the proposed school only, or would modify the terms of the entire education corporation. Describe or attach any changes under the relevant headings below:

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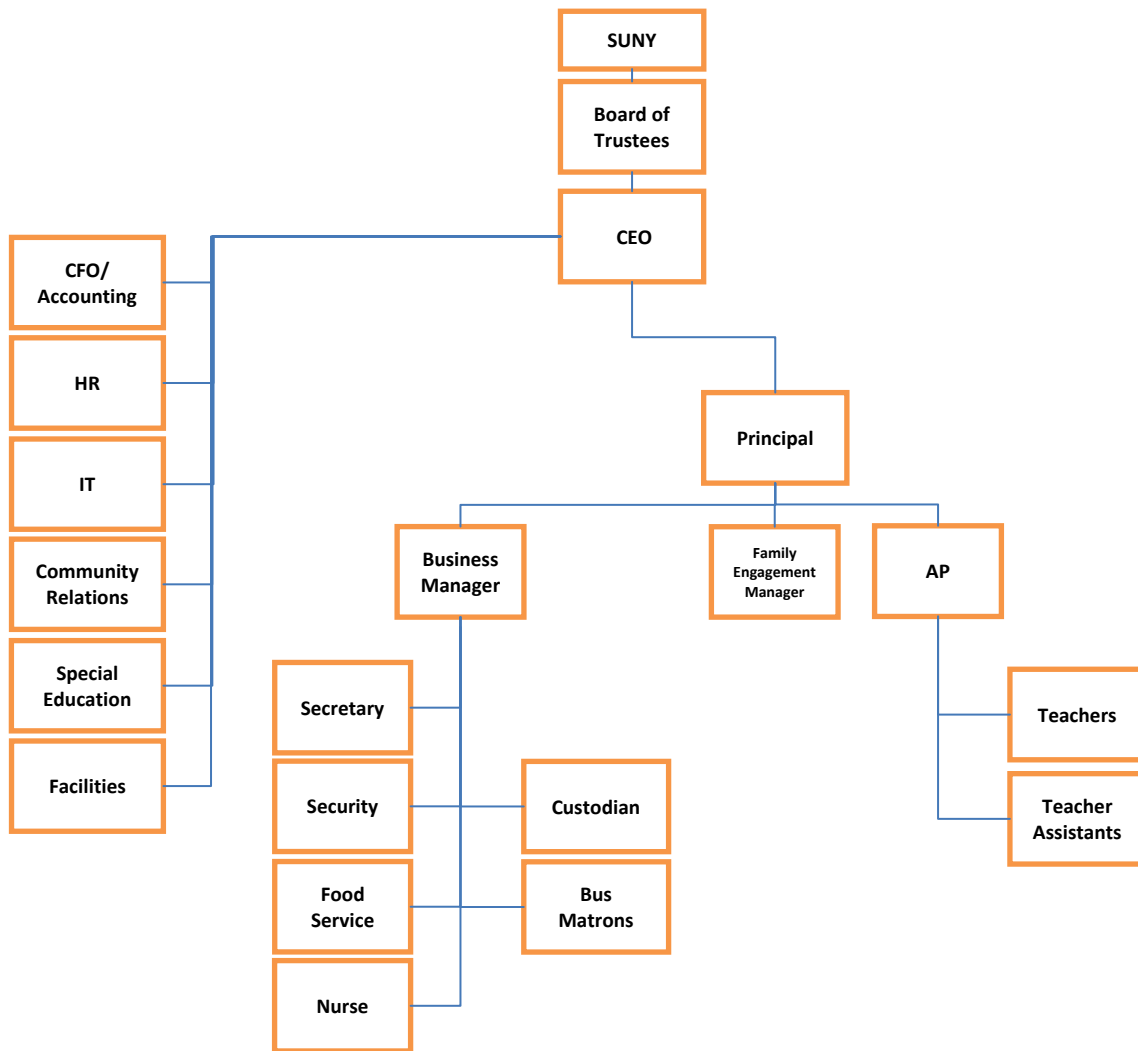
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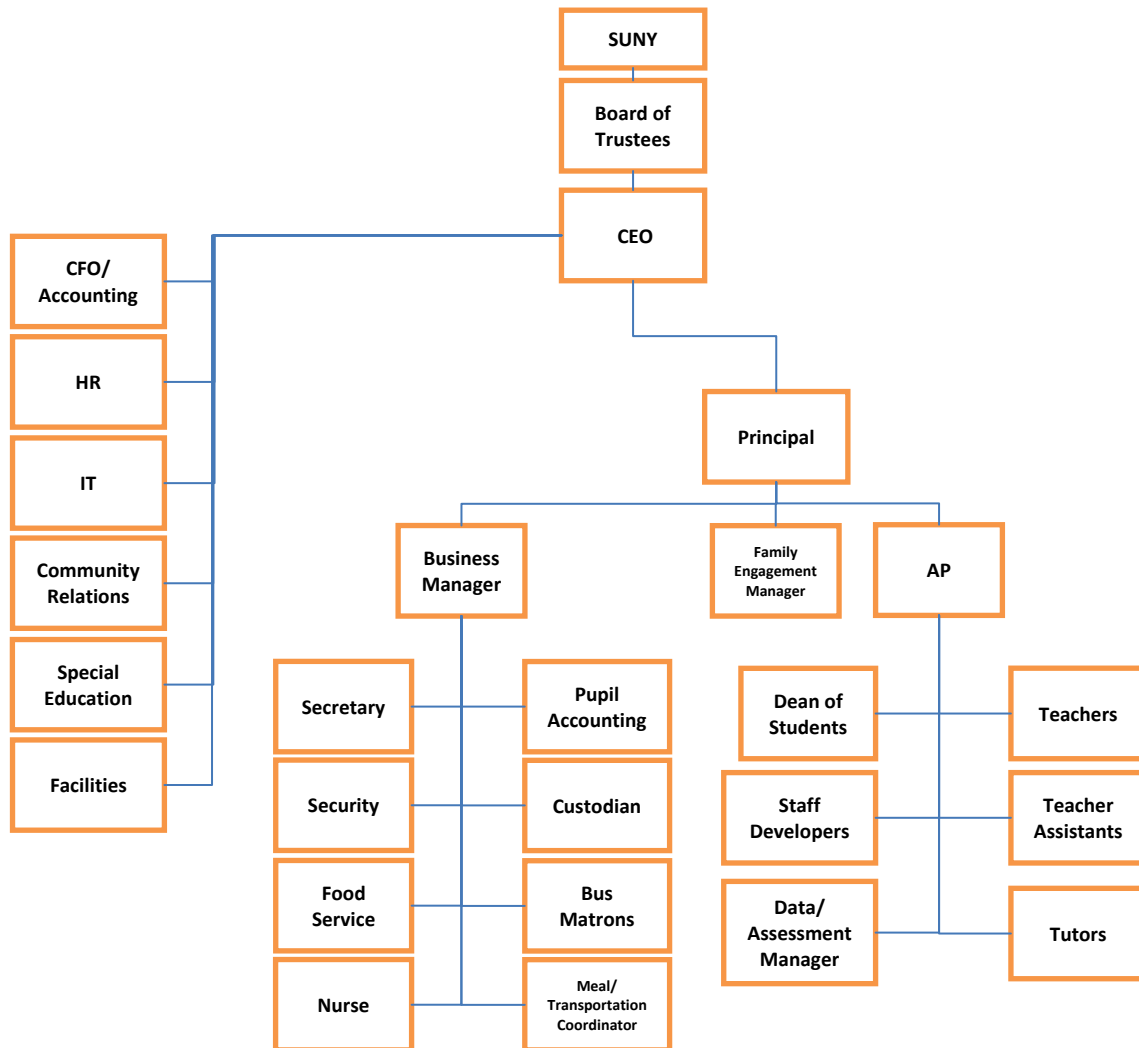
10. Organizational Chart

Provide organizational charts for the individual school for at least the first and fifth years of operation and a narrative description of the charts.

- The charts should clearly indicate the reporting structure of staff to the school leader(s) and of school leader(s) to the board of trustees. If the charter school intends to contract or partner with an entity for management or educational services, the organizational charts should also reflect that relationship.
- The narrative should explain the lines of reporting and accountability, the rationale for choosing this structure, and the roles of any management or partner organizations. The narrative should not duplicate the information in the Staffing Chart narrative, immediately below.

Amber II Organizational Chart Year 1



Amber II Organizational Chart Year 5

Amber I and Amber II will share the same school leader, namely the CEO, who will report directly to the Amber Board of Trustees and be ultimately responsible for the operation of both schools. The CEO will oversee a shared services team that supports both Amber schools in specific function areas, including finance, human relations, information technology, community relations, special education and facilities. Amber II will pay a portion of the shared service team's salaries based on the relative number of students served. In year 1 this amounts to 34% of the shared service team cost, rising to 56% when the school is at full capacity and expected to be slightly larger than Amber I.

The CEO will directly supervise the Amber II Principal, who will be responsible for day-to-day affairs at the school. Reporting to the Principal will be an Assistant Principal (AP), Business Manager and Family Engagement Manager.

The AP will supervise the instructional staff, including teachers (general education, specialists and special education/ELL teachers) as well as teacher assistants and tutors. In addition, a Dean of Students, Data/Assessment Manager and Staff Developers will join the school in Year 2.

The school's Business Manager will supervise all non-instructional staff, including secretary, security, food services staff, nurse, custodian and bus matrons. In Year 2 a Pupil Accounting position will be added and in Year 3 a Meals and Transportation Coordinator will be hired.

11. Personnel**(a) Staffing Chart and Rationale**

Use the table below to provide a list of all staff positions (instructional and non-instructional) in the school during the first five years of operation and provide a narrative that explains the rationale for the staffing structure and numbers. Identify and distinguish classroom teachers, teaching aides or assistants, special education teachers and ESOL teachers, as well as any other specialty teachers.

If the applicant is an existing SUNY authorized education corporation and proposes to operate additional school(s), please provide a second, clearly labeled chart indicating the aggregated staffing for the entire education corporation.

Amber II Staffing Chart

	Number in Position				
	Year 1	Year 2	Year 3	Year 4	Year 5
Grades Served:	K-1	K-2	K-3	K-4	K-5
Enrollment:	250	366	473	565	650
Position					
SHARED SERVICES TEAM*					
Executive Director	1	1	1	1	1
CFO	1	1	1	1	1
Human Resources Specialist	1	1	1	1	1
Senior Accountant	1	1	1	1	1
IT Director	1	1	1	1	1
Special Education Coordinator	1	1	1	1	1
Director of Community Relations	1	1	1	1	1
Executive Assistant	1	1	1	1	1
Social Worker	1	2	2	2	2
Facilities Manager	1	1	1	1	1
Total Shared Services Team	10	11	11	11	11
INSTRUCTIONAL STAFF					
Principal	1	1	1	1	1
Assistant Principal	1	1	1	1	1
Kindergarten Teachers	5	5	5	5	5
1st Grade Teachers	5	5	5	5	5
2nd Grade Teachers	0	5	5	5	5
3rd Grade Teachers	0	0	4	4	4
4th Grade Teachers	0	0	0	4	4
5th Grade Teachers	0	0	0	0	4

	Number in Position				
	Year 1	Year 2	Year 3	Year 4	Year 5
Kindergarten Teacher Assistants	5	5	5	5	5
1st Grade Teacher Assistants	5	5	5	5	5
2nd Grade Teacher Assistants	0	2	2	2	2
Tutors	0	0	4	8	12
Specialists	2	3	6	6	6
Special Education/ELL Teachers	1	1	2	2	2
Dean of Students	0	1	1	1	1
Staff Developers	0	1	2	2	2
OPERATIONS STAFF					
Business Manager	1	1	1	1	1
Family Engagement Manager	1	1	1	1	1
Data/Assessment Manager	0	1	1	1	1
Secretary	1	1	1	1	1
School Safety Officer	1	1	1	1	1
Pupil Accounting	0	1	1	1	1
Meals & Transportation Coordinator	0	0	1	1	1
Cook	1	1	1	1	1
Assistant Cook/Server	1	1	1	1	1
Custodian	1	1	1	1	1
Nurse (DOH)	1	1	1	1	1
Bus matrons	1	1	2	2	3
Total School Based Staff	34	46	61	69	78

*Members of the shared service team work with both Amber I and II.

Shared Service Team

The Shared Service Team supports both Amber I and II with leadership, back office support, services for special needs students, and facilities management. Amber II will pay a portion of the Shared Service Team personnel costs equal to its percentage of total students in the education corporation. In Year 1 this will amount to 34%, rising to 56% when the school is at full enrollment.

Amber II Share of Education Corporation

	Year 1	Year 2	Year 3	Year 4	Year 5
Amber I Enrollment	496	509	514	520	520
Amber II Enrollment	250	366	473	565	650
Amber II Share of Total	34%	42%	48%	52%	56%

Below is a description of each position; unless otherwise noted each position starts in Year 1.

- **Executive Director:** The Executive Director is the official school leader for Amber II, reporting directly to the Board of Trustees and supervising the Shared Service Team as well as the Principal of Amber I and Amber II. The Executive Director is expected to be Vasthi Acosta, the current Amber Charter School Head of School/Principal.
- **CFO:** The CFO is responsible for the financial management of the school and supervises the finance and operations department.
- **Senior Accountant:** Manages bookkeeping, accounting and record-keeping functions.
- **IT Director:** Coordinates technology infrastructure, Internet access, phones and educational and operational hardware and software. Manages technology consultants and vendors.
- **Special Education Coordinator:** Serves as primary liaison to district CSE, coordinates special education child find, IEP development and review processes, supervises special education teachers, provides professional development.
- **Director of Community Relations:** Facilitates parent involvement, coordinates community partnerships, organizes family events and trainings. Conducts all student recruitment and enrollment.
- **Executive Assistant:** Provides clerical and scheduling assistance to administrators.
- **Social Worker:** Provides counseling services to students, refers families to community resources, participates in special education processes, supports teachers in dealing with social-emotional issues. As Amber II grows to full capacity a second social worker will be added.
- **Facilities Manager:** Coordinates all maintenance and upkeep of the facilities, supervises custodians, and manages vendors.

School Staff

Amber II will have a dedicated set of staff members to serve its students. The staffing plan is based on the original Amber Charter School and reflects an evolution to what works most effectively in meeting the varied needs of students and staff. It assumes the school will be located in private space and has responsibilities not found in co-located charter schools, e.g., facilities management, security, food services. Below is a description of each position; unless otherwise noted each position starts in Year 1.

- **Principal:** While the official school leader is the Executive Director, because her responsibilities cover two schools the Principal is responsible for day-to-day affairs at the school. The Principal provides instructional leadership, including coordination of curriculum development, instructional planning, scheduling, interventions, and teacher support and evaluation. The Principal also oversees the operational side of the school.
- **Business Manager:** In coordination with the CFO and other members of the Shared Services Team, the Business Manager handles all non-academic affairs at the school site, including food services, health services and transportation.
- **Dean of Students:** The Dean will be hired in Year 2 and support the school's culture, classroom management practices and discipline. The Dean will work closely with the Family Engagement Manager to build a strong sense of community among staff and families.
- **Teachers:** There will be one teacher per class with five classes per grade anticipated in kindergarten through 2nd grade and four classes per grade in grades 3-5 due to estimated attrition.
- **Teacher Assistants:** All kindergarten and 1st grade classes will have a teacher assistant and two teacher assistants will be shared by the 2nd grade teachers.
- **Staff Developers:** One Staff Developer will join the school in Year 2 and a second in Year 3. They serve as liaison to all outside consultants, e.g., Journeys, Go Math!, and conduct follow-up on the strategies introduced by these consultants. They also lead book study groups, ensure teachers have all necessary materials and conduct professional development workshops and training.
- **Tutors:** Beginning in Year 3 when Amber II has its first testing grade, the school will hire four tutors to provide targeted assistance to identified students. Four more tutors will be hired for the 4th grade and then the 5th grade in subsequent years.
- **Family Engagement Manager:** Amber is predicated on building a strong home-school connection, and the family engagement manager facilitates communication, coordinates events, and provides training to parents. The Family Engagement Manager coordinates the student recruitment and enrollment process.
- **Data/Assessment Manager:** Beginning in Year 2, the Data/Assessment Manager coordinates obtaining and administering assessments, collecting data, conducting analyses and generating reports for teachers and school leaders. The Data/Assessment Manager will also work closely with teachers to help them use data to inform instructional planning and identify students for interventions.
- **Secretary:** The Secretary is the face of the school and typically the first point of contact for callers or visitors. The Secretary will assist with filing, record keeping, communication and correspondence, and other tasks in support of the administration.

- **School Safety Officer:** To ensure a safe and orderly learning environment, the school will hire a School Safety Officer to monitor the entrance, identify visitors and support the school's safety protocols.
- **Pupil Accounting:** This position will be filled in Year 2 and assist with tracking attendance, meeting reporting requirements and other office duties as required.
- **Meals & Transportation Coordinator:** This position will be filled in Year 3 and assist with meal counts and federal program reporting requirements, transportation issues and other office duties as required.
- **Cook and Assistant Cook/Server:** Amber II will have two staff members to prepare and serve nutritious breakfasts, lunches and snacks to our students.
- **Custodian:** Being in a private facility, Amber II will require custodial staff to maintain a clean and healthy building.
- **Nurse (DOH):** Amber II expects to have a school nurse provided by DOH to address minor medical issues, maintain students' medical records, and administer medications as necessary.
- **Bus matrons:** The school will hire bus matrons to monitor students on buses to and from school. Starting with one matron in Year 1, another will be added in Year 3 and another in Year 5.

Rationale

At this time Amber does not deem a separate entity, i.e., a charter management organization, necessary or advantageous to operating two schools. The shared services team approach provides economies of scale by providing both schools with critical back office support functions (e.g., accounting, HR, facilities management) and academic administration (e.g., special education) that would be too costly for each school to maintain on its own budget. By splitting the costs Amber can provide a robust staffing plan to ensure organizational viability. Each school maintains core academic staff and has a school leader, the Principal, who ensures the development of a strong school culture and professional working environment, as well as operations staff who work close to the front line to maintain a deep understanding of their school's unique needs.

Most of the shared service team positions are already filled by staff members currently working for Amber I. They already know the Amber mission and vision and work effectively as a team. For accounting purposes, a portion of their salaries will be assigned to each Amber school and be reflected on each school's budget. This is represented in the proposed five year budget in Response 22 – Budget Template under Executive Management (Line 70).

At the school level Amber follows a common approach among successful charter schools, namely the bifurcation of instructional and operational responsibilities. This ensures that instructional leaders and staff can maintain their focus on implementing the academic program without being distracted by operational concerns that tend to arise in schools.

Education Corporation Staffing Chart (Amber I and II)

	Number in Position				
	Year 1	Year 2	Year 3	Year 4	Year 5
Grades Served:	K-1	K-2	K-3	K-4	K-5
Enrollment:	250	366	473	565	650
Position					
SHARED SERVICES TEAM*					
Executive Director	1	1	1	1	1
CFO	1	1	1	1	1
Human Resources Specialist	1	1	1	1	1
Senior Accountant	1	1	1	1	1
IT Director	1	1	1	1	1
Special Education Coordinator	1	1	1	1	1
Director of Community Relations	1	1	1	1	1
Executive Assistant	1	1	1	1	1
Social Worker	1	2	2	2	2
Facilities Manager	1	1	1	1	1
Total Shared Services Team	10	11	11	11	11
INSTRUCTIONAL STAFF					
Principal	2	2	2	2	2
Assistant Principal	2	2	2	2	2
Kindergarten Teachers	9	9	9	9	9
1st Grade Teachers	9	9	9	9	9
2nd Grade Teachers	4	9	9	9	9
3rd Grade Teachers	4	4	8	8	8
4th Grade Teachers	4	4	4	8	8
5th Grade Teachers	4	4	4	4	8
Kindergarten Teacher Assistants	9	9	9	9	9
1st Grade Teacher Assistants	9	9	9	9	9
2nd Grade Teacher Assistants	2	4	4	4	4
Tutors	10	10	14	18	22
Specialists	8	9	12	12	12
Special Education/ELL Teachers	2	2	3	3	3
Dean of Students	1	2	2	2	2
Staff Developers	2	3	4	4	4

	Number in Position				
	Year 1	Year 2	Year 3	Year 4	Year 5
OPERATIONS STAFF					
Business Manager	1	1	1	1	1
Family Engagement Manager	2	2	2	2	2
Data/Assessment Manager	1	2	2	2	2
Secretary	2	2	2	2	2
School Safety Officer	2	2	2	2	2
Pupil Accounting	1	2	2	2	2
Meals & Transportation Coordinator	1	1	2	2	2
Cook	2	2	2	2	2
Assistant Cook/Server	2	2	2	2	2
Custodian	2	2	2	2	2
Nurse (DOH)	2	2	2	2	2
Bus matrons	4	4	5	5	6
Total School Based Staff	103	115	130	140	149

(b) Qualifications and Responsibilities

If the proposed school is adopting the same qualifications and responsibilities all staff members, incorporate this Response by reference per the instructions above. If any of the positions in the school or education corporation (if relevant) would have new qualifications or responsibilities, explain the changes as appropriate.

Response incorporated by reference to Amber Third Renewal Charter, Section 4.2

- **Note:** The Executive Director position is new, but has essentially the same qualifications and responsibilities as the original Head of School/Principal position, only over multiple schools.

(c) School Leadership and Management Structure

Explain the management structure of the school, including;

- Management practices and procedures, i.e., how the school will set priorities and make key organizational decisions;
- If the education corporation would work with a management organization, an explanation of the relationship between employees of the education corporation and that organization; and,

- **Evaluation procedures and processes for staff in management positions.**

Amber Charter School has learned through experience the importance of having the school leader be the instructional leader. The proposed Executive Director is an experienced school leader who has contributed greatly to the success of the original Amber Charter School. The Executive Director will report directly to the board and be accountable for all aspects of the school's performance, be it academic, organizational or financial. The Executive Director will directly supervise the school Principal, who will have day-to-day management responsibilities for the school. Management practices will occur at two levels:

Shared Service Team Level

Key leaders of the Shared Services Team, i.e., the Executive Director, CFO, Special Education Coordinator, Director of Community Relations, and Facilities Manager will meet regularly to address the overall direction of the organization and the two schools that they serve. They will focus on monitoring progress towards goals set by the Board and the authorizer to ensure the school is on track to achieving its mission AND attaining the goals in its Accountability Plan.

Departments will meet regularly to focus on their unique issues:

- **Academics:** the Executive Director, Special Education Coordinator, and the Principals of Amber I and Amber II, meet regularly to discuss implementation of the school model, students' academic performance, curriculum delivery and staff development needs. They will set common standards and priorities for the two Amber schools and coordinate Amber-wide activities such as shared professional development, curriculum resource dissemination and common assessment systems.
- **Finance/Operations:** The CFO communicates regularly with the Human Resources Specialist, Senior Accountant, Facilities Manager and Business Managers from Amber I and Amber II. They track reporting and compliance requirements and monitor the performance of all financial and organization systems.

School Level

The Principal will manage affairs at the school and convey information from the Shared Services Team to the school. In practice, school-based staff will communicate frequently and informally with their counterparts on the Shared Services Team. For instance, the Principal will work closely with the Executive Director to implement the academic program, the school Business Manager will collaborate with the CFO and her staff, and the Special Education teachers will work together with the Special Education Coordinator.

- **Leadership Team:** The Principal along with the Assistant Principal, Business Manager, Dean of Students, and Family Engagement Manager will comprise the school's leadership team, which will meet weekly to discuss school-wide issues, set priorities, and monitor progress.
- **Team Leader Meetings:** Grade team leaders meet regularly with the Principal, Assistant Principal, Dean of Students, Staff Developers and Data/Assessment Manager to plan together, problem-solve, share concerns, and work toward the school's overall goals.

These meetings promote opportunities for the development of leadership skills in teachers.

- **Grade Teams:** Grade level teachers and teaching assistants along with appropriate special education, ESL and specialists will meet regularly to develop curriculum, plan lessons and assessments, and examine student work together. They will also be responsible for analyzing data and action planning, including adjusting instruction to meet students' needs and identify students for targeted intervention services. The Principal, Assistant Principal, Staff Developers, and Data/Assessment Manager will attend the meetings to provide guidance and training and monitor implementation of school practices and priorities. Attendance at these meetings will inform the instructional leadership team's needs assessments and strategic planning.
- **At-Risk Specialists:** The Principal, Assistant Principal and Special Education and ELL Teachers will meet regularly along with the Special Education Coordinator to consider referrals from teachers and parents regarding students of concern. Amber will use a Response to Intervention (RTI) process and make multiple attempts to mitigate student's struggles before considering a student for special education evaluation. RTI at Amber entails data-driven lesson planning, differentiated classroom instruction through grouping, varied materials and tasks, and the use of multiple adults within the classroom. More intense interventions include push-in and pull-out supports, tutoring, after school support, and Saturday Academy. When those fail the Child Study Team consults with parents about referring students to the Committee on Special Education, which is responsible for special education determinations and placements.

Management Evaluation

The Board is responsible for evaluating the Executive Director and will use its current Head of School process, which includes:

- **July:** Assigned School Leader Evaluation Cmte (SLEC)¹ member(s) review parent and teacher surveys
- **August:** Assigned School Leader Evaluation Cmte (SLEC) member(s) review NY State exam results for Amber and Districts
- **September/October:** Assigned School Leader Evaluation Cmte (SLEC) member(s) review NYC DOE's Progress Report for Amber
- **October/November:**
 1. Assigned School Leader Evaluation Cmte (SLEC) member(s) review SUNY's analysis of Amber's academic growth for students and comparison within the charter field (scatter chart)
 2. School Leader completes draft evaluation tool with written comments for SLEC review

¹ Note: SLEC = Executive Cmte + Chair of the Academic Performance Committee

3. SLEC writes the evaluation (only once SUNY report is in). SLEC reviews School Leader version of the evaluation once they have a draft. Any conflicts will be discussed at Annual Evaluation conference.
 4. SLEC shares evaluation with School Leader. Annual Evaluation conference with School Leader is held. Discussion of future goals occurs as part of the Annual Evaluation conference.
 5. SLEC shares evaluation findings with larger board in Executive Session (at November or December Board Meeting, pending timing). Board votes to accept the School Leader evaluation.
- **March:** SLEC meets with School Leader to have formal Mid-Year Conversation/Check-in and complete mid-year form

The Executive Director will be responsible for evaluating the Shared Service Team members. She will set attainable goals and annually revisit the goals to determine if they have been attained. Throughout the year she will collect evidence of effective job performance through her interactions with staff, work products and survey results. The Executive Director will also evaluate the Principal, providing him or her with feedback on their instructional leadership and organization command of the school. Evaluation of school-based leadership will be delegated to the Principal but will ultimately be signed off on by the Executive Director.

(d) Staff Recruitment and Retention

Describe the qualifications required for the school leader, including;

- **The process and criteria the school has, or will, use to select the school leader;**
- **Who has been, or will be involved in the selection process; and,**
- **The role of any CMO/ESP and/or partner organization in the selection process (if applicable).**

Describe how the school will recruit and retain all other staff, particularly high quality teachers, including;

- **The process, policies and procedures used to recruit and hire teachers and other staff;**
- **The strategies used to retain high quality teachers;**
- **The selection process that the applicants used or will use to select a school leader including who was or will be involved in this process; and,**
- **Explicitly note the role of the board and of any CMO/EMO/ or partner organization (if any) in the selection process.**

School Leader Qualifications

Having run a charter school for 15 years, Amber has learned the importance of selecting and retaining quality leaders. The Board went through an extensive process in order to determine

whether to greenlight this replication proposal and a critical criterion was quality leadership. Consequently, the Board intends to appoint Dr. Vasthi Acosta as Executive Director. Dr. Acosta is currently the Head of School/Principal for the original Amber Charter School and is largely responsible for its current success. The qualifications that make Dr. Acosta the most appropriate choice for Executive Director are presented below:

- Dr. Acosta has six years of experience as Head of School of Amber Charter School plus another year as Director of Curriculum and Instruction. Dr. Acosta successfully saw the school through its last charter renewal. She is highly regarded by school staff and families and is sought after for advice in the larger education community.
- Dr. Acosta is a graduate of Columbia University's Teachers College where she was awarded both a Doctor of Education and Master of Arts degrees. She also holds a Master of Science degree from Bank Street College of Education and a Bachelor of Arts degree from Fordham University.
- Dr. Acosta has worked in the NYC Department of Education as Assistant Principal, consultant and teacher. She was a college professor at Hostos Community College in the Early Childhood Education department, a curriculum developer and teacher trainer at Teachers College. While at Teachers College, she was responsible for training teachers throughout the North Eastern United States, Puerto Rico, and the Virgin Islands. She has been a national validator for early childhood programs seeking accreditation from the National Association for the Education of Young Children (NAEYC).
- Dr. Acosta has extensive experience with early childhood and bilingual education. As a professor and lecturer she has taught the following courses within the CUNY Early Childhood Education program: Introduction to Early Childhood, Development of the Young Child, Social Studies in the Early Childhood Classroom, Music and Movement in Early Childhood Education, Bilingual Bicultural Early Childhood Education, Language Arts in the Early Childhood Classroom, and Field Experience I and II.
- Dr. Acosta has presented scholarly work at national and statewide conferences. She has published several articles, the three most recent, book review of the books, "Breaking the mold of education for culturally and linguistically diverse students." and "Language, Space and Power: A Critical Look at Bilingual Education", and a commentary titled, "Stung by Buzz Words", all in the Teachers College Record. As an author, her novella "Gifts from the Magi" is published in the anthology, A Big Apple Christmas. Dr. Acosta started publishing her weekly column in the Education section of El Diario La Prensa, which addresses various aspects of parenting and education on November 14, 2011. In addition, Dr. Acosta was recently honored as a Mama Latina, one of only 7 mothers chosen across the entire U.S. for her contributions to her community and dedication to her family.
- Dr. Acosta has experience with school start-up and implementation. Dr. Acosta chaired the committee that wrote and presented the proposal for the creation of Bronx Latin High School and was the Co-founder/Developer of another New Visions school in CSD 6.

Dr. Acosta's resume is appended at the end of this response.

Should the Board find the position of Executive Director vacant at some point in the future, it will create an ad hoc search committee that will include board members, school staff and parents. The committee will develop a new job description, disseminate it, screen applicants, and select candidates for interviews. This interview process will include staff, parents and community members, but ultimately the Board will select a new Executive Director. No CMO/EMO/ or partner organization will be involved in the process.

Staff Recruitment and Retention

With almost fifteen years of experience operating a charter school, Amber has developed effective strategies for recruiting and retaining high quality teachers and staff. With a record of success, Amber has a reputation that attracts applicants, allowing it to be selective and choose staff who best align with the school's mission and vision. In addition to traditional methods, such as posting jobs with Idealist, Chalkboard, the New York City Charter School Center, and the National Alliance for Public Charter Schools, Amber has established connections with schools of education and other education organizations in New York City that can disseminate job opportunities. Amber also has an internal pipeline through its teacher assistants and tutors to identify potential teachers. All applicants go through a rigorous screening process, phone and in-person interviews by a teacher and administration committee and for instructional positions, Amber has applicants conduct demonstration lessons. All applicants must also go through a background check.

Amber's primary strategy for retaining staff is providing them with a professional environment in which to work and compensating them fairly for their efforts. Amber offers robust professional development opportunities, including Summer Institute, bi-monthly ½ days, common planning time and off-site workshops and conference. In addition, a coterie of instructional leaders and staff developers provide ongoing support and coaching for teachers. Staff members have collectively bargained a contract with the school that provides competitive salaries and benefits, including a 4% match for retirement.

VASTHI REYES ACOSTA

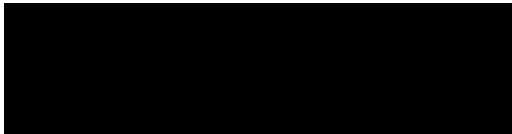


EDUCATION

Doctorate of Education, Teachers College, Columbia University
Department of Curriculum and Teaching, Specialization in Early Childhood
Education, 1994
Master of Education, Teachers College, Columbia University, 1995
Master of Science, Bank Street College of Education,
Bilingual Education, 1981
Bachelor of Arts, Fordham University,
Major: Education/Spanish Literature, 1977

LICENSE AND CERTIFICATION

- New York State Permanent Certification
- New York City License (Bilingual Common Branches)
- National Validator of Early Childhood Programs for the
National Academy of Early Childhood Programs
- Proposal Reader for the U.S. Department of Education
for the Federal TRIO programs



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HONORS

Recognized as one of the “Mujeres Destacadas” by *El Diario La Prensa* (2012)
Profile in *NY Times SchoolBook*
Award by P.S. 30 Teachers for outstanding assistance
Award for outstanding contributions to
 The Twenty-first Century Academy for Community Leadership
Teaneck Community Scholarship Award
Teaneck Veteran’s Scholarship
Bank Street College of Education Bilingual Scholarship
Ramon Emeterio Betances Education Award

LANGUAGES

English and Spanish

PUBLICATIONS

(2011 – present) Weekly column “La Maestra del Pueblo” in *El Diario La Prensa*

(2011 – present) Monthly column on educational topics in *Manhattan Times* and *Bronx Free Press* weekly newspapers.

(2012) Review of the book, *Breaking the mold of education for culturally and linguistically diverse students*. *TC Record Online* <http://www.tcrecord.org>

(2007) *Gifts of the Magi, A Big Apple Christmas*. New York: Barbour

(2006, Summer). Review of the book *Language, Space and Power: A Critical Look at Bilingual Education*. *TC Record Online* <http://www.tcrecord.org>

(May 16, 2005) *Stung by Buzz Words*. [Commentary] *TC Record Online* <http://www.tcrecord.org>

(2005, Spring) *Confessions of a Quarrelsome Woman*. *Just Between Us*, 10-11, 33.

(2005, Fourth Quarter) *Confessions of a Quarrelsome Woman*. *The Journal*. 24, 4, 10-11.

(2007, June) *Where Are You Going?* *Women's Touch Online* http://wtonline.ag.org/closerwalk/where_are_you_going.cfm

Book Reviews on Christian Book Previews

<http://christianbookpreviews.com>

(2007, August) *One Little Secret*, by Allison Bottke

(2007, June) *These Boots Weren't Made for Walking*, by Melody Carlson

(2007, June) *Miss Katie's Rosewood*, by Michael Phillips

(2007, April) *Feather*, by Susan Davis Downs

(2007, April) *Reclaiming Nick*, by Susan May Warren

(2007, April) *Remember to Forget*, by Deborah Raney

(2007, January) *The Best Christian Short Stories*, edited by Brett Lott

(2007, January) *Apples of Gold*, by Lisa Samson

(2006) *Bringer of Storms*, by L.B. Graham

SELECTED PROFESSIONAL LECTURES, WORKSHOPS, AND PRESENTATIONS

From 1980 to present

Topics covering early childhood education, supervision and administration, teacher observation and evaluation, classroom observation, bilingual and multicultural education, early childhood bilingual multicultural curricula, head start and bilingual education, culture in the early childhood classroom, language development of the young child, parental involvement, supervision and conflict resolution, stress and burn out, time management, joys and sorrows of first immigrants, infancy and childcare, seven laws of teaching, and other related topics.

For different agencies and organizations such as: TESOL Annual Convention; Teachers College; State Association of Bilingual Education Conference; Somerset College; St. Peter's College; BOCES Regional Superintendent Conference; New York University; Resource Action Project; Virgin Islands Head Start; Puerto Rico Head Start; New England Association for the Education of Young Children Conference; National Association Of Bilingual Education Conference; Protecting Families, Protecting Children Conference; International Association of Early Childhood Educators; New Jersey Christian Education Conference; AG Spanish Eastern District Sunday School Conference; Charter School Leaders Symposium; Emerging Leadership Fellowship Workshop at NYC Center for Charter Schools.

11. Personnel

Include the following in support of the narrative response:

(e) Personnel Policies

If the proposed school is adopting the same Personnel Policies as the replicating school, incorporate the Personnel Policies by reference per the instructions above. If the school would use new Personnel Policies, attach the new policies and indicate if these changes pertain to the proposed school only, or would modify the terms of the entire education corporation.

Response incorporated by reference to Amber Third Renewal Charter, Section 4.2

- **Note:** We have included the current Amber Personnel Policies and Procedures Employment Manual in Response 24(b) – Supplemental Docs

12. Partner Organizations**(a) Partner Information**

If the proposed education corporation or school, as applicable, would have the same partnership relationship(s) as the existing corporation or replicating school, incorporate this section by reference per the instructions above, *but also provide a letter of support or resolution of the partner organization stating that its role would be the same with respect to the new school (see Request 12(b) – Partner Commitment)*. If the proposed or existing education corporation would have any new partnership(s) that will have a significant relationship with the proposed school, for each partner organization, provide the following:

- Name of the partner organization(s);
- Description of the nature and purpose of the proposed school's relationship with the organization(s); and,
- Name of a contact person for the partner organization(s), along with the address, phone number, and e-mail of such contact person for the partner organization.

The Institute may at its sole discretion, determine that the partner organization must submit Business Plan <http://www.newyorkcharters.org/openAppKit.htm>. Please contact the Institute with any questions related to this request.

Not Applicable

Attach the following in support of the narrative response:

(b) Partner Commitment

For each new proposed partnership, provide a letter of intent or commitment from a bona fide representative of each partner organization(s) indicating that the organization(s) will be involved in the charter school and the terms and extent of its involvement;

For each partnership incorporated by reference above, provide a letter of support or resolution of the partner organization stating that its role would be the same with respect to the new school; and,

If the school would provide compensation to the partner(s) for any goods or services (i.e., a lease or fee), provide a copy of the contract and include an explanation about how such services would be at or below fair market value.

Not Applicable

13. Governance**(a) Education Corporation Board Roles and Responsibilities*****Proposed new education corporation***

If the proposed education corporation would have the same board roles and responsibilities as the replicating education corporation, incorporate the board roles and responsibilities by reference per the instructions above. If any aspect of the proposed education corporation board roles and responsibilities would be different from the education corporation to be replicated, complete this Response accordingly.

Existing Education Corporation

If the existing SUNY authorized education corporation proposes to operate an additional school, and the governance structure would not change, incorporate this section by reference per the instructions above.

If the existing SUNY authorized education corporation proposes to operate an additional school, and the governance structure would change then a full response must be supplied that would include how the roles and responsibilities will change to address the governance of more than one school including any new procedures or committee structures. In such cases, describe the roles and responsibilities of the education corporation's board of trustees.

The response should explain the role of the board in:

- Selecting school leader(s) (and partner or management organizations, if any);
- Monitoring school performance; and,
- Evaluating school leaders (and partner or management organizations, if any) and holding them accountable for achievement of the school's mission and goals.

Response incorporated by reference to Amber Third Renewal Charter, Section 2.10

(b) School Board Design

If the proposed school would have the same board design as the replicating school, incorporate the board roles and responsibilities by reference per the instructions above. If any of the following aspects of the proposed School Board Design would be different from the replicating school, describe the difference and provide the rationale for the relevant sections of this response, particularly if the proposed new school would be governed by the existing school board and there would be any new committee structures, officers, or trustees.

Describe and provide the rationale for the proposed design of the education corporation's board of trustees. This response should address:

- Number of trustees;
- Qualifications to be a trustee;

- **Trustee recruitment and selection process and criteria;**
- **New trustee orientation process;**
- **Officer positions;**
- **Standing committees (if any);**
- **Ex-officio members (voting and non-voting);**
- **Frequency of board and committee meetings;**
- **Information to be received from the CMO, school leadership, staff or contractors as applicable. If such information would be different in the case of adding an additional school to an existing education corporation please explain how and why the school board believes it will be provided sufficient information.**
- **Delegation of authority to any committees, officers, employees or contractors;**
- **Procedures for publicizing and conducting school board meetings and taking and maintaining board and committee meeting minutes in accordance with the NY Open Meetings Law;**
- **Procedures for handling complaints, including from staff and parents; and,**
- **Board training and development.**

Response incorporated by reference to Amber Third Renewal Charter, Section 2.10

- **Note:** Draft by-laws are included in Response 13(e) to be ratified by the board once the Amber II charter is approved.

(c) Current or Proposed Founding Board of Trustees

Complete the following table for all members of the current/proposed education corporation board, including any currently vacant seats that the board would fill by the end of the first year of operation (e.g., a seat for an ex-officio parent representative).

A minimum of five members must be identified when the proposal is submitted. (In circumstances where persons affiliated with a CMO will serve on the education corporation board, more than five trustees must be identified when the proposal is submitted. Please see the Guidance Handbook for more details.)

Please note that paid employees of the school may generally not serve as voting members of the board or count toward a quorum when considering attendance, including administrators and teachers, except perhaps in limited circumstances. Please see the Guidance Handbook for further information.

Board of Trustees

Name	Voting	Ex-Officio	Officer Position and/or Committee Membership	Length of Initial Term
David Briggs	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Chair	3

Name	Voting	Ex-Officio	Officer Position and/or Committee Membership	Length of Initial Term
Soledad Hiciano	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Vice Chair	3
Julio Sandoval	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Treasurer	3
Jessica Jimenez	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Secretary	3
Jorge Romero	<input checked="" type="checkbox"/>	<input type="checkbox"/>		3
James N. Serafino	<input checked="" type="checkbox"/>	<input type="checkbox"/>		3
Manny Morales	<input checked="" type="checkbox"/>	<input type="checkbox"/>		3
Frank Aldridge	<input checked="" type="checkbox"/>	<input type="checkbox"/>		3
Jenna Pantel	<input checked="" type="checkbox"/>	<input type="checkbox"/>		3
Ann Wiener	<input checked="" type="checkbox"/>	<input type="checkbox"/>		3
Aileen Wilson	<input checked="" type="checkbox"/>	<input type="checkbox"/>		3
Cecilia Castro	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Amber I Parent Representative	1
Vacant	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Amber II Parent Representative	1

Explain the capacity of the board to govern the proposed school and ensure that its mission is met, including the relevant skill sets and experiences of the proposed board members and the extent to which those skills sets have contributed to effective oversight of the school(s) to be replicated.

Amber's board possesses the range of relevant skills and expertise to provide rigorous oversight for a public charter school. Its current members' include parents and community members with backgrounds that include:

- Education administration
- Elementary, secondary and post-secondary instruction
- Banking and finance
- Engineering
- Management consulting
- School governance
- Law
- Special Education

- Business
- Accounting
- Technology
- Architecture
- Construction and development

The Amber board has been responsive to the school's needs and made adequate resources available to allow it to succeed. As a result, the school has secured a private facility, obtained high demand and satisfaction from parents, and had its charter renewed three times.

Below are descriptions of the board member's training, expertise and interests.

David Briggs: Board Chair

- David Briggs, A.I.A., is the Chair of the Board of Trustees at Amber Charter School. He has recently joined the Board of Trustees for four New Visions charter schools in Brooklyn. In 2009, Dave co-founded Gowanus by Design, a nonprofit community-based advocacy group that is exploring the long-term urban planning challenges around the Gowanus Canal Superfund site in Brooklyn. Dave opened his own architectural practice in 1993 and founded Loci Architecture PC in 1998. Since then, both the firm and its range of design work have included commercial, educational, institutional, community development, and residential projects. In 1997, he was awarded the A.I.A. New York City Chapter Stewardson Keefe LeBrun Travel Grant to study Indian railroad architecture. His teaching credentials include Visiting Critic for the Weimar Bauhaus University "Summer Academy in Rome," 1999, 2000, and 2004; Visiting Critic/Professional Advisor for the 3rd and 5th year architecture studios at Philadelphia University, 1998-2005; and Adjunct Professor for Design III at Philadelphia University, 2002.

Soledad Hiciano: Board Vice Chair

- Soledad Hiciano was born in Santo Domingo, Dominican Republic. She joined her parents in the United States in 1973, when she was 8 years old. A product of Washington Heights, Soledad obtained both a Bachelor of Science from Mercy College in Dobbs Ferry, New York. She is the mother of three daughters and a resident of Washington Heights. Over the past seven years Soledad Hiciano has served as the Executive Director of La Asociación Comunal de Dominicanos Progresistas (ACDP) or Community Association of Progressive Dominicans, a highly respected community organization serving thousands of families in Northern Manhattan and the Bronx. ACDP is the first Dominican community based organization in Washington Heights. ACDP has been providing services to Washington Heights for over 25 years. The mission of Community Association of Progressive Dominicans (ACDP) is to promote and develop the physical, emotional, social and economic well-being of the residents of Upper Manhattan, the Bronx, and New York City by facilitating community empowerment through education, provision of human services, and the development of individual skills and community leadership. Soledad Hiciano has been and still is very active in the role of parent advocate in the field of education. She led the Presidents Council of District Six in 1997. Soledad was a key member of the ACDP-sponsored team that founded

PS 210/Twenty-first Century Academy for Community Leadership in 1997, and has remained an active parent at 21st Century Academy. She played a key role in the founding of Amber Charter School. Soledad has served as a member of the Amber Charter School Board since its founding by ACDP in 2000. In her role as the Executive Director of ACDP she also serves as an ex officio member on the Amber Charter School Board of Trustees.

Julio Sandoval: Board Treasurer

- Julio Sandoval is a Senior Vice President at Citigroup, a multinational financial services company. He works in the Financial Planning and Analysis team within the Citi Holdings organization which specializes in managing and divesting Citigroup's non-core assets, he is also the Finance Lead for the Special Asset Pool segment. Before joining Citigroup, Julio worked as a consultant at CISA Consultores and Deloitte both in Mexico City and at American Express as a Business Development manager at their Latin American headquarters in Miami FL. Julio has an Industrial Engineering degree from ITESM in Mexico City and a MBA from The Fuqua School of Business / Duke University. Julio grew up in Mexico City and moved to the U.S. when pursuing his MBA; he currently lives in Manhattan and is an avid soccer fan.

Jessica Jimenez: Board Secretary

- Jessica M. Jimenez is an associate in Barton LLP's Corporate Department. Jessica represents a variety of domestic and international clients, ranging from start-up businesses to Fortune 500 companies. Jessica regularly advises clients in an outside general counsel role on a variety of matters, including those in the areas of corporate formation and governance, contract, securities, commercial lending, real estate, intellectual property, employment, and pre-litigation dispute resolution. Further, Jessica counsels clients in the negotiation and consummation of asset and stock purchases, mergers, corporate reorganizations, transfers of interest, buy-sell agreements and corporate redemptions. Although Jessica's practice remains focused on contractual matters and business transactions, she has also taken part in the prosecution and defense of claims of securities fraud, misappropriation of corporate assets, RICO, breach of contract, copyright and trademark infringement, employment discrimination and labor law violations. Prior to pursuing a career in law, Jessica was Marketing Director of AdvantEdge TV Advertising, where she worked closely with the general counsel of the firm, negotiated talent agreements with members of the Screen Actors Guild, and license agreements with healthcare networks, financial institutions and regional retail companies. She is fluent in Spanish, proficient in Italian and brings a variety of cultural experiences to the practice that enhances the overall diversity of the firm.

Jorge Romero: Board Member

- Jorge Romero is an analytical fiscal executive and administrator with more than 30 years' results-driven experience in all aspects of financial control and accountancy. Mr. Romero has received awards for his work and dedication from leading community agencies and institutions such as: NY State Senate, Regional Aid for Interim Needs, Inc., Christian

Community Benevolent Association, Inc., Christmas in April The Bronx, Mercy College, and others. He holds an undergraduate degree in Accounting and Finance from Mercy College and a Masters of Science from Long Island University. He has been an adjunct professor in the Business and Economics Department at Mercy College for the past 30 years.

James N. Serafino: Board Member

- James N. Serafino is the founder of Copper Hill Development, an Owners Representative firm. He started Copper Hill in 2006 after 14 years of experience and more than \$200 Million worth of successfully completed construction projects. Copper Hill assists clients in the planning, design, and construction of their corporate facilities. Prior to forming Copper Hill Development, James was the Associate Director of Facilities at SAC Capital Advisors. While at SAC he oversaw a vast expansion of the business and helped develop locations both domestically and internationally. Before joining SAC James worked at Salomon Smith Barney. James received a Bachelor's of Architecture from New York Institute of Technology in 1992. James lives in Long Island with his [REDACTED]

Manny Morales: Board Member

- Manny Morales the principal of MIM Consulting Services, Inc., helps businesses with executive leadership and staff development. He started MIM Consulting in 2000 as a technology solutions firm, but moved towards business consulting in 2009. Manny began his career in architecture, working for firms such as Richard Gluckman Architects and Fox & Fowle Architects. Whether architecture, information technology, or consulting, Manny's career has focused on finding solutions for organizations to help them fulfill their vision. Manny is thankful for his parents' courage in immigrating to New York from Colombia with two young boys, and is proud of his New York City public school education. He received a Bachelor of Architecture from Rensselaer Polytechnic Institute. Manny lives in Forest Hills, NY with his wife and two sons.

Frank Aldridge: Board Member

- Frank Aldridge is an Assistant Vice President at Tradeweb Markets LLC, a leading firm in operating electronic over-the-counter marketplaces that has helped transform the way trading occurs in the fixed income and derivatives markets. Frank began his career at Ernst & Young LLP in their Financial Services Office where he worked in their audit and advisory practices. He received his BBA in Accounting from the University of Georgia and is currently pursuing his MBA from New York University. Frank has lived in Manhattan since graduating from the University of Georgia and has previously been involved in the community through the SLE Lupus Foundation and Habitat for Humanity.

Jenna Pantel: Board Member

- Jenna graduated magna cum laude from Syracuse University's S.I. Newhouse School of Public Communications and the College of Arts and Sciences. She then graduated magna cum laude with her Juris Doctorate from the University of Miami School of Law. While at the University of Miami, Jenna participated in the Center for Ethics and Public Service's Street Law program. As a Street Law fellow, she taught law and ethics to Miami Senior High School students. Jenna is currently an associate at a New York City education law firm where she represents parents of students with disabilities. Jenna has been interested in education, education law, and education policy since taking her first psychology of reading disabilities course at Syracuse University. Since that time Jenna has dedicated herself to learning more about educational issues and helping students.

Ann Wiener: Board Member

- Ann Wiener graduated from Smith College and then went to Harvard Graduate School of Education where she was awarded a Master's Degree. Ann has experience as an elementary and secondary school teacher, was the Founding Principal at Crossroads School from 1990-2005, and is the ex-chair and member of North Dakota Study Group's Planning Group. Ann is also the Founder of Urban Teaching Fellows Program and served as a board chair at Whitby School, Buxton School, and The Prospect School. Ann currently coaches new principals starting new schools for the Leadership Academy. In addition, she works with the Office of New Schools to select and train prospective new principals of new schools, and as a consultant to networks and other educational entities. Ann loves to visit new places and has recently done home exchanges in Istanbul, Marrakesh, and Provence as well as travelled to Bhutan, Ethiopia, and Iran.

Aileen Wilson: Board Member

- Aileen Wilson is currently Associate Professor, Art and Design Education, Pratt Institute where she was Director of the Saturday Art School from 2002-2009. Born and brought up in Scotland, she moved to London where she worked for many years with the Inner London Education Authority and Hackney Social Services as an art teacher in programs serving young people at risk of custodial sentences and/or homeless and attending drug and alcohol treatment programs. She came to New York in 1995 and before joining the faculty at Pratt, she was an art teacher in a middle school in Harlem. In addition to a B.A. (Hons) 1st class Printmaking/Painting, Gray's School of Art, Aberdeen, Scotland, and an M.A. in Printmaking, Chelsea School of Art, London, UK, she recently earned an EdD.(with distinction) in Art/Art Education, Teacher's College, Columbia University, New York City. She was confirmed as a Fulbright specialist candidate 2010-2015 and was a Fulbright specialist grantee to Iceland in 2011 and 2012. While she has been involved in all aspects of art and design education, her research interests include the process and content of adolescent drawing and the role of art and design in youth and community development. Her volunteer work has included participating in community development projects in Cuba and Nicaragua and working in the Vietnamese camps in Hong Kong. She worked as an architectural illustrator in Hong Kong from 1992-1994. [REDACTED]

Cecilia Castro: Parent Representative

- Cecilia Castro currently works at a dental office and is also the Parent Representative to the Board at Amber Charter School. Before serving at the Amber Board Cecilia volunteered at a Mount Carmel Holy Rosary Elementary School's Parent Association and at Lasalle Academy High School's Parents Association. Her previous volunteer work included assisting at open houses, dance events, and award ceremonies. Cecilia graduated from Norman Thomas High School. When Cecilia is not at Amber she is at Steven Kauftheil's D.D.S. Dental Office where she works as the Office Manager.

(d) Stakeholder Participation

If stakeholders are able to participate in school governance in the same manner as the replicating school, incorporate this section by reference per the instructions above. If there are any differences, explain how parents and school staff, including teachers, will be able to provide input and participate in the governance of the school.

Response incorporated by reference to Amber Third Renewal Charter, Section 2.10

By-Laws
Of
Amber Charter Schools

ARTICLE I

Name

Section 1. The name of this nonprofit Corporation is Amber Charter Schools (the “Corporation”).

ARTICLE II

Purposes

Section 1. The Corporation has been founded to operate exclusively for charitable, nonprofit purposes, including but not limited to the following:

A. To create and operate public charter schools to educate students in kindergarten through fifth grade so that they will be prepared to become fully-educated, creative adults, prepared to play leadership roles in New York City and in the global society.

B. To receive and maintain a fund or funds and to apply income and principal thereof consistently within existing laws exclusively for such charitable or

educational purposes within the State of New York as in the judgment of the Board of Trustees of the Corporation shall be in furtherance of the public welfare and tend to promote the well-being of an indefinite number of people of the State of New York; and to that end, in any lawful manner whatsoever, to establish or maintain, in whole or in part, charitable and educational activities, the purposes of which are to assist in the promotion of the physical, social, and emotional well-being of children and youth;

C. To borrow money and take hold by bequest, devise, gift, purchase, lease or otherwise, either absolutely or in trust for any of the purposes of the Corporation, any property, real, personal, or mixed, without limitations as to amount or value, except such limitations, if any, as shall hereafter specifically be imposed by law, and to sell, convey, lease, mortgage, or otherwise dispose of any such property and to invest and reinvest the principal thereof or the income therefrom, and, subject only to such limitations, if any, as may be imposed in any instrument under which any such property may be received, to deal with, said principal or income to or for the above-mentioned purposes or to, or in aid of, any of the aforesaid activities or in any other manner or for any other purposes that shall be deemed by the Board of Trustees to be an effective agency for the promotion or fulfilling the purposes hereinbefore set forth, provided, however, that in no event and under no circumstances shall any part of the funds of the Corporation, whether principal

accumulations or earnings, be distributed to, or inure to, the benefit of any Trustee or Officer of the Corporation;

D. To enter into, make, perform, and carry out contracts and obligations of every sort and kind with any person, firm, association, corporation, private, public or municipal, or body politic that would be necessary in the judgment of the Board of Trustees to attain the purposes as hereinbefore set forth;

E. To do all and everything necessary, suitable or proper for the accomplishment of any of the purposes hereinbefore set forth or the attainment of any one or more of the objects herein enumerated or incidental to the powers herein named, including the employment of such staff as is necessary to carry out the purposes of the Corporation;

F. It is the intent and purpose that the Corporation shall be organized and operated exclusively for charitable educational purposes, within the classification of legal charities, and no part of the net earnings or principal shall inure to the benefit of any individual and no substantial part to the activities of the Corporation, or any recipient of its funds, shall be used to carry out propaganda or otherwise to attempt to influence legislation; and

G. The Corporation shall not discriminate against applicants for its services on the basis of race, color, religion, gender, sexual orientation, or national origin. If demand for admission exceeds the Corporation's capacity, applicants will be selected by a lottery process, consistent with New York Charter School law.

The foregoing clauses shall be construed both as objects and powers, and it is hereby expressly provided that the enumeration herein of specific powers shall not limit or restrict, in any manner, the exercise of all powers of the Corporation, as a corporation organized not-for-profit as provided in the statutory and decisional law of the State of New York and several supplements thereto and amendments thereof, or the doing of such acts as may be necessary and proper or incidental to the carrying out of the purposes for which the Corporation is organized.

ARTICLE III

Membership

Section 1. There shall be no members of the Corporation.

ARTICLE IV

Board of Trustees

Section 1. **Function.** The business, property, and affairs of the Corporation (except those operations and policies delegated herein to the Heads of School) shall be governed by a Board of Trustees (the “Board of Trustees”).

Section 2. **Qualifications and Number.** Trustees shall be at least eighteen (18) years of age and legal residents of the United States but not necessarily of the State of New York. The authorized number of Trustees shall not be less than seven (7) nor more than nineteen (19), including two *ex officio* seats. Within the limit so specified, the authorized number of Trustees may, from time to time, be increased or decreased, by action of the Board of Trustees. The Board of Trustees shall consist of persons chosen with due consideration for diversity of occupations and areas of interest. One *ex officio* position shall be held by the Executive Director of the Community Association of Progressive Dominicans. A Board seat will be reserved for one parent from each Amber Charter School operated by the Corporation. A Trustee shall receive no compensation for his/her services as a member of the Board of Trustees.

Section 3. **Election and Term of Office.** Trustees will be selected for three-year terms on a rotating basis. All Trustees are eligible for re-selection without limit.

Exceptions: *Ex officio* Trustees will serve their terms without limit. The Board positions reserved for Amber Charter School parents will be assigned one-year terms.

The Board Chair is empowered to appoint a Membership Committee to accept nominations for additional Trustees and to conduct interviews, check references, and take any other appropriate action in order to make a recommendation to the Board. Such recommendations will then be voted upon by the entire Board of Trustees, with a majority signaling approval of such recommendation.

Each parent seat will be filled by the majority vote of all parents of the respective Amber Charter School. Such elections will be held at the end of the school year each June.

The Board will establish its own rules for conduct, expanding upon those laid out in this document. Such rules may be subject to change from time to time, by resolution of the Board of Trustees.

Upon the occurrence of a vacancy in any office, the unexpired term thereof shall be filled by majority vote of the Board of Trustees. In the event that one of the vacated seats is the one reserved for a parent, the vacancies will be filled by vote of the appropriate constituency group by the same process described above. Such vacancy must be filled within forty school days of the resignation of said Trustee.

Section 4. **Regular Meetings.** The Board of Trustees may by resolution from time to time fix a time and place within the State of New York for Regular Meetings of the Board of Trustees and notice of such resolution shall be deemed notice of each such meeting. Special Meetings may be called by the Chair of the Board of Trustees or by a majority of the Trustees on three (3) days notice. The provisions of this section may be waived by a writing signed by all Trustees either before or after the Special or Regular Meeting to which the same relates.

Section 5. **Annual Meetings.** The Annual Meeting of the Corporation shall be held at such place, date, and time during the month of June of each year as selected by the Board of Trustees. At the annual meeting, the Board of Trustees will elect, by a majority vote, a Chairperson, Vice-Chairperson, Secretary, and Treasurer, and shall further transact such other business as may properly come before it.

Section 6. Compliance with New York State Open Public Meetings

Law. If and to the extent that any language in these By-Laws is inconsistent with the New York State Open Public Meetings Law, the provisions of such Act shall supersede such language and shall be controlling in lieu thereof.

Section 7. Quorum and Voting. Unless a greater proportion is required by law, at any meeting of the Board of Trustees, a majority of all the filled positions on the Board of Trustees shall constitute a quorum for the transaction of business. Except as otherwise provided by law, the State-approved charter application, or these By-Laws, at any meeting of the Board of Trustees at which a quorum is present, the vote of a majority of the Trustees present at the time of such vote shall constitute the act of the Board of Trustees. If at any meeting of the Board of Trustees there shall be less than a quorum present, the Trustees may adjourn the meeting until a quorum is obtained. At a duly adjourned meeting at which a quorum is then present, any business may be transacted at the meeting as originally called.

Section 8. Participation in a Meeting by Videoconference. Members of the Board of Trustees or any committee thereof, may participate in a meeting of the Board of Trustees or committee, as the case may be, by means of a videoconference allowing all persons participating in the meeting to see, speak to

and hear each other, and participation in a meeting pursuant to this Section shall constitute presence at such meeting so long as the public has notice of and access to all videoconference locations. Trustee participation shall be in compliance with the Open Meeting Law.

Section 9. **Removal.** At any Regular or Special Meeting of the Board of Trustees called for the purpose of removing a Trustee, a Trustee may be removed, for cause by a vote of the majority, or without cause by a vote of two-thirds, of the Trustees then in office. For purposes of this Section, “cause” shall include, but not be limited to, failure by a member of the Board of Trustees to comply with the principles and policies set forth in the Corporation’s Code of Ethics and/or unexcused absence from three (3) successive regularly scheduled meetings. With respect to the parent and teacher Trustees, each may be removed upon the loss of status as a parent or teacher.

Section 10. **Resignation.** Any Trustee may resign from office at any time by delivering a resignation in writing to the Chair of the Board of Trustees, and the acceptance of such notice of resignation, unless required by its terms, shall not be necessary to make the resignation effective.

Section 11. **Written Action.** Any action required or permitted to be taken pursuant to authorization voted at a meeting of the Board of Trustees or any committee thereof may be taken without a meeting if, prior or subsequent to the action, all members of the Board of Trustees or of the committee, as the case may be, consent thereto in writing and the written consents are filed with minutes of the proceedings of the Board of Trustees or committee.

ARTICLE V

Officers

Section 1. **Generally.** The Officers of the Board of Trustees shall be a Chairperson, a Vice Chairperson, a Secretary and a Treasurer, all of whom shall be elected by the Board of Trustees at the Annual Meeting, in accordance with Article IV Section 5 of these By-Laws. The Board of Trustees may from time to time appoint such Assistant Secretaries and Assistant Treasurers with such duties as it may deem advisable.

Section 2. **Chairperson.** The Chairperson will be the official spokesperson of the Corporation. It will be the duty of the Chairperson to preside at all meetings of the Board of Trustees and to have general supervision of the affairs of the Corporation. The Chairperson will execute or designate someone to execute on behalf of the Corporation all contracts, deeds, conveyances, leases, loan

documentation, and other instruments in writing that may be required or authorized by the Board of Trustees for the proper and necessary transaction of the business of the Corporation; provided, however, that the Board of Trustees may authorize others to execute certain instruments on behalf of the Corporation as provided in Article IX of these By-Laws. The Chairperson shall be an ex officio member of all committees, without vote.

Section 3. **Vice Chairperson.** It will be the duty of the Vice Chairperson to act in the absence or disability of the Chairperson and to perform such other duties as may be assigned to him or her by the Chairperson of the Board of Trustees. In the absence of the Chairperson, the execution by the Vice Chairperson on behalf of the Corporation of any instrument will have the same force and effect as if it were executed on behalf of the Corporation by the Chairperson.

Section 4. **Secretary.** The Secretary will be responsible for overseeing the proper maintenance of the corporate records. The Secretary will give or cause to be given all notices of meetings of the Board of Trustees and all other notices required by law or by these By-Laws. The Secretary will oversee the proper preservation of all books, correspondence, and papers relating to the business of the Corporation, except those of the Treasurer. The Secretary will present or cause to be presented at each annual meeting of the Board of Trustees a full report of the

transactions and affairs of the Corporation for the preceding year and will also prepare and present to the Board of Trustees such other reports as it may desire and request at such time or times as it may designate. The Board of Trustees at its discretion may elect an Assistant Secretary, not necessarily a member of the Board of Trustees, who will perform the duties and assume the responsibilities of the Secretary as set forth above under the direction of the Secretary or the Chairperson.

Section 5. **Treasurer.** The Treasurer will oversee the finances of the Corporation. The Treasurer will present to the Board of Trustees, at its Annual Meeting, an annual report of the finances of the Corporation, and will from time to time make such other reports to the Board of Trustees as the Board may require. The Board of Trustees at its discretion may elect an Assistant Treasurer, not necessarily a member of the Board of Trustees, who will perform the duties and assume the responsibilities of the Treasurer as set forth above under the direction of the Treasurer or the Chairperson.

Section 6. **Additional Powers.** Any officer of the Corporation, in addition to the powers conferred upon him or her by these By-Laws, will have such additional powers and perform such additional duties as may be prescribed from time to time by the Board of Trustees.

Section 7. **Unexpired Term.** Upon the occurrence of a vacancy in any office, the unexpired term thereof shall be filled by majority vote of the Board of Trustees.

ARTICLE VI

Head of School and Administrative Staff

Section 1. **General.** The Board of Trustees may employ a Head of School for each charter school that it operates for such term and upon such conditions and for such remuneration as the Board may deem advisable. The Board of Trustees may at any time terminate a Head of School's employment. The Board of Trustees may immediately suspend a Head of School from some or all of his or her duties at any time with or without cause, consistent with State and Federal laws.

Section 2. **Head of School's Responsibilities.** The Head of School shall administer the educational policy of the Corporation to further its express purposes and shall, on behalf of the Corporation, engage school staff in accordance with budget limitations imposed by the Board of Trustees. He or she shall supervise or cause to be supervised all personnel of his or her school including administrative staff. The Head of School shall formulate the budget of his or her school and

present it to the Board of Trustees for its approval. The Head of School shall also facilitate the day-to-day operation of his or her school.

ARTICLE VII

Committees

Section 1. **Generally.** There shall be standing committees of the Board of Trustees. Committee chairpersons and members shall be appointed by the Chairperson of the Board of Trustees no later than the Annual Meeting of the Board of Trustees. The Chairperson of the Board of Trustees shall be an ex officio member of all committees, without vote. All standing committees shall report their activities to the Board of Trustees and shall make recommendations directly to the Board of Trustees on matters referred to them or falling within their respective fields of responsibility.

Section 2. **Standing Committees.** Committees shall include but not limited to the following: Finance, Educational Programming, Governance, Facilities and Development.

Section 3. **Creation of Additional Committees.** The Board of Trustees may from time to time determine that additional committees shall be created and what their duties shall be.

ARTICLE VIII

Fiscal Year, Books and Records

Section 1. The fiscal year of the Corporation shall begin July 1 of each year.

Section 2. The books and records of the Corporation shall be audited annually by a certified public accountant selected by the Board of Trustees.

ARTICLE IX

Miscellaneous

Section 1. The Corporation shall have the power, but not the obligation, to indemnify and hold harmless any Trustee, Officer or employee from any suit, damage, claim, judgment, or liability arising out of, or asserted to arise out of, conduct of such person in his or her capacity as a Trustee, Officer, or employee, unless such indemnification is prescribed by an applicable State or Federal law. The Corporation shall have the power, but not the obligation, to purchase or procure insurance for such purposes.

Section 2. The Board of Trustees may authorize any Officer or Officers, agent or agents of the Corporation, including a Head of School, in addition to the Officers so authorized by these By-Laws, to enter into any contract or execute and deliver any instrument in the name of, and on behalf of, the Corporation. Such authority may be general or confined to specific instances.

Section 3. All checks, drafts, and other orders for payment of funds will be signed by such Officers or such other persons as the Board of Trustees may designate. All orders for payment will require two such signatures.

Section 4. The Corporation will keep correct and complete books and records of accounts and will also keep minutes of the proceedings of its Board of Trustees; and it will keep at the registered or principal office a record giving the names and addresses of the members entitled to vote. All books and records of the Corporation may be inspected by any member of the Board of Trustees for any proper purposes at any reasonable time.

ARTICLE X

Transfers of Assets on Liquidation or Dissolution

Section 1. Upon liquidation or dissolution of the Corporation the net assets remaining to it, except as otherwise provided by law or regulation of the State of

New York, or the terms of a special legacy or gift, and after satisfaction of all debts and obligations, shall be transferred and distributed to another charter school within the City of New York or to the Board of Education of the City of New York.

ARTICLE XI

Amendments

Section 1. The By-Laws may be amended by a majority vote of the Board of Trustees present at any Annual or Regular or Special Meeting, provided that the notice of the tenor and purpose of such amendment shall have been included in the notice of such meeting.

I HEREBY CERTIFY that the foregoing is a full, true and correct copy of the By-Laws of Amber Charter Schools, a New York nonprofit corporation as in effect on the date hereof.

WITNESS my hand and the seal of the Corporation.

Dated: _____

Secretary of
AMBER CHARTER SCHOOLS
Board of Trustees

(SEAL)

DRAFT

(f) Code of Ethics

Proposed new education corporation

If the proposed education corporation would have the same Code of Ethics as the replicating education corporation, please note that but also include the Code of Ethics with the name of the proposed education corporation

Existing education corporation

If there are no changes to the Code of Ethics, please state that fact. If any aspect of the Code of Ethics would be different from the replicating school, complete this Response accordingly.

Note for all replicating applicants

The code of ethics must conform to the applicable provisions of the General Municipal Law that have applied to charter schools since 2010. Applicants may not incorporate by reference a code of ethics that does not fully reflect General Municipal Law. Applicants representing a school and/or education corporation that does not have an Institute approved code of ethics reflecting all of the provisions of the General Municipal Law must submit a full, up to date code of ethics.

Attach the code of ethics of the charter school. The code of ethics must include a comprehensive and formal conflict of interest policy with specific procedures for implementing the policy and assuring compliance therewith. The code of ethics and conflict of interest policy must be written to apply not only to trustees, but also to officers and employees of the school in conformity with the General Municipal Law.

Response incorporated by reference to Amber Third Renewal Charter, Section 2.9

(g) Board Member Information

ONLY for new education corporation trustees, please attach a resume or biographical statement and a completed “Request for Information from Prospective Charter School Board Members” (RFI form) for each proposed new board member to the Institute. The RFI form can be found on the Institute’s website at: <http://newyorkcharters.org/schoolsBOT.htm>.

Not applicable

- **Note:** Biographies of all board members are provided in Response 13.

14. Community Relations

(a) District Relations

Provide supporting evidence of any explicit support for the proposed school from the school district in which the school intends to be located. Also include;

- Strategies for establishing and maintaining an ongoing relationship with the local school district including any foreseen opportunities or challenges; and,
- A description of low-performing schools in the area where the proposed charter school intends to be located and explain how the charter school might partner with those schools to share best practices and innovations.

District Relations

At this time Amber does not have explicit support from the New York City Department of Education. However, depending on where it locates, Amber II expects to achieve a strong relationship with either CSD 6 or CSD 28. For starters, the school will work with the district's Committee on Special Education (CSE) in a collaborative fashion to ensure students with disabilities receive appropriate placements. It will educate the CSE about its programs and track records so the CSE understands the unique opportunity Amber can provide to its students.

Low-Performing Schools

All of the schools in CSD 6 can be considered low performing in the sense that no school has a majority of students proficient in English language arts or mathematics. In 13 schools less than 10% of students were proficient in ELA and in 10 schools less than 10% were proficient in mathematics.

School Performance in CSD 6

School	Percent Proficient in ELA	Percent Proficient in Math
06M004	11.3	10.2
06M005	9.5	16.2
06M008	12.9	20.5
06M018	7.1	13.4
06M028	17.2	22.4
06M048	11.3	15.9
06M052	8.7	7.7
06M098	15.2	17.4
06M115	8.7	11.3
06M128	17.4	26.0
06M132	8.8	10.4
06M143	8.5	7.2
06M152	11.4	9.3

06M153	23.1	26.9
06M173	16.5	25.2
06M187	32.9	34.3
06M189	17.1	20.3
06M192	15.3	29.6
06M210	17.6	13.8
06M218	3.1	2.8
06M223	46.1	47.8
06M278	24.1	26.9
06M293	22.6	38.3
06M311	25.5	24.5
06M314	30.8	28.6
06M319	9.7	10.5
06M322	5.2	8.3
06M324	13.2	25.8
06M325	6.1	11.3
06M326	4.6	5.1
06M328	2.6	1.2
06M346	2.6	1.6
06M348	12.6	28.9
06M349	3.3	3.1
06M366	33.1	29.9
06M368	15.6	20.9
06M528	10.0	3.7

School Performance in CSD 28

Most schools in CSD 28 are low-performing. In only five schools were more than half of the students proficient in English language arts and in only seven schools were they proficient in mathematics.

School	Percent Proficient in ELA	Percent Proficient in Math
28Q008	10.3	8.8
28Q030	9.1	14.1
28Q040	8.2	13.7
28Q048	14.6	11.3
28Q050	25.8	37.5
28Q054	23.4	29.1
28Q055	20.1	24.8
28Q072	11.4	11.8

28Q080	19.6	19.9
28Q082	21.6	18.9
28Q086	26.8	27.9
28Q099	33.3	42.3
28Q101	64.4	71.2
28Q117	33.0	36.5
28Q121	37.4	52.2
28Q139	40.7	53.4
28Q140	11.3	11.1
28Q144	54.9	67.2
28Q157	41.6	47.7
28Q160	17.9	9.7
28Q161	43.9	48.5
28Q167	33.9	32.7
28Q174	49.3	50.3
28Q175	40.1	45.7
28Q182	20.8	23.5
28Q190	40.1	45.6
28Q196	70.2	79.0
28Q206	23.7	31.7
28Q217	23.2	22.1
28Q220	32.5	37.2
28Q284	40.6	47.5
28Q303	75.0	67.5
28Q310	21.9	19.4
28Q354	13.2	22.7
28Q680	75.9	73.8
28Q896	37.7	24.7

Partnering Opportunities

Amber is by its nature a collaborative organization and welcomes visits from and to other schools to share best practices and exchange ideas. This is evidenced by Amber's long-standing membership in CFN#9, a NYC DOE network of district schools. While CFN#9 was a network Amber collaborated by writing and receiving two federal grants that provided professional development to all 22 schools in the network. The federal grants were Teaching American History: History through Harmony [2010-2013] and Project ACCESS [2008-2009]. Amber would be open to sharing its curriculum, instructional methods, assessment practices, approach to school culture, and intervention models with other schools as well as creating opportunities for coordinated professional development with other schools, which might entail sharing the cost of external providers or exchanging staff presentations on effective practices. Amber also intends to build relationships with local schools to help identify the best middle school

placements for its students. Amber will cooperate fully with local schools regarding transfers, including timely provision of records and responses to inquiries. Finally, Amber would be very willing to collaborate on writing grants together with other schools.

(b) Community Relations

Describe any explicit support for this proposal from community stakeholders or others, including an analysis of both the depth of support and opposition to the school.

Amber has received Letters of Support from:

1. Melissa Mark-Viverito, Chair of the New York City Council
2. Broadway Housing Communities
3. Community Association of Progressive Dominicans
4. East Harlem Council for Community Improvement
5. Our Saviour Early Childhood
6. Center for Urban Education Ministries
7. Teachley
8. ABC Day Care
9. Museum of The City of New York
10. American Copy Machines
11. Four star Cleaning
12. Healthy Choices Vending
13. Salerno Brokerage Corp.
14. School Professionals
15. TDL Restoration, Inc.

Amber is considering locating its replication school in two communities, CSD 6 and CSD 28, and has already formed close partnerships with an anchor organization in each community. Amber has established a partnership with the Broadway Housing Communities Sugar Hill Development in CSD6. This has been a long standing partnership with the Dorothy Day Care Center, which is housed in one of Broadway Housing Centers, and has been a feeder to Amber Charter School's kindergarten classes. A new development is underway in West Harlem where they will have community space available for educational purposes. Amber has also formed a close partnership with the leadership of the Lutheran Church Our Savior and their governing body The Lutheran Church Missouri Synod in CSD28. Letters of support from both organizations are presented in Response 14(c).

The results of Amber's survey (N=338) in the community found overwhelming support. 87% of survey respondents felt there is a need for a program such as Amber in their neighborhood.

Comments included:

- I am not in the amber community but believe in what Amber is doing.
- The more options for our children, the better.
- I am for good schools that serve all children either public or charter.
- I am interested in helping in collaborating to create the art curriculum.

The survey also yielded some evidence of opposition to the school characterized by comments such as:

- Stay out of Washington Heights!
- I am concerned by the notion that charter schools can further weaken an already underfunded school system that over-emphasizes testing and lacks in too many other areas.
- No. Please do not take any more public school space for a charter. Our EXISTING schools need all the resources and space. [Note: Amber is not proposing to co-locate in public school space.]
- I'd like to know why charter schools feel it's okay to come into a community and take away space, money and the precious CHILD resources of the community. Creating charter schools do not build community they break down communities by taking away from the public schools and the parents that want their tax dollars used there and NOT for charter schools!!

14. Community Relations

(c) Evidence of Community Support

Submit actual examples, documents, etc. that provide evidence of support. See note in Response 15(c) – Evidence of Demand regarding potential overlap between evidence of support and evidence of demand.

Below are Letters of Support from:

1. Melissa Mark-Viverito, Speaker of the City Council
2. Broadway Housing Communities
3. Community Association of Progressive Dominicans
4. East Harlem Council for Community Improvement
5. Our Saviour Early Childhood
6. Center for Urban Education Ministries
7. Association to Benefit Children
8. Museum of The City of New York
9. St. Mary School
10. Teachley
11. Saint Jerome
12. My Father's House
13. American Copy Machines
14. Four star Cleaning
15. Healthy Choices Vending
16. Salerno Brokerage Corp.
17. School Professionals
18. TDL Restoration, Inc.



THE COUNCIL
OF
THE CITY OF NEW YORK
CITY HALL
NEW YORK, NY 10007

MELISSA MARK-VIVERITO
SPEAKER

TELEPHONE
(212) 788-7210

March 7, 2014

Vasthi Acosta
Principal
Amber Charter School
220 East 106th Street
New York, NY 10029

Dear Principal Acosta:

On behalf of the New York City Council, I would like to thank Amber Charter School for all the important work it does to provide our city's students with a high-quality, well-rounded education.

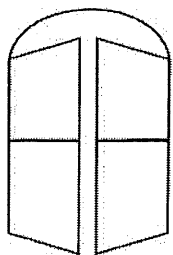
As one of the Council representatives for the El Barrio/East Harlem and South Bronx areas, I have seen firsthand the positive impact that your school is making in the lives of our city's youth. From a student's first day in class they receive a unique educational experience, including a strong bilingual (English/Spanish) program. And the results speak for themselves. Students at Amber consistently perform well on tests and succeed, both academically and beyond the classroom.

Thanks again for all of the important work that your school is doing to provide students in the El Barrio/East Harlem and South Bronx areas with a high-quality and well-rounded education. I wish you all the best success in your efforts to continue and expand your work.

Sincerely,

A handwritten signature in black ink, appearing to read "Melissa Mark-Viverito".

Melissa Mark-Viverito
Speaker



Broadway Housing
Communities

January 31, 2014

To Whom It May Concern,

Broadway Housing Communities (BHC) is a nonprofit community-based organization with a successful track record of success serving the neighborhoods of Washington Heights and West Harlem since 1983. I am writing in support of Amber Charter School's application for replication of their school in District 6.

BHC has developed and manages six affordable and supportive housing properties, a licensed early childhood center with an annual capacity for 51 pre-school children, and two community art galleries. BHC's newest and largest undertaking to date, the Sugar Hill development, is now in construction preparing for fall occupancy 2014. Sugar Hill will provide 124 apartments affordable to the median income of community residents, an early childhood center to serve 200 families with children birth through age five, and the Sugar Hill Children's Museum of Art & Storytelling.

BHC has developed a proactive partnership with the Amber Charter School because your staff welcomes children and families referred by BHC and deliver high quality programs that help to ensure academic success. BHC is acutely aware of the urgent unmet need for quality schools in District 6, forcing children and families to travel long distances and out of district to secure equal educational opportunities for their children. The prospect of an Amber Charter School in District 6 is an exciting one. We are particularly eager for quality local elementary school options given the significant BHC investment in early childhood programs at Sugar Hill.

BHC will share the broad network of community support BHC has earned over three decades of community service in District 6 with the Amber Charter School to facilitate recruitment of children and staff, and to encourage meaningful community partnerships. We look forward to pre-school siblings of Amber Charter School families attending the Sugar Hill Museum Preschool, and to sustained creative engagement with the Sugar Hill Children's Museum of Art & Storytelling, a new cultural institution chartered by the New York State Board of Regents.

Sincerely,


Ellen Baxter, Founder and Executive Director

583 Riverside Drive New York, NY 10031 (212)568-2030 fax (212)690-4874
www.broadwayhousing.org

Benziger/Abraham House 345 Edgecombe Avenue New York, NY 10031 Dorothy Day Apartments 583 Riverside Drive New York, NY 10031
The Stella 575 West 155th St New York, NY 10032 The Delta 409 West 145th St New York, NY 10031
The Heights 530 West 178th St New York, NY 10033 The Rio 10 Fort Washington Avenue New York, NY 10032



Community Association of Progressive Dominicans

February 7, 2014

To Whom It May Concern:

The Community Association of Progressive Dominicans (ACDP) is pleased to support Amber Charter School's application for replication of their school in District 28. For 25 years the Community Association of Progressive Dominicans has been an intermediary between agencies, such as the DOE, DYCD, DMH, United Way of New York and the residents of Upper Manhattan, the Bronx, and New York City. We have a long standing relationship with over 25 schools in the areas in NYC. ACDP is the founding agency in the creation of Amber Charter School and has continued to assist in the growth of Amber Charter School. We are proud and excited on the expansion of Amber to District 28 in offering parents other educational options for their children.

In the most recent New York State assessments 67% of the students in District 28 failed the English Language Arts (ELA) assessment in 3rd grade and 63% failed the math assessment in the same grade. In grades 4 and 5, District 28 students didn't score any better. In ELA 71% failed in 4th grade and 67% in 5th grade. In math 63% failed in 4th grade and 66% in 5th grade. There is a desperate need to close this achievement gap.

Amber is a successful school in great demand. The students regularly do better academically than if they attended another independent charter school or if they attended their local district. SUNY's CSI's own analysis shows Amber to be one of the charter schools that has had consistent strong impact on the academic growth of students. With approximately four student trying to get every one of Amber's open seats and an over waitlist roughly the size of the entire school, Amber is well positioned to replicate its elementary model (grades Kindergarten – 5th grade).

As a member of the community that Amber Charter School wishes to serve, I wholeheartedly and with confidence support their efforts to serve the children and families of my community. I know they will bring their successful model to impact the academic growth of our children and seek to deepen their roots in serving this community.

Respectfully,

Soledad Hiciano
Executive Director
Community Association of Progressive Dominicans

EAST HARLEM COUNCIL FOR COMMUNITY IMPROVEMENT, INC.

413 East 120TH Street, New York, NY 10035 / P: 212.410.7707 / F: 212.860.9708

www.acaclanetwork.org

February 6, 2014

To Whom it May Concern,

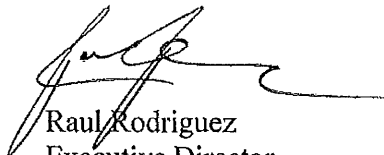
I would like to take this opportunity to acknowledge Amber Charter School's success in providing quality education to our children and to also support their application to replicate their educational model in School District 6.

In a recent New York State assessment, 81% of the students in District 6 failed the English Language Arts (ELA) assessment in 3rd grade and 78% failed the math assessment in the same grade. In grades 4 and 5, District 6 students didn't do well either. There is a desperate need to improve the quality of education our children receive.

Amber is a successful school in great demand. Amber students regularly score higher than the students in District 6. SUNY's CSI's own analysis shows Amber to be one of the charter schools that has had a consistently strong impact on the academic growth of students. With approximately four students vying for every one of Amber's open seats and an over waitlist roughly the size of the entire school, Amber is well positioned to replicate its elementary educational model (grades Kindergarten-5th Grade).

As a member of the larger community that Amber Charter School wishes to serve, I wholeheartedly support their efforts to serve the children and families of the District 6 community. I know they will bring their successful model to impact the academic growth of our children.

Respectfully,



Raul Rodriguez
Executive Director

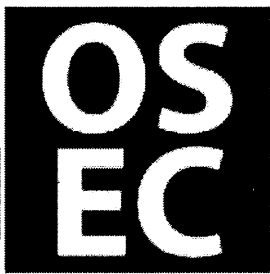


Raul Russi
Chief Executive Officer

Hon. Hector L. Diaz
President

Pamela Mattel
Chief Operating Officer

Tomas Del Rio
Chief Financial Officer



OUR SAVIOUR | EARLY CHILDHOOD

Nursery | Universal Pre-Kindergarten | Kindergarten

February 1, 2014

To Whom It May Concern,

When Our Saviour Early Childhood (OSEC) first heard about Amber Charter School seeking to expand their successful educational program to other locations, we were very interested in seeing if a relationship could develop.

Our team visited their location and has had subsequent meetings and discussions about what that relationship would look like. We are happy to say that we would like to join in a partnership and offer our existing extra space to them for the use of a charter school.

It is our hope that Amber Charter School is allowed to expand to assist our struggling community with their educational goals. If you should have any questions, please feel free to contact me at any time.

Warren Castellani, *Director of School and Operations*





February 6, 2014

To Whom It May Concern:

I write this letter in support of Amber Charter School's application for replication of their school in District 28.

In the most recent New York State assessments 67% of the students in District 28 failed the English Language Arts (ELA) assessment in 3rd grade and 63% failed the math assessment in the same grade. In grades 4 and 5, District 28 students didn't score any better. In ELA 71% failed in 4th grade and 67% in 5th grade. In math 63% failed in 4th grade and 66% in 5th grade. There is a desperate need to close this achievement gap.

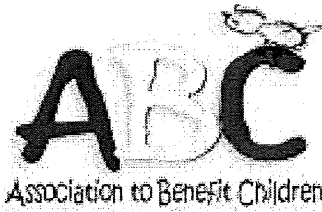
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As a supporter of the community that Amber Charter School wishes to serve, I wholeheartedly and with confidence support their efforts to serve the children and families in this community. I know they will bring their successful model to impact the academic growth of our children and seek to deepen their roots in serving this community.

Respectfully,

Marlene Lund
Executive Director
Center for Urban Education Ministries





419 East 86th Street
New York, N.Y. 10028
Tel (212) 845-3821 Fax (212) 426-9488
Web www.a-b-c.org Email abc@a-b-c.org

February 11, 2014

To Whom It May Concern:

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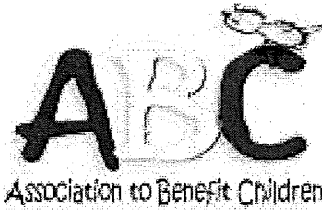
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Respectfully,

Duby Gonzalez
Family Service Coordinator for Head Start





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[REDACTED]

February 11, 2014



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The Museum of the City of New York has welcomed Amber Charter School's students, teachers and parents from East Harlem for fieldtrips, family programs, and special events for many years. We've seen first-hand the good rapport between teachers and students—children are always engaged and ready to learn in the Museum setting.

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Franny Kent-Del Valle

Director of the Schwarz Children's Center

Museum of the City of New York

February 11, 2014



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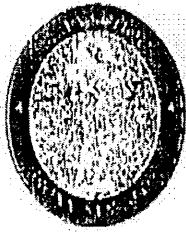
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Museum of the City of New York



ST. MARY SCHOOL

3936 Carpenter Ave., Bronx, NY, 10466 Tel: (718) 547-0300 Fax: (718) 547-0332
Website: www.stmaryschoolbx.org

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Respectfully,



500 7th Ave, 17B
New York, NY 10018
www.teachley.com

March 3, 12013

To Whom It May Concern:

I write this letter in support of Amber Charter School's application for replication of their school in District 28. I first began working with the students at Amber while doing my dissertation research at Teachers College, Columbia University and continue doing research there for Teachley, an educational technology startup I founded. I work with Amber students and teachers in the development and evaluation of educational apps for classrooms. I have continued my relationship with Amber because the students, teachers, and administrators are wonderful. The culture at Amber is unique – they push for excellence while remaining supportive and kind.

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Kara Carpenter, PhD
Co-founder
Teachley

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Co-founder
Teachley



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Rev. Jorge M. Randle, IVE
Pastor

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MY FATHER'S HOUSE INTERNATIONAL CHURCH

Pastors Frank and Diane Casado

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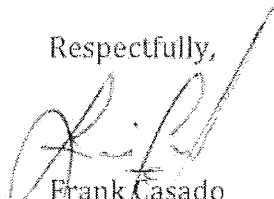
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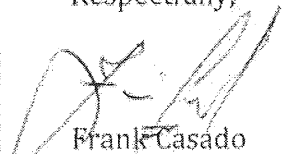
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141 West 28th Street, New York, NY 10001 • T (212)244.2727 • F (212)244-2739

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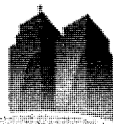
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Miky Faibis



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Fred Ross, President



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Healthy CHOICES

Vending, LLC.

350 Central Park West
New York, NY 10025 USA

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Gabrielle Rem



www.Healthy-Choices.com



Healthy CHOICES

Vending, LLC.

350 Central Park West
New York, NY 10025 USA

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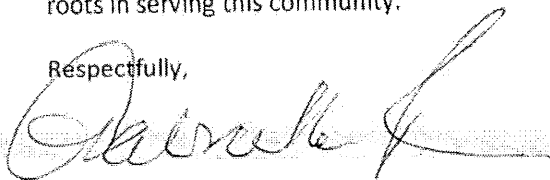
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www.Healthy-Choices.com



SALERNO BROKERAGE CORP.
TOWNS & VILLAGES RISK MANAGEMENT CORP.
HEALTH & FITNESS RISK MANAGEMENT CORP.

117 Oak Drive, Syosset, New York 11791-4625 • 516-364-4044 • Fax: 516-364-5901

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Philippe M. Rameau, ARM



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Very truly yours,

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SCHOOL PROFESSIONALS

SES TUTORING DIVISION

TEL 212 916 0888

FAX 212 867 1759

SUBSTITUTE TEACHING DIVISION

TEL 212 916 0810

FAX 212 867 1759

420 LEXINGTON AVENUE • NEW YORK, NY 10170 schoolprofessionals.com

To Whom It May Concern:

I write this letter in support of Amber Charter School's application for replication of their school in District 6.

In the most recent New York State assessments 81% of the students in District 6 failed the English Language Arts (ELA) assessment in 3rd grade and 78% failed the math assessment in the same grade. In grades 4 and 5, District 6 students didn't score any better. In ELA 86% failed in 4th grade and 80% in 5th grade. In math 79% failed in 4th grade and 82% in 5th grade. There is a desperate need to close this achievement gap.

Amber is a successful school in great demand. Amber students regularly score better than the students in District 6. SUNY's CSI's own analysis shows Amber to be one of the charter schools that has had consistent strong impact on the academic growth of students. With approximately four student trying to get every one of Amber's open seats and an over waitlist roughly the size of the entire school, Amber is well positioned to replicate its elementary model (grades Kindergarten – 5th grade).

As a member of the community that Amber Charter School wishes to serve, I wholeheartedly and with great confidence support their efforts to serve the children and families of my community. I know they will bring their successful model to impact the academic growth of our children and seek to deepen their roots in serving this community.

Respectfully,

Jose Medina

Client Services Supervisor, School Professionals



SCHOOL PROFESSIONALS

SES TUTORING DIVISION

TEL 212 916 0888

FAX 212 867 1759

SUBSTITUTE TEACHING DIVISION

TEL 212 916 0810

FAX 212 867 1759

420 LEXINGTON AVENUE • NEW YORK, NY 10170 schoolprofessionals.com

To Whom It May Concern:

I write this letter in support of Amber Charter School's application for replication of their school in District 28.

In the most recent New York State assessments 67% of the students in District 28 failed the English Language Arts (ELA) assessment in 3rd grade and 63% failed the math assessment in the same grade. In grades 4 and 5, District 28 students didn't score any better. In ELA 71% failed in 4th grade and 67% in 5th grade. In math 63% failed in 4th grade and 66% in 5th grade. There is a desperate need to close this achievement gap.

Amber is a successful school in great demand. The students regularly do better academically than if they attended another independent charter school or if they attended their local district. SUNY's CSI's own analysis shows Amber to be one of the charter schools that has had consistent strong impact on the academic growth of students. With approximately four student trying to get every one of Amber's open seats and an over waitlist roughly the size of the entire school, Amber is well positioned to replicate its elementary model (grades Kindergarten – 5th grade).

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Respectfully,

Jose Medina

Client Services Supervisor, School Professionals

TDL RESTORATION INC,
1137 PIERCE AVENUE
BRONX, NY 10461
718-822-0581

March 5, 2014

To Whom It May Concern:

I write this letter in support of Amber Charter School's application for replication of their school in District 28.

In the most recent New York State assessments 67% of the students in District 28 failed the English Language Arts (ELA) assessment in 3rd grade and 63% failed the math assessment in the same grade. In grades 4 and 5, District 28 students didn't score any better. In ELA 71% failed in 4th grade and 67% in 5th grade. In math 63% failed in 4th grade and 66% in 5th grade. There is a desperate need to close this achievement gap.

Amber is a successful school in great demand. The students regularly do better academically than if they attended another independent charter school or if they attended their local district. SUNY's CSI's own analysis shows Amber to be one of the charter schools that has had consistent strong impact on the academic growth of students. With approximately four student trying to get every one of Amber's open seats and an over waitlist roughly the size of the entire school, Amber is well positioned to replicate its elementary model (grades Kindergarten – 5th grade).

As a member of the community that Amber Charter School wishes to serve, I wholeheartedly and with confidence support their efforts to serve the children and families of my community. I know they will bring their successful model to impact the academic growth of our children and seek to deepen their roots in serving this community.

Respectfully,

Danny Quni

TDL RESTORATION INC,
1137 PIERCE AVENUE
BRONX, NY 10461
718-822-0581

March 5, 2014

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I write this letter in support of Amber Charter School's application for replication of their school in District 6.

In the most recent New York State assessments 81% of the students in District 6 failed the English Language Arts (ELA) assessment in 3rd grade and 78% failed the math assessment in the same grade. In grades 4 and 5, District 6 students didn't score any better. In ELA 86% failed in 4th grade and 80% in 5th grade. In math 79% failed in 4th grade and 82% in 5th grade. There is a desperate need to close this achievement gap.

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Respectfully,

A handwritten signature in black ink, appearing to read 'Danny Quni', written over the word 'Respectfully,'.

Danny Quni

15. Student Demand, Recruitment and Retention

(a) General Student Population

Describe the student demand for the school that would allow the school to meet the intended enrollment figures.

We believe there will be strong demand for Amber II based on the following factors:

- Charter School Waitlists:** With approximately four students trying to get every one of Amber’s current open seats and an overall waitlist roughly the size of the entire school, we have decided that it is time to replicate Amber’s elementary model. The New York City Charter School Center estimated that in 2013-14 there were 69,000 applicants for 18,600 seats and a citywide charter school “waiting list” of 50,400 students. In Manhattan there were 14,369 applications for 4,116 seats and in Queens 5,791 applications for 1,038 seats. Clearly charter schools are a phenomenon that continues to generate not only public interest but parental demand as well.
- Limited Options:** As described in Response 1 – Community Need, the overall achievement levels in CSD 6 and 28 are dismal. By the end of 5th grade in CSD 6 only 17% of students are proficient in ELA and in math; only about one-third of students are proficient in these subjects in CSD 28. And the results for English language learners and students with disabilities are even more alarming: less than 1 in 10 are proficient in either subject in either community. There can be no doubt that parents want and deserve a better option for their children.
- Community Outreach:** Our outreach efforts, which have included public and private meetings with parents and community leaders, have only served to reinforce our sense that parents are seeking alternatives such as Amber.
- Surveys:** We received 338 completed surveys and 151 respondents said “I would be willing to enter my child into the Amber Charter School lottery for admittance into Kindergarten or 1st grade.”
- Partnerships:** Partners have played a key role in Amber’s history and have provided valuable feedback and insight into its programs and the recent decision to replicate. In 2000, Community Association of Progressive Dominicans (ACDP) joined with parents and educators to open the original Amber Charter School. The school then cultivated a long standing partnership with the Dorothy Day Care Center in the Broadway Housing Centers, which has served as an important feeder into Amber’s kindergarten classes. And as Amber contemplates replication, it has relied on feedback and support from other partners in the community to validate its decision. Already Amber has formed a close partnership with the leadership of the Lutheran Church Our Savior and their governing body The Lutheran Church Missouri Synod in CSD 28 and established a partnership with the Broadway Housing Communities Sugar Hill Development in CSD6. These organizations tell us students in their communities need and want an option like Amber and are willing to partner with Amber to make it happen.

(b) Target Populations

Explain how the proposed school will meet or exceed the *enrollment* and *retention* targets established by the SUNY Trustees for students with disabilities, ELLs, and FRPL students. The response should address:

- The recruitment strategies the school will employ to attract each target population to the school (including outreach to parents in the community for whom English is not their primary language);
- Any at-risk admissions factors, set-asides or “preferences” the school would offer that would increase the likelihood of enrolling targeted students (understanding that the inclusion of such preferences will make the proposed school ineligible to receive federal Charter School Program (CSP) grant funding – please see Appendix A below and accompanying guidance related to Appendix A in Institute’s *Guidance Handbook* for further information); and,
- A brief explanation of the efforts, resources, structures or programs that the school will take to retain these students and how the school will monitor the efficacy of such efforts including disaggregation of student performance data for each subgroup.

Clearly delineate how the school would address each sub-group.

Recruitment Strategies

We have calculated enrollment and retention targets based on 650 students in Year 5 of operation for both CSD 6 and 28 and are confident that Amber’s current recruitment strategies will enable Amber II to meet these targets.

Enrollment and Retention Targets

District	Target	Free- and Reduced-Price Students	Limited English Proficient Students	Students with Disabilities
CSD 6	Enrollment	93.4%	46.4%	12.9%
	Retention	82.3%	82.3%	77.7
CSD 28	Enrollment	81%	16%	14%
	Retention	82.2%	80.4%	74.7%

Amber will use the following strategies to recruit a diverse student body:

- Presentations at local education programs
- Postings of flyers in local businesses and organizations
- Participation in school fairs
- Mailings to families in zip codes in proximity to the school
- Advertisements in local newspapers
- Radio interviews

Amber has also found that enabling parents to complete and submit applications online through the school’s website has been very effective in attracting interest.

In addition to the aforementioned strategies, Amber will use the following specific strategies to recruit the following target populations:

- **Students with Disabilities:** Recruitment materials will clearly indicate that Amber serves all students, including those with disabilities. Amber has also found that its close relationships with feeder pre-schools and daycare centers to be most effective in communicating to parents that Amber welcomes and gladly serves students with disabilities. The parent community becomes aware of Amber as an option for their child, regardless of the difficulties they may already be having in pre-kindergarten programs.
- **English Language Learners:** As the first Latino-led charter school in New York State founded by the Community Association of Progressive Dominicans (ACDP), Amber has strong credibility with ELL families in the community. Amber II will follow in this tradition, using translated materials and Spanish speaking staff to recruit students whose home language may not be English. The school will advertise in non-English speaking media outlets, including newspapers and radio stations, and distribute information in stores, churches and organizations that serve non-English speaking parents.
- **Free- and Reduced-Price Students:** Amber II is planning to locate in and targeting for recruitment in low-income communities in order to serve students most in need. The school will disseminate materials and applications broadly in the community, targeting the businesses, organizations and programs most likely to reach low-income families. These include Head Start programs, public housing projects, pre-school and daycare programs, after-school programs, community health organizations, churches and other places of worship, and government social service agencies.

At-Risk Factors

Amber does not intend to use any at-risk admissions factors, set-asides or preferences in its enrollment process. The only preferences in the admissions policy will be for already enrolled students, siblings and students living in the district in which the school is located.

Retention Strategies

Amber’s overall model is designed to support at-risk students. Our classes average 23 students per class. In grades K-2 there is a teacher assistant with each lead teacher. In grades 3-5 there is a part-time tutor in the classroom with the lead teacher. The curriculum is aligned to state standards and the Common Core with high expectations for student performance on state exams as well as other demonstrations of learning. Amber provides a well-rounded and engaging education. All students participate in a core curriculum in literacy, mathematics, science and social studies. In addition, enrichment is offered in the visual arts, music, physical

education and technology. Our school culture provides structure and support through adherence to the Amber Way, which embodies five character traits that every Amber student is expected to exhibit: Achievement; Community; Responsibility; Honesty; and Respect. Finally, Amber understands that success in school depends on a strong family and partners with numerous community organizations to ensure parents have the skills, resources and wherewithal to support their children. For example, Amber I has partnerships with El Museo del Barrio, 92 Street Y, Vanderbilt YMCA, Ballet Tech, Harlem Hospital, Legal Aid, Academy of Medicine, Fordham University, Lehman College, Teachers College, Settlement Health, GenerationOn, Creative Arts Workshops, and many others. A priority for the Amber II leader will be the cultivation of similar organizations to support families and students.

In addition, Amber employs a range of strategies to support at-risk students:

- **English Language Learners:** Amber uses the Journeys Common Core reading program, which is designed for a diverse student population. All lessons provide for differentiation through grouping, varied text levels and instructional methods, scaffolding so that English language learners can access complex texts. All teachers are trained in ESL strategies and ELL teachers can provide push-in and pull-out intervention based on the specific language proficiency levels of students. Finally, all students receive instruction in Spanish as a second language from kindergarten until they graduate in 5th grade, which helps ELL students develop literacy skills that can be transferred to acquisition of English.
- **Students with Disabilities:** Special education services include counseling, speech, push-in and pull-out instruction by a certified special education teacher, and access to occupational and physical therapy. All general education teachers and teacher assistants are trained to individualize instruction and provide the accommodations and modifications called for in students' IEPs. Common planning time is provided to allow general and special education teachers to coordinate their instruction to maximize its impact on students with disabilities.
- **Free- and Reduced-Price Students:** Many low-income students enter kindergarten at Amber with little or no previous formal education and many are lacking in basic pre-literacy skills. Amber provides a range of supports within the classroom through co-teaching and differentiated instruction. Students not reading on grade level in grades kindergarten to second grade receive Title One Reading services at least twice a week. Strategy Groups are formed in each classroom from grades 1 – 5; tutors are present in grades 3- 5 and teacher assistants in grades 1 & 2. The assignments to be completed during strategy groups are of high-interest and high-engagement. In addition, homework is differentiated to address specific skill development. Finally, an after school program is offered, as well as a Saturday Academy that helps struggling students reach grade level.

Amber is a data-driven model, and teachers and leaders use many types of assessments to monitor students, target support and evaluate programs and staff. Amber regularly administers a variety of assessments, such as the Developmental Reading Assessment (DRA), Terra Nova, old NYS exams, the assessments provided by commercial programs such as

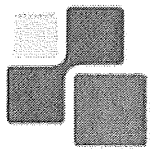
Journeys, Go Math!, READY ELA & Math, and teacher-developed assessments. The DRA is administered three times per year, with the results used to determine student reading levels, assign appropriate reading materials, and identify students for reading groups and interventions. The use of Journeys and Go Math! involves regular interim assessments to monitor student progress in reading and math, and regroup students according to ability. Teachers are trained in the use of PowerSchool during the Summer Institute and expected to use Web Grade Book to record their assessment records and analyze the data. To complement PowerSchool, Amber also uses the INFORM database to support more targeted classroom uses of data, which includes disaggregation by sub-groups and teachers.

(c) Evidence of Demand

Evidence of student demand (e.g. petitions that clearly indicates that signers have students of age to enroll in the school and would consider enrolling them in the school).

In 15 (c) please find:

- New York City Charter Center’s report, *2013-14 Enrollment Lottery Estimates*, May, 2013.
- Petitions signed by parents supporting Amber Charter School II.



NEW YORK CITY
CHARTER SCHOOL
CENTER

New York City Charter Schools: 2013-14 Enrollment Lottery Estimates

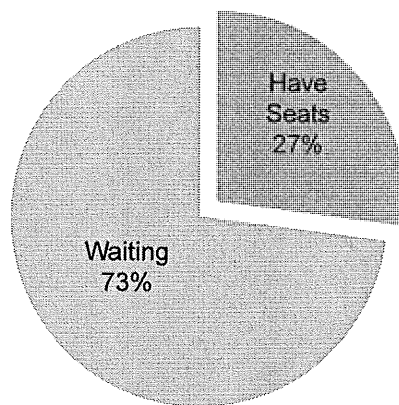
May 2013

New York City Charter Schools: 2013-14 Enrollment Lottery Estimates

Out of the 183 New York City charter schools currently enrolling students for 2013-14, 155 (85%) responded to the NYC Charter School Center's survey about their lottery application rates. Based on survey data, the Charter Center estimates that New York City charter schools received a total of 181,600 applications for 18,600 available seats. Discounting for students who apply to more than one school, this represents an estimated 69,000 applicants for 18,600 seats—creating a citywide charter school “waiting list” of an estimated 50,400.

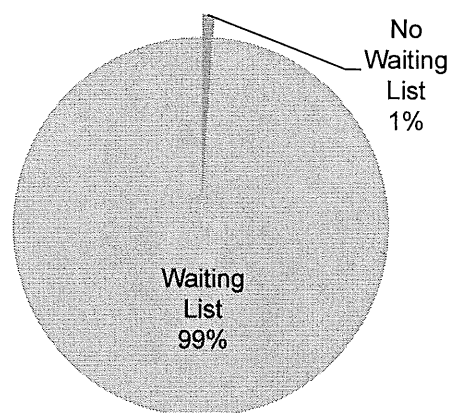
Approximately 3.7 applicants are competing for each charter school seat.

NYC charter school applicants by enrollment status (2013-14, estimated)¹



Almost every charter school has a waiting list for enrollment.

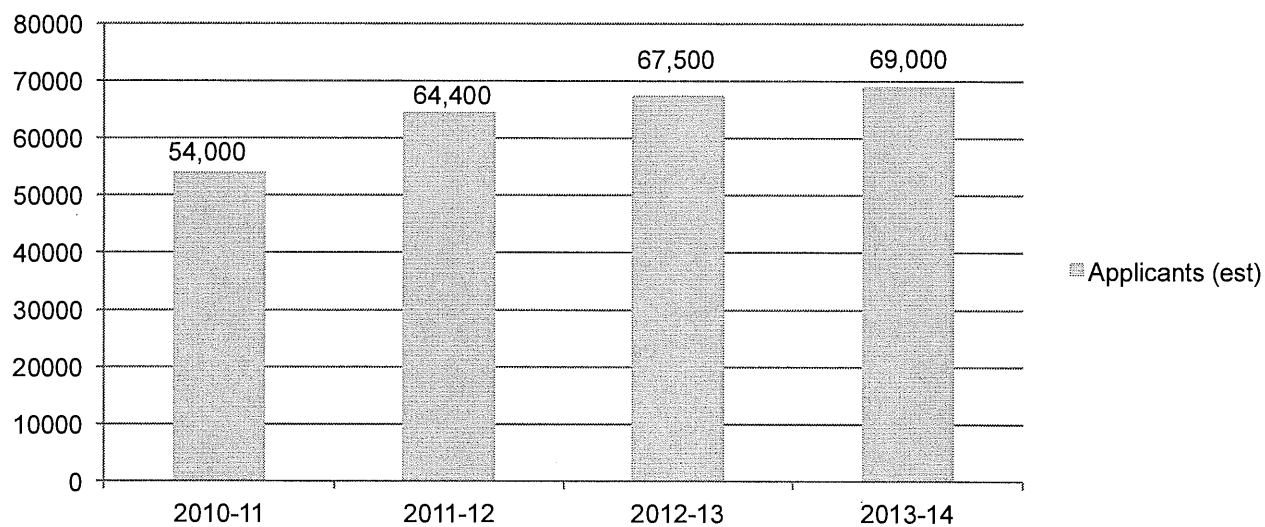
Reporting charter schools by waiting list status (2013-14, n=155)¹



¹ Source: NYC Charter School Center survey and analysis, May 2013

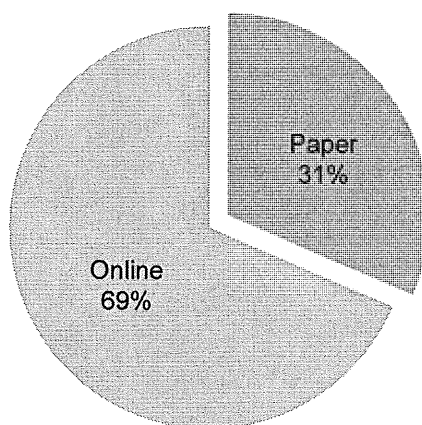
Charter school applicants have steadily increased over time.

Total applicants to NYC charter schools (estimated, 2010-2013)²



More than two out of three applications are submitted online.

Total applications NYC charter schools by application type (estimated, 2013-14)³

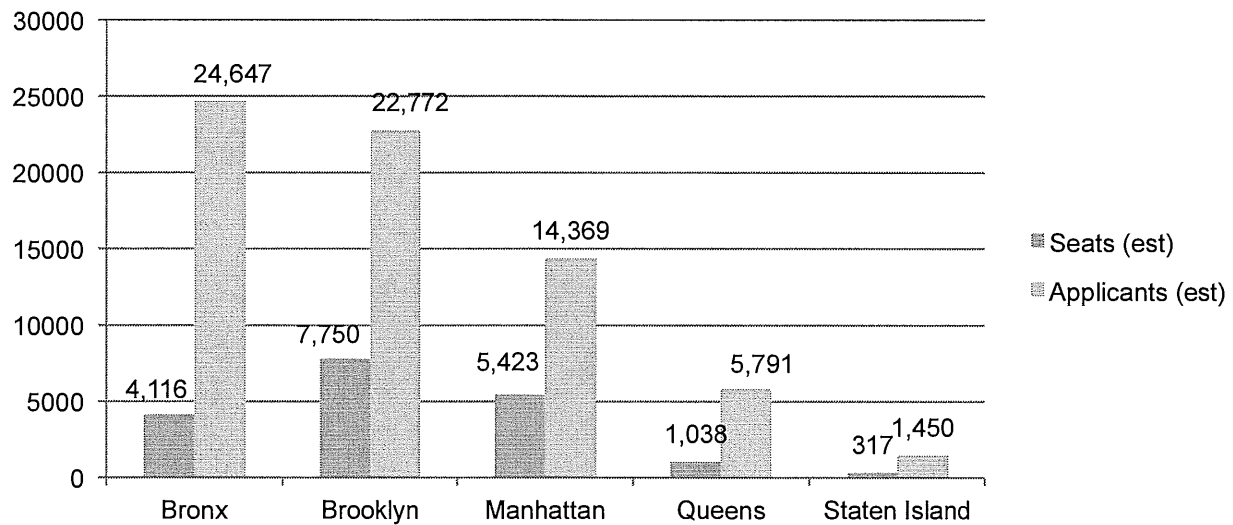


² Sources: Charter Center survey and analysis, April 2010, April 2011, April 2012, May 2013

³ Source: Charter Center survey and analysis, May 2013

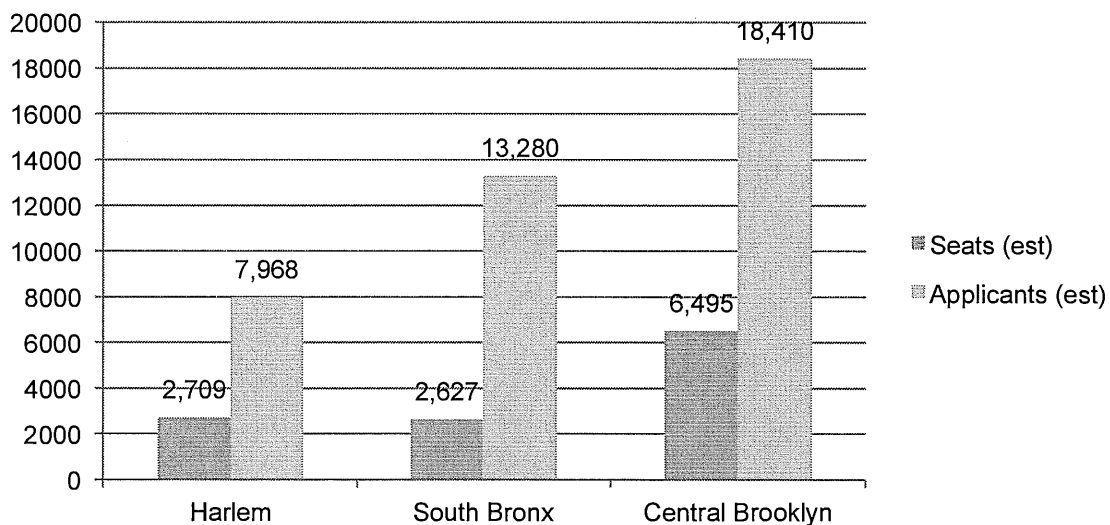
Applicants exceed available seats in every borough.

NYC charter school applicants and seats, by borough (estimated, 2013-14)⁴



A majority of applicants apply in Harlem, the South Bronx, or Central Brooklyn.

NYC charter school applicants and seats, by neighborhood (estimated, 2013-14)⁵



⁴ Source: NYC Charter School Center Survey, April 2012

⁵ Harlem is defined as CSD 4, 5; Central Brooklyn 13, 14, 16, 17, 18, 19, 23, 32; South Bronx 7, 8, 9.

Applicants exceed seats in every Community School District,
with thousands of applicants in many CSDs.

Top Ten CSDs by applicants to local charter schools, with seats (estimated, 2013-14)

<i>Rank</i>	<i>CSD (Neighborhood)</i>	<i>Applicants (est.)</i>	<i>Seats (est.)</i>
1	CSD 11 (NE Bronx)	6717	366
2	CSD 8 (SE Bronx)	4899	633
3	CSD 9 (SW Bronx)	4715	770
4	CSD 5 (Central Harlem)	4613	1563
5	CSD 18 (Central Brooklyn)	3855	739
6	CSD 7 (S Bronx)	3790	1425
7	CSD 30 (NW Queens)	3489	488
8	CSD 3 (West Harlem / West Side)	3399	1167
9	CSD 4 (East Harlem)	3355	1146
10	CSD 10 (NW Bronx)	2917	554

Estimation Methodology

The Charter Center's annual estimates of total citywide charter school applicants have always carefully discounted for applicants who apply to multiple charter schools. To develop the estimates reported above, we use 1) survey data about individual charter schools' applications and available seats, by grade level; 2) survey data about charter school networks' unique applicant counts across schools, where available; and 3) data about unique applicants across the Charter Center's Common Online Charter School Application. Our method also uses insights about single-school vs. common application rates from spring 2012, when the Charter Center hosted an online application in both formats.

Taking into account geographic proximity to other charter schools accepting applications in the same grade levels, network affiliation and school age, we estimate a set of deflation factors that are specific to each charter school and each grade level where the school had available seats. For survey non-respondents, which represented 15% of charter schools in this year's survey, we estimate applications received based on two regression models of the responding charter schools' key characteristics and applications received. We then use the grade-by-grade applications and deflation factors to calculate fractional estimates of citywide-unique applicants who applied to each school, which are then summed to create the total citywide estimate.

This year, our deflation methodology resulted in a system-wide estimate of each charter applicant applying to 2.63 schools (up from 1.97 last year). In other words, this year's citywide discount rate—to estimate applicants from applications—was 62% (up from 49%). This shift can be attributed to an increase in charter schools using common applications provided by networks and/or the Charter Center, as well as an increase in charter school options across the five boroughs.

For more information about the Charter Center's enrollment estimates, contact Petra Tuomi at ptuomi@nyccharterschools.org.

PETITION

Please sign the petition below in regards to:

Amber Charter School located at 220 East 106 Street, NYC, 10029 announces its intention to create a new charter school in CSD #6 and/or CSD # 28. The school will *provide the students with an academically rigorous and well-rounded education, along with strong character development, that will enable them to prosper in top middle schools and beyond.*

The key design elements that will be replicated are:

- Spanish as a Foreign Language
- 90 minutes of Literacy instruction a day
- 90 minutes of math instruction a day
- 90 minutes of science instruction a week
- 90 minutes of social studies instruction a week
- Enrichment instruction in any/all of the following: art, music, physical education, and technology

The goal is to open in September of 2015 with Kindergarten and first grade and eventually grow to fifth grade. Charter Schools are public, non-for-profit entities legislated and funded through the State of New York. Admission is open and selection is by lottery. To learn more and give us feedback, take our survey:

<https://www.surveymonkey.com/s/amberfeedback>

We the undersigned agree with the statements above and fully support the opening of a new charter school in CSD #6 and/or CSD # 28.

Name	Signature	Zip Code	CSD	# school-aged children
JENNIFER KNOWLES	Jennifer Knowles	10032	6	
Kenia Gomez	Kenia Gomez	10033	6	
Kenia Castillo Lopez	Kenia Castillo Lopez	10032	6	
Suzeta Bailey	Suzeta Bailey	10032	6	
Magnolia Lore	Magnolia Lore	10033	6	
Vanessa Calvo	Vanessa Calvo	10032	6	
Kenia Herra	Kenia Herra	10032	6	
Rosanna Toranzo	Rosanna Toranzo	10034	6	
Ana Rodriguez	Ana Rodriguez	10033	6	
RAFAEL FORNOL	Rafael Fornol	10033	6	
Belgica Zaccaria	Belgica Zaccaria	10033	6	
Jannette Polanco	Jannette Polanco	10033	6	
Tommy Peña	Tommy Peña	10032	6	
Shangnetia Yari	Shangnetia Yari	11207		

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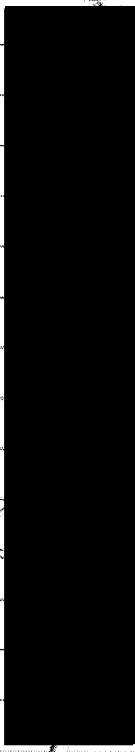
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We the undersigned agree with the statements above and fully support the opening of a new charter school in CSD #6 and/or CSD # 28.

Name	Signature	Zip Code	CSD	# school-aged children
Andre Martin	[Signature]	11211	4	
Carlos Gomez	[Signature]	10029	4	
Michael Wood	[Signature]	11218	4, 15	
Feder Mayoroz	[Signature]	10063	4	
Maria de la Cruz	[Signature]	10305	4	
Maria Rivera	[Signature]	10029	4	
Celeste Sanchez	[Signature]	10454	4	
Shade Washington	[Signature]	10462	K0029	
Angelica Devais	[Signature]	10455	K(4)	
Abigail Quire	[Signature]	10075	K(4)	
Michele Hernandez	[Signature]	10029	4	
Rodolfo Figueroa	[Signature]	10029	4	
Ann Medeiros	[Signature]	10033	6	
M. Medina	[Signature]	10029	4	
Juan Valdes	[Signature]	10037	4	

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Name	Signature	Zip Code	CSD	# school-aged children
Rosemarie Cruz	Rosemarie Cruz	10029	4	
Aracelis Padilla	Aracelis Padilla	10029	4	
Nancy Torres	Nancy Torres	10029	4	
Emilia Gonzalez	Emilia Gonzalez	10029	4	
Stephen Burgos	Stephen Burgos	10071	4	
Tenequa Smith	Tenequa Smith	10029	4	
Bernice Manno	Bernice Manno	10029	4	
Maryam Shamesh	Maryam Shamesh	10029	4	
Shanice Mutoz	Shanice Mutoz	10029	4	
Jessica Salgado	Jessica Salgado	10473	4	
Samuel Rodriguez	Samuel Rodriguez	10029	4	
Rosa Pacheco	Rosa Pacheco	10128	4	
Victoria Melendez	Victoria Melendez	10029	4	
Hector Mendo	Hector Mendo	10029	4	

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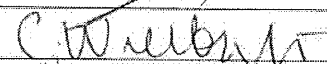


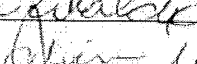

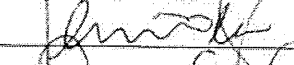




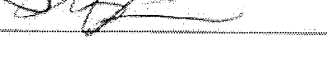


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We the undersigned agree with the statements above and fully support the opening of a new charter school in CSD #6 and/or CSD # 28.

Name	Signature	Zip Code	CSD	# school-aged children
Vereb Hah		10031	4	
C. Willbright		10037	4	
Samantha Johnson		10029	4	
Tracy Coakley		10037	45	
C. Worlds		10030	5	
Alvin Robinson		10026	5	
S. Levine		10469	11	
A. Mahinde		10470	11	
Ana C. Gil		11377	24	
Gregory Howard		10029	4	
Tiffany Parara		11234	22	
Bianca Baray		10026	5	
Zugedy Pineda		10472	12	
Leticia Frase		10466	11	

PETITION

Please sign the petition below in regards to:

Amber Charter School located at 220 East 106 Street, NYC, 10029 announces its intention to create a new charter school in CSD #6 and/or CSD # 28. The school will *provide the students with an academically rigorous and well-rounded education, along with strong character development, that will enable them to prosper in top middle schools and beyond.*

The key design elements that will be replicated are:

- Spanish as a Foreign Language
- 90 minutes of Literacy instruction a day
- 90 minutes of math instruction a day
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We the undersigned agree with the statements above and fully support the opening of a new charter school in CSD #6 and/or CSD # 28.

Name	Signature	Zip Code	CSD	# school-aged children
Janine Marican	Janine Marican	10457	9	
Miguel Alvarez	Miguel Alvarez	10034		
Aksana Almaguer	A Almaguer	10116		
Eppie S. Guzman	Eppie S. Guzman	10035		
Nancy Tomasino	N. Tomasino	11102		
N. Costello	N. Costello	10468	10	
Josephine	Josephine	10459	9	
Pete Rodriguez	Pete Rodriguez	10040	4	
Lauren Washington	Lauren Washington	10027	1	
Mary Spellman	Mary Spellman	10027	4	
Alyson Williams	Alyson Williams	10024	5	
Kim Contron	Kim Contron	10462	4	
Dalila Cate	Dalila Cate	10029	4	
Tae A. Mercer	Tae A. Mercer	10026	4	
Sharondra Brooks	Sharondra Brooks	10031	4	

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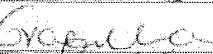




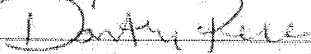
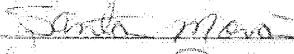
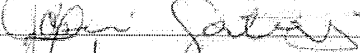
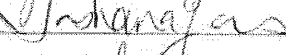

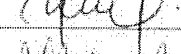

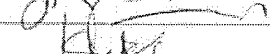

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Name	Signature	Zip Code	CSD	# school-aged children
Dorelle Pedro		10466	11	
Graciela S. Graciela		10035	4	
Lyeshu Hockman		10460	12	
Katherine Briguera		10029	4	
Octavia Robinson		10037	5	
Maria Torres		10029	4	
Dorothy Perez		10029	4	
Santa Maria		10029	4	
Jasmin Santiago		10029	4	
Ishawna Jones		10029	4	
Noe Luna		10454	7	
Marilyn de la Cruz		10031	6	
Sobhany Redone		10472	12	
Choi Kobong		10029	4	
Emma				

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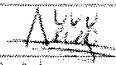


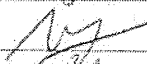
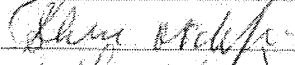
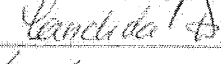





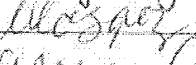


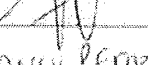
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Name	Signature	Zip Code	CSD	# school-aged children
Asuncion Ramirez		10029	4	
Cynthia Valencia		10035	4	
Wanda Fries		10029	4	
Shelia W. Duffie		10460	12	
Candida Palmer		10029	4	
John Brown		10029	4	
Kirsys Gomez		10453	10	
David Kapp		10029	4	
Bonnie		10029	4	
Tanya Jones		10035	4	
Imelda Vazquez		10452	9	
Warren		10031	6	
Kelly Lewis		10457	9	
Marie Lee		10028	4	
N. Pecora	Nancy Pernett	10029	4	

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We the undersigned agree with the statements above and fully support the opening of a new charter school in CSD #6 and/or CSD # 28.

[illegible]

(d) Admissions Policy

If the proposed school is adopting the same admissions policy as the replicating school, incorporate the policy by reference per the instructions above. If applicable, note any changes to the original model or policies and indicate if these changes pertain to the proposed school only, or would modify the terms of the entire education corporation. Describe or attach any changes and attach the updated Admissions Policy.

Response incorporated by reference to Amber Third Renewal Charter, Section 2.3

16. Facility**(a) Facility Needs**

Describe the facility needs of the proposed school for each year of the charter period including any unique features necessary to implement the school design and academic program including:

- **The desired location of the school facility;**
- **The number of general education classrooms required each year;**
- **Any additional classroom space required for special education or ELL services, labs, specialty classes and intervention or enrichment programs; and,**
- **Space requirements for administrative functions, food services and physical education.**
- **If the applicants intend to offer a residence program for students, describe the facility requirements to support this program and overnight staffing, and include specific and detailed information regarding the number of residence rooms, configuration, restroom, food service and other facility related needs unique to the residence program proposed.**

Desired Location

Amber is intending to locate in either CSD 6 or CSD 28 and has identified a potential site in each:

- **CSD 6:** Amber has established a partnership with the Broadway Housing Communities Sugar Hill Development. The Sugar Hill development is a community housing project located at 404-414 West 155th Street and set to open in the summer of 2014 with space allocated for community use for educational purposes. The facility will also include The Children's Museum of Art & Storytelling, a new cultural institution that will celebrate the heritage of this historic neighborhood and engage families in activities related to art and storytelling. The Sugar Hill develop is close to public transportation and Highbridge, St. Nicholas and Jackie Robinson parks. Amber has a longstanding partnership with BHC; the Dorothy Day Care Center housed in one of the Broadway Housing Centers has been a feeder to Amber Charter School's kindergarten classes. In its letter of support BHC writes "We are particularly eager for quality local elementary school options given the significant BHC investment in early childhood programs at Sugar Hill." Below is an image of the proposed building:



- **CSD 28:** Our Savior Lutheran School, a half empty Lutheran school at 64-33 Woodhaven Blvd in Rego Park, Queens that presently includes an early childhood center. Amber has already formed a close partnership with the leadership of the Lutheran Church Our Savior and their governing body The Lutheran Church Missouri Synod in CSD 28. In their letter of support, they write “When Our Saviour Early Childhood (OSEC) first heard about Amber Charter School seeking to expand their successful educational program to other locations, we were very interested in seeing if a relationship could develop. Our team visited their location and has had subsequent meetings and discussions about what that relationship would look like. We are happy to say that we would like to join in a partnership and offer our existing extra space to them for the use of a charter school.” Below is an image of the school building:



Space Requirements

At full capacity in Year 5 Amber Charter School II will require:

- 27 general education classrooms
- 5 specials classrooms
- 1 special education/intervention suite
- 1 nursing office
- 5 administrative offices
- 1 front office/reception
- 1 cafeteria/cafetorium
- 1 kitchen
- 2 restrooms (boys and girls)
- 1 adult restroom
- 1 gymnasium (optional)
- playground or proximity to parks

(b) Facility Selection

Describe the efforts to date to secure a facility for the school, including;

- If a facility has been identified, a description of the facility and how it meets the school's needs including its location and whether it is new construction, part of an existing public or private school building, or must be renovated for use; and,
- How the proposed facility will be able to meet New York State Education Department (SED) specifications by when the school would commence instruction.
- If a facility has not been identified, explain the plans for securing a suitable facility and preparing it for use by the time the school would open (including assuring that it meets NYSED specifications). Also, explain any contingency planning including the associated costs.
- If the applicants are seeking facility space from the school district of location, provide contingency plans should such space be unavailable. Such plans must include an analysis of potential privately held options and an explanation of their potential impact on the school's finances, including demonstrating an awareness of the costs of private facility space. As is outlined in Request 24(f), if the applicant proposes to be located in facility space provided by the school district of location, two separate budgets must be presented; one that assumes the district facility space at the anticipated costs and one that assumes that district facility space is unavailable and private space is therefore required. In the case of the latter, identify the additional source(s) of revenue that would support the increased facility costs.

Amber I has been located in a private facility since inception and has considerable experience with facility management, renovation and financing. Amber has already initiated a facility search in CSD 6 and CSD 28. As noted, Amber has established partnerships with two organizations that are interested in supporting the creation and siting of Amber Charter School II. However, until Amber secures a charter, it cannot pursue further negotiations for these sites. Once the charter is approved, Amber will move forward quickly to negotiate an agreement for the site that provides the best value and long-term capacity. Once an agreement is inked Amber will establish a detailed action plan to ready the site for the first day of school, including renovations, installation of food service equipment, and testing of safety equipment. Amber understands that it must obtain final site approval from its authorizer before students may attend the school.

(c) Facility Related Conflicts of Interest

If the charter school education corporation or its partners would own or lease its facility, provide a description of the ownership or lease arrangement indicating specifically any potential conflicts of interest and arrangements by which such conflicts will be managed or avoided. Note that in such cases the Institute will likely require a fair market valuation of the cost of the facility

supported by independent appraisers. Please note in addition that no education corporation trustee may have an ownership interest in the facility.

Amber intends to enter a lease for a facility and will conduct due diligence during the negotiation phase to ensure no conflicts of interest exist. Any board member with a conflicting connection to the facility owner or manager will recuse him or herself from any board deliberations regarding the facility. No Amber trustees or employees will have an ownership interest in the school facility or any interest in a for-profit lease or financing arrangement. Amber will require full disclosure from real estate brokers, agents, lessees, and owners of the potential facilities. If there is a conflict of interest regarding a facility agreement, Amber will obtain a fair market valuation of the facility lease or price from an independent appraiser familiar with the real estate market in that geographic area.

17. Food Services

If the proposed or existing education corporation is adopting the same food services as the replicating school, incorporate the policy by reference per the instructions above. If applicable, note any changes to the original food services.

Amber II will provide its students daily with a nutritious breakfast, lunch and snacks. The staffing plan includes a cook and assistant cook/server who will prepare and serve meals to students. The proposed budget includes costs for their salaries as well as kitchen equipment. The school will obtain all required food preparation and handling permits. Students will not be required to participate in our meal program and can elect to bring and eat their own food to school.

Amber will participate in the federal School Breakfast Program and the National School Lunch Program to receive appropriate reimbursement for full, reduced-price and free meal eligible students. All meals will meet the programs' nutritional requirements. The Family Engagement Manager will work with families to complete the online School Meals Application to establish eligibility for free and reduced-price meals. The school will make computers available and provide assistance to ensure every student's eligibility is documented. Per federal regulations, students with a disability that restricts their diet will be served meals at no extra charge. The school will discretely track all meals eaten at the school; students' free and reduced lunch status will remain private. If warranted by a sufficiently high proportion of low-income students, we will explore participation in the universal lunch program, which allows all students to eat free of charge.

18. Health Services

If the proposed or existing education corporation is adopting the same health services as the replicating school, incorporate the health services by reference per the instructions above. If there would be any changes to the health services, describe the plans for health services the charter school intends to provide.

Health Services

Staffing: The school will work with the Department of Education and the Department of Health to provide a school nurse to maintain students' records and supervise the disbursement of medication and the treatment of students who are ill or injured. The nurse will be responsible for all record keeping and correspondence related to these responsibilities. The school will maintain on-site Automated External Defibrillator (AED) equipment and at least two staff members will be trained in use of the AED equipment and cardiopulmonary resuscitation (CPR). Vision and hearing screenings will be coordinated with the Department of Health and Mental Hygiene.

Health Records: Cumulative health records will be stored in locked filing cabinets accessible only by authorized staff members. These records will include proof of immunization and authorization for administration of medication. All visits to the nurse, including reason and treatment, will be documented in each child's file.

Immunizations: The school will ensure that all new students adhere to New York State requirements for immunization before they attend. All supporting documentation will be copied and placed in the students' cumulative health record and all updated information will be entered into ATS.

Parents or guardians must provide documentation that their child has received all required doses of vaccines or at least one dose of each of the required vaccines and is waiting to receive the subsequent doses at the appropriate time intervals. Required immunizations include:

- Diphtheria
- Tetanus
- Pertussis (DTaP, DTP, Tdap: 3 doses)
- Polio (IPV, OPV: 3 doses)
- Measles/Mumps/Rubella (MMR: 2 doses of measles containing vaccine and 1 dose each of mumps and rubella)
- Hepatitis B (3 doses)
- Varicella (1 dose)

Parents or guardians may waive immunization in accordance with Public Health Law and exemptions to immunizations shall be granted if a licensed physician or nurse practitioner certifies such immunization may be detrimental to the student's health, or if the student's parent or guardian holds genuine and sincere beliefs contrary to such immunizations.

Medications: Amber II will implement strict policies and procedures regarding the safe and secure administration of medication, which will be communicated clearly to parents and staff. The school will only administer medication that is necessary to maintain students in school and

which must be given during school hours. Prescribed medication that requires administration through a subcutaneous, intramuscular, intravenous or rectal route; or prescribed medications being administered through pumps, tubes or nebulizers; or oral, topical or inhalant medication needed by non-self-directed students will be given only by the nurse or licensed practical nurses under the direction of the nurse. The nurse may designate other staff to assist self-directed students taking their own oral, topical, and inhalant medication and will provide the training and supervision necessary to perform these tasks in a safe and effective manner.

The school will require in writing both orders from a licensed prescriber and permission from parents/guardians to administer medication. All medications, including nonprescription over the counter (OTC) drugs, must be prescribed by a licensed prescriber on an individual basis.

Written orders for prescription and nonprescription OTC medications shall include:

- student's name and date of birth
- name of medication
- dosage and route of administration
- frequency and time of administration
- conditions under which medication should be administered
- date written
- prescriber's name, title, and signature
- prescriber's phone number

The school may request additional information, such as self-administration orders or potential adverse reactions. Medication orders must be renewed annually or when there is a change in medication or dosage.

Prescription medication must be delivered to the school in the original container with an appropriate label including student name; name and phone number of pharmacy; licensed prescriber's name; date and number of refills; name of medication/dosage; frequency of administration; and route of administration. Similarly, OTC medication and drug samples must be in the original manufacturer's container/package. Medications will not be transported daily to and from school; parents will be expected to provide an adequate supply to remain at the school, which will provide locked storage, including refrigeration if required, within a secure health office. If students chronically fail to come for medications, the school nurse will contact the parent to address the problem. The licensed prescriber will be also informed so that the medication protocol can be reviewed and possible adjustments made, e.g., home administration, extended release medication. Students may carry and self-administer prescribed medication under circumstances meeting the following conditions: demonstrated need, particularly as it relates to asthma or allergies; written prescriber's orders and request by parents/guardians; and student receives effective instruction and demonstrates adequate level of responsibility.

19. Transportation

If the proposed or existing education corporation is adopting the same transportation as the replicating school, incorporate transportation by reference per the instructions above. If there would be any changes to transportation, describe the plans for transportation to be provided by the charter school.

Amber is intending to site the school in locations that are accessible to public transportation, but anticipates that many of its students will travel to and from school via school bus. Under current law, the NYC DOE is responsible for providing the same transportation services for charter school students as for district school students, and Amber will coordinate with the DOE Office of Pupil Transportation (OPT) to access busing and/or MetroCards. We expect that OPT will be able to provide busing to our students who meet the eligibility criteria (students in grades K-2 who live outside a ½ mile radius and students in grades 3-5 who live outside a 1 mile radius). The Amber schedule will align closely with that of the DOE so there are minimal days that school will be in session for students when DOE does not provide transportation. Special education students will receive transportation as mandated in their IEPs; the school will work closely with the Committees on Special Education to ensure that appropriate transportation is required and provided. The families of students who do not qualify for bus service or a full or half-fare MetroCard will be responsible for arranging their child's transportation to and from school.

The school's Business Manager will be responsible for coordinating transportation, including submission of required eligibility forms and identification of bus routes and stops. The Business Manager will work with the Family Engagement Manager to contact eligible students' families to inform them of their child's bus number, bus stop, and estimated pick-up and drop-off time. We also intend to hold students accountable for their behavior on their way to and from school; our code of conduct will address transportation and staff will review bus safety rules and conduct bus drills. Finally, the proposed budget includes funds for bus matrons to accompany students on school buses.

20. Insurance

Describe the insurance coverage to be carried by the education corporation (existing or proposed) for the proposed school including the name of the insured and amounts of insurance for liability, property loss, and student personal injury and any school owned or leased vehicles.

Note that within one education corporation it is not necessary to have a separate policy for each school so long as it is clear that the school is operating in multiple sites and an amendment or rider to an existing policy is being secured.

Response incorporated by reference to Amber Third Renewal Charter, Section 5.7

21. Programmatic Audits

If the proposed education corporation or school is adopting the same approach to programmatic audits as the replicating school, incorporate the policy by reference per the instructions above. If there are any changes, describe planned annual program audits to be initiated by the school including the area(s) to be audited and the purpose, objectives and timing of the audits, which must be similar in scope to the audits of other public schools. Include any plans to hire outside consultants to perform such audits.

Response incorporated by reference to Amber Third Renewal Charter, Section 6.1



Charter Schools Institute
The State University of New York

New Application Budget(s) & Cash Flow(s) Template
for SUNY Authorized Charter Schools

Amber Charter Schools

Contact Name: Vasthi Acosta
Contact Email: [REDACTED]
Contact Phone: [REDACTED]

Examples

Pre-Opening Period July 1, 2014 to June 30, 2015
Operational Year ONE July 1, 2015 to June 30, 2016

Amber Charter Schools
PROJECTED BUDGET / OPERATING PLAN FOR PRE-OPENING PERIOD
July 1, 2014 to June 30, 2015

Total Revenue	8,424,971
Total Expenses	7,392,628
Net Income	1,032,342
Actual Student Enrollment	-
Total Paid Student Enrollment	496

DESCRIPTION OF ASSUMPTIONS

	START-UP PERIOD
--	------------------------

REVENUE

REVENUES FROM STATE SOURCES

Per Pupil Revenue	CY Per Pupil Rate	
School District 1 (Enter Name)	13,527	6,628,230
School District 2 (Enter Name)	-	-
School District 3 (Enter Name)	-	-
School District 4 (Enter Name)	-	-
School District 5 (Enter Name)	-	-
School District 6 (Enter Name)	-	-
School District 7 (Enter Name)	-	-
School District 8 (Enter Name)	-	-
School District 9 (Enter Name)	-	-
School District 10 (Enter Name)	-	-
School District 11 (Enter Name)	-	-
School District 12 (Enter Name)	-	-
School District 13 (Enter Name)	-	-
School District 14 (Enter Name)	-	-
School District 15 (Enter Name)	-	-
School District - ALL OTHER	-	-
TOTAL Per Pupil Revenue (Average Districts Per Pupil Funding)	13,527	6,628,230
Special Education Revenue		882,470
Grants		-
Stimulus		-
DYCD (Department of Youth and Community Developmt.)		-
Other		-
Other		-
TOTAL REVENUE FROM STATE SOURCES		7,510,700

REVENUE FROM FEDERAL FUNDING

IDEA Special Needs	83,011
Title I	200,214
Title Funding - Other	23,990
School Food Service (Free Lunch)	377,055
Grants	-
Charter School Program (CSP) Planning & Implementation	200,000
Other	-
Other	-
TOTAL REVENUE FROM FEDERAL SOURCES	884,270

LOCAL and OTHER REVENUE

Contributions and Donations	30,000
Fundraising	-
Erate Reimbursement	-
Earnings on Investments	-
Interest Income	-
Food Service (Income from meals)	-
Text Book	-
OTHER	-
TOTAL REVENUE FROM LOCAL and OTHER SOURCES	30,000

TOTAL REVENUE	8,424,971
----------------------	------------------

EXPENSES

ADMINISTRATIVE STAFF PERSONNEL COSTS

	No. of Positions	
Executive Management	1	214,812
Instructional Management	1	95,372
Deans, Directors & Coordinators	5	379,683
CFO / Director of Finance	1	127,842
Operation / Business Manager	1	69,337
Administrative Staff	4	234,881
TOTAL ADMINISTRATIVE STAFF	13.00	1,121,927

INSTRUCTIONAL PERSONNEL COSTS

Teachers - Regular	22	1,612,245
Teachers - SPED	1	83,941
Substitute Teachers	-	83,200
Teaching Assistants	10	449,761
Specialty Teachers	6	437,775
Aides	-	-
Therapists & Counselors	2	158,962
Other	11	193,679
TOTAL INSTRUCTIONAL	52.00	3,019,564

NON-INSTRUCTIONAL PERSONNEL COSTS

Nurse	-	-
Librarian	-	-
Custodian	1	46,287
Security	3	135,497
Other	5	87,305
TOTAL NON-INSTRUCTIONAL	9.00	269,089

SUBTOTAL PERSONNEL SERVICE COSTS

	74.00	4,410,580
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PAYROLL TAXES AND BENEFITS

Payroll Taxes	17,112
Fringe / Employee Benefits	1,069,470
Retirement / Pension	157,860
TOTAL PAYROLL TAXES AND BENEFITS	1,244,441

TOTAL PERSONNEL SERVICE COSTS

	74.00	5,655,020
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CONTRACTED SERVICES

Accounting / Audit	45,800
Legal	3,000
Management Company Fee	-
Nurse Services	-
Food Service / School Lunch	165,841
Payroll Services	88,592
Special Ed Services	-
Titlement Services (i.e. Title I)	-
Other Purchased / Professional / Consulting	185,816
TOTAL CONTRACTED SERVICES	489,049

SCHOOL OPERATIONS

Board Expenses	2,400
Classroom / Teaching Supplies & Materials	40,670
Special Ed Supplies & Materials	-
Textbooks / Workbooks	67,620
Supplies & Materials other	21,070
Equipment / Furniture	71,050
Telephone	38,308
Technology	26,739
Student Testing & Assessment	20,090
Field Trips	-
Transportation (student)	2,000
Student Services - other	40,180
Office Expense	67,620
Staff Development	137,600
Staff Recruitment	8,000
Student Recruitment / Marketing	18,000
School Meals / Lunch	-
Travel (Staff)	13,256
Fundraising	20,000
Other	225,000
TOTAL SCHOOL OPERATIONS	819,604

FACILITY OPERATION & MAINTENANCE

Insurance	156,005
Janitorial	22,000
Building and Land Rent / Lease	-
Repairs & Maintenance	65,000
Equipment / Furniture	3,000
Security	30,000

Amber Charter Schools PROJECTED BUDGET / OPERATING PLAN FOR PRE-OPENING PERIOD July 1, 2014 to June 30, 2015			DESCRIPTION OF ASSUMPTIONS
Total Revenue	8,424,971		
Total Expenses	7,392,628		
Net Income	1,032,342		
Actual Student Enrollment	-		
Total Paid Student Enrollment	496		
START-UP PERIOD			
Utilities	152,950		
TOTAL FACILITY OPERATION & MAINTENANCE	428,955		
DEPRECIATION & AMORTIZATION	-		
DISSOLUTION ESCROW & RESERVES / CONTINGENCY	-		
TOTAL EXPENSES	7,392,628		
NET INCOME	1,032,342		
ENROLLMENT - *School Districts Are Linked To Above Entries*			
School District 1 (Enter Name)	-		
School District 2 (Enter Name)	-		
School District 3 (Enter Name)	-		
School District 4 (Enter Name)	-		
School District 5 (Enter Name)	-		
School District 6 (Enter Name)	-		
School District 7 (Enter Name)	-		
School District 8 (Enter Name)	-		
School District 9 (Enter Name)	-		
School District 10 (Enter Name)	-		
School District 11 (Enter Name)	-		
School District 12 (Enter Name)	-		
School District 13 (Enter Name)	-		
School District 14 (Enter Name)	-		
School District 15 (Enter Name)	-		
School District - ALL OTHER	-		
TOTAL ENROLLMENT	-		
REVENUE PER PUPIL	-		
EXPENSES PER PUPIL	-		

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Amber Charter Schools PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE July 1, 2015 to June 30, 2016							DESCRIPTION OF ASSUMPTIONS
Total Revenue	9,608,029	2,882,656	-	20,000	511,904	13,022,589	
Total Expenses	6,506,435	718,450	35,000	5,000	5,217,470	12,482,355	
Net Income	3,101,594	2,164,205	(35,000)	15,000	(4,705,566)	540,234	
Actual Student Enrollment							
Total Paid Student Enrollment	642	104				746	
	PROGRAM SERVICES			SUPPORT SERVICES			
	REGULAR EDUCATION	SPECIAL EDUCATION	OTHER	FUNDRAISING	MANAGEMENT & GENERAL	TOTAL	
REVENUE							
REVENUES FROM STATE SOURCES							
Per Pupil Revenue	CY Per Pupil Rate						
School District 1 (Enter Name)	13,527	8,678,382	1,412,760	-	-	-	10,091,142
School District 2 (Enter Name)	-	-	-	-	-	-	-
School District 3 (Enter Name)	-	-	-	-	-	-	-
School District 4 (Enter Name)	-	-	-	-	-	-	-
School District 5 (Enter Name)	-	-	-	-	-	-	-
School District 6 (Enter Name)	-	-	-	-	-	-	-
School District 7 (Enter Name)	-	-	-	-	-	-	-
School District 8 (Enter Name)	-	-	-	-	-	-	-
School District 9 (Enter Name)	-	-	-	-	-	-	-
School District 10 (Enter Name)	-	-	-	-	-	-	-
School District 11 (Enter Name)	-	-	-	-	-	-	-
School District 12 (Enter Name)	-	-	-	-	-	-	-
School District 13 (Enter Name)	-	-	-	-	-	-	-
School District 14 (Enter Name)	-	-	-	-	-	-	-
School District 15 (Enter Name)	-	-	-	-	-	-	-
School District - ALL OTHER	-	-	-	-	-	-	-
TOTAL Per Pupil Revenue (Average Districts Per Pupil Funding)	13,527	8,678,382	1,412,760	-	-	-	10,091,142
Special Education Revenue		-	1,343,516	-	-	-	1,343,516
Grants							
Stimulus		-	-	-	-	-	-
DYCD (Department of Youth and Community Developmnt.)		-	-	-	188,750	-	188,750
Other		-	-	-	-	-	-
Other		-	-	-	-	-	-
TOTAL REVENUE FROM STATE SOURCES		8,678,382	2,756,276	-	188,750	-	11,623,408
REVENUE FROM FEDERAL FUNDING							
IDEA Special Needs		-	126,380	-	-	-	126,380
Title I		311,566	-	-	-	-	311,566
Title Funding - Other		24,284	-	-	12,240	-	36,524
School Food Service (Free Lunch)		574,047	-	-	-	-	574,047
Grants							
Charter School Program (CSP) Planning & Implementation		-	-	-	300,000	-	300,000
Other		-	-	-	-	-	-
Other		-	-	-	-	-	-
TOTAL REVENUE FROM FEDERAL SOURCES		909,897	126,380	-	312,240	-	1,348,516
LOCAL and OTHER REVENUE							
Contributions and Donations		-	-	20,000	-	-	20,000
Fundraising		-	-	-	-	-	-
Erate Reimbursement		-	-	-	10,914	-	10,914
Earnings on Investments		-	-	-	-	-	-
Interest Income		-	-	-	-	-	-
Food Service (Income from meals)		-	-	-	-	-	-
Text Book		19,750	-	-	-	-	19,750
OTHER		-	-	-	-	-	-
TOTAL REVENUE FROM LOCAL and OTHER SOURCES		19,750	-	20,000	10,914	-	50,664
TOTAL REVENUE		9,608,029	2,882,656	-	20,000	511,904	13,022,589
EXPENSES							
ADMINISTRATIVE STAFF PERSONNEL COSTS							
	No. of Positions						
Executive Management	-	-	-	-	835,000	-	835,000
Instructional Management	-	175,000	-	-	175,000	-	350,000
Deans, Directors & Coordinators	-	321,956	-	-	43,264	-	365,220
CFO / Director of Finance	-	-	-	-	-	-	-
Operation / Business Manager	-	-	-	-	140,608	-	140,608
Administrative Staff	-	-	-	-	138,944	-	138,944
TOTAL ADMINISTRATIVE STAFF	-	496,956	-	-	1,332,816	-	1,829,772
INSTRUCTIONAL PERSONNEL COSTS							
Teachers - Regular	-	2,400,790	-	-	-	-	2,400,790
Teachers - SPED	-	-	160,863	-	-	-	160,863
Substitute Teachers	-	83,200	-	-	-	-	83,200
Teaching Assistants	-	916,447	-	-	-	-	916,447
Specialty Teachers	-	598,367	-	-	-	-	598,367
Aides	-	-	-	-	-	-	-
Therapists & Counselors	-	-	162,936	-	-	-	162,936
Other	-	198,521	-	-	-	-	198,521
TOTAL INSTRUCTIONAL	-	4,197,324	323,799	-	-	-	4,521,124
NON-INSTRUCTIONAL PERSONNEL COSTS							
Nurse	-	-	-	-	-	-	-
Librarian	-	-	-	-	-	-	-
Custodian	-	-	-	-	85,300	-	85,300
Security	-	-	-	-	182,148	-	182,148
Other	-	-	-	-	123,845	-	123,845
TOTAL NON-INSTRUCTIONAL	-	-	-	-	391,293	-	391,293
SUBTOTAL PERSONNEL SERVICE COSTS	-	4,694,280	323,799	-	1,724,109	-	6,742,189
PAYROLL TAXES AND BENEFITS							
Payroll Taxes		274,629	15,459	-	145,591	-	435,680
Fringe / Employee Benefits		914,584	67,781	-	302,077	-	1,284,442
Retirement / Pension		169,252	11,572	-	63,469	-	244,292
TOTAL PAYROLL TAXES AND BENEFITS		1,358,465	94,812	-	511,137	-	1,964,414
TOTAL PERSONNEL SERVICE COSTS	-	6,052,745	418,611	-	2,235,246	-	8,706,603
CONTRACTED SERVICES							
Accounting / Audit		-	-	-	55,800	-	55,800
Legal		-	-	-	3,000	-	3,000
Management Company Fee		-	-	-	-	-	-
Nurse Services		-	-	-	-	-	-
Food Service / School Lunch		-	-	-	167,871	-	167,871
Payroll Services		-	-	-	130,296	-	130,296
Special Ed Services		-	55,552	28,000	-	-	83,552
Titlement Services (i.e. Title I)		-	-	-	-	-	-
Other Purchased / Professional / Consulting		-	-	-	220,816	-	220,816
TOTAL CONTRACTED SERVICES		-	55,552	28,000	577,783	-	661,335
SCHOOL OPERATIONS							
Board Expenses		-	-	-	2,400	-	2,400
Classroom / Teaching Supplies & Materials		41,168	12,000	-	-	-	53,168
Special Ed Supplies & Materials		-	13,888	7,000	-	-	20,888
Textbooks / Workbooks		68,448	25,000	-	-	-	93,448
Supplies & Materials other		21,328	53,256	-	-	-	74,584
Equipment / Furniture		71,920	25,000	-	-	-	96,920
Telephone		38,777	-	-	2,980	-	41,758
Technology		-	13,643	-	27,067	-	40,710
Student Testing & Assessment		20,336	13,750	-	-	-	34,086
Field Trips		-	6,250	-	-	-	6,250
Transportation (student)		2,000	-	-	-	-	2,000
Student Services - other		40,672	76,500	-	-	-	117,172
Office Expense		-	-	-	72,546	-	72,546
Staff Development		119,040	-	-	17,000	-	136,040
Staff Recruitment		5,000	-	-	5,000	-	10,000
Student Recruitment / Marketing		25,000	5,000	-	-	-	30,000
School Meals / Lunch		-	-	-	84,612	-	84,612
Travel (Staff)		-	-	-	13,419	-	13,419
Fundraising		-	-	5,000	20,000	-	25,000
Other		-	-	-	225,000	-	225,000
TOTAL SCHOOL OPERATIONS		453,689	244,287	7,000	5,000	470,024	1,180,000
FACILITY OPERATION & MAINTENANCE							
Insurance		-	-	-	211,373	-	211,373
Janitorial		-	-	-	22,000	-	22,000
Building and Land Rent / Lease		-	-	-	1,170,000	-	1,170,000
Repairs & Maintenance		-	-	-	118,040	-	118,040
Equipment / Furniture		-	-	-	38,054	-	38,054
Security		-	-	-	30,000	-	30,000
Utilities		-	-	-	269,950	-	269,950
TOTAL FACILITY OPERATION & MAINTENANCE		-	-	-	1,859,417	-	1,859,417
DEPRECIATION & AMORTIZATION							
DISSOLUTION ESCROW & RESERVES / CONTINGENCY		-	-	-	75,000	-	75,000
TOTAL EXPENSES		6,506,435	718,450	35,000	5,217,470	-	12,482,355
NET INCOME		3,101,594	2,164,205	(35,000)	15,000	(4,705,566)	540,234
ENROLLMENT - *School Districts Are Linked To Above Entries*							
School District 1 (Enter Name)		-	-	-	-	-	-
School District 2 (Enter Name)		-	-	-	-	-	-
School District 3 (Enter Name)		-	-	-	-	-	-
School District 4 (Enter Name)		-	-	-	-	-	-
School District 5 (Enter Name)		-	-	-	-	-	-
School District 6 (Enter Name)		-	-	-	-	-	-
School District 7 (Enter Name)		-	-	-	-	-	-
School District 8 (Enter Name)		-	-	-	-	-	-
School District 9 (Enter Name)		-	-	-	-	-	-
School District 10 (Enter Name)		-	-	-	-	-	-
School District 11 (Enter Name)		-	-	-	-	-	-
School District 12 (Enter Name)		-	-	-	-	-	-

Amber Charter Schools PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE July 1, 2015 to June 30, 2016							DESCRIPTION OF ASSUMPTIONS
Total Revenue	9,608,029	2,882,656	-	20,000	511,904	13,022,589	
Total Expenses	6,506,435	718,450	35,000	5,000	5,217,470	12,482,355	
Net Income	3,101,594	2,164,205	(35,000)	15,000	(4,705,566)	540,234	
Actual Student Enrollment	-	-	-	-	-	-	
Total Paid Student Enrollment	642	104	-	-	-	746	
	PROGRAM SERVICES			SUPPORT SERVICES			
	REGULAR EDUCATION	SPECIAL EDUCATION	OTHER	FUNDRAISING	MANAGEMENT & GENERAL	TOTAL	
School District 13 (Enter Name)	-	-	-			-	
School District 14 (Enter Name)	-	-	-			-	
School District 15 (Enter Name)	-	-	-			-	
School District - ALL OTHER	-	-	-			-	
TOTAL ENROLLMENT	-	-	-			-	
REVENUE PER PUPIL	-	-	-			-	
EXPENSES PER PUPIL	-	-	-			-	

Amber Charter Schools PROJECTED CASH FLOW FOR YEAR ONE OF OPERATIONS July 1, 2015 to June 30, 2016													
Total Revenue	508,750	1,957,606	38,167	2,017,148	99,922	2,059,501	75,394	2,062,466	64,480	2,022,086	99,922	2,017,148	13,022,589
Total Expenses	907,746	1,126,195	1,007,761	1,016,601	1,007,761	1,016,601	1,220,618	1,032,851	1,014,011	1,022,851	1,007,761	1,101,601	12,482,355
Net Income	(398,996)	831,411	(969,594)	1,000,547	(907,839)	1,042,900	(1,145,224)	1,029,615	(949,531)	999,235	(907,839)	915,547	540,234
Cash Flow Adjustments	(17,316)	(17,316)	(17,316)	(17,316)	(17,316)	(17,316)	(17,316)	(17,316)	(17,316)	(17,316)	(17,316)	(17,316)	(207,794)
Beginning Cash Balance	1,032,342	616,030	1,430,125	443,216	1,426,447	501,292	1,526,876	364,335	1,376,634	409,787	1,391,706	466,551	1,032,342
Net Income	616,030	1,430,125	443,216	1,426,447	501,292	1,526,876	364,335	1,376,634	409,787	1,391,706	466,551	1,364,782	1,364,782
	July	August	September	October	November	December	January	February	March	April	May	June	TOTAL
REVENUE													
* Total Column (Column U) for all lines other than Cash Flow Adjustments should equal the Total Column (Column N) on tab '4.' Year Budget & Assumptions'.													
REVENUES FROM STATE SOURCES													
Per Pupil Revenue	CY Per Pupil Rate												
School District 1 (Enter Name)	13,527	-	1,681,857	-	1,681,857	-	1,681,857	-	1,681,857	-	1,681,857	-	10,911,142
School District 2 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 3 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 4 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 5 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 6 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 7 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 8 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 9 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 10 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 11 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 12 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 13 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 14 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District 15 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-
School District - ALL OTHER	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL Per Pupil Revenue (Average Districts Per Pupil Funding)	13,527	-	1,681,857	-	1,681,857	-	1,681,857	-	1,681,857	-	1,681,857	-	10,911,142
Special Education Revenue		-	223,919	-	223,919	-	223,919	-	223,919	-	223,919	-	1,343,516
Grants		-	-	-	-	-	-	-	-	-	-	-	-
Stimulus		-	-	-	-	-	-	-	-	-	-	-	-
DYCD (Department of Youth and Community Development)		188,750	-	-	-	-	-	-	-	-	-	-	188,750
Other		-	-	-	-	-	-	-	-	-	-	-	-
Other		-	-	-	-	-	-	-	-	-	-	-	-
TOTAL REVENUE FROM STATE SOURCES		188,750	1,905,776	-	1,905,776	-	1,905,776	-	1,905,776	-	1,905,776	-	11,623,408
REVENUE FROM FEDERAL FUNDING													
IDEA Special Needs		-	14,005	-	14,005	-	56,357	-	14,005	-	14,005	-	126,380
Title I		-	33,778	-	33,778	36,300	33,778	-	70,078	-	33,778	36,300	311,566
Title Funding - Other		-	4,047	-	4,047	4,080	4,047	-	8,127	-	4,047	4,080	4,047
School Food Service (Free Lunch)		-	-	38,167	59,542	59,542	59,542	59,542	59,542	59,542	59,542	59,542	574,047
Grants		-	-	-	-	-	-	-	-	-	-	-	-
Charter School Program (CSP) Planning & Implementation		300,000	-	-	-	-	-	-	-	-	-	-	300,000
Other		-	-	-	-	-	-	-	-	-	-	-	-
Other		-	-	-	-	-	-	-	-	-	-	-	-
TOTAL REVENUE FROM FEDERAL SOURCES		300,000	51,830	38,167	111,372	99,922	153,724	59,542	151,752	59,542	111,372	99,922	1,348,516
LOCAL and OTHER REVENUE													
Contributions and Donations		20,000	-	-	-	-	-	-	-	-	-	-	20,000
Fundraising		-	-	-	-	-	-	10,914	-	-	-	-	10,914
Erate Reimbursement		-	-	-	-	-	-	-	-	-	-	-	-
Earnings on Investments		-	-	-	-	-	-	-	-	-	-	-	-
Interest Income		-	-	-	-	-	-	-	-	-	-	-	-
Food Service (Income from meals)		-	-	-	-	-	-	-	-	-	-	-	-
Text Book		-	-	-	-	-	4,938	4,938	4,938	4,938	-	-	19,750
OTHER		-	-	-	-	-	-	-	-	-	-	-	-
TOTAL REVENUE FROM LOCAL AND OTHER SOURCES		20,000	-	-	-	-	-	15,852	4,938	4,938	4,938	-	50,664
TOTAL REVENUE		508,750	1,957,606	38,167	2,017,148	99,922	2,059,501	75,394	2,062,466	64,480	2,022,086	99,922	13,022,589
EXPENSES													
ADMINISTRATIVE STAFF PERSONNEL COSTS													
Executive Management	No. of Positions	-	69,583	69,583	69,583	69,583	69,583	69,583	69,583	69,583	69,583	69,583	835,000
Instructional Management		-	29,167	29,167	29,167	29,167	29,167	29,167	29,167	29,167	29,167	29,167	350,000
Deans, Directors & Coordinators		-	30,435	30,435	30,435	30,435	30,435	30,435	30,435	30,435	30,435	30,435	365,220
CFO / Director of Finance		-	-	-	-	-	-	-	-	-	-	-	-
Operation / Business Manager		-	11,717	11,717	11,717	11,717	11,717	11,717	11,717	11,717	11,717	11,717	140,608
Administrative Staff		-	11,579	11,579	11,579	11,579	11,579	11,579	11,579	11,579	11,579	11,579	138,944
TOTAL ADMINISTRATIVE STAFF		-	152,481	152,481	152,481	152,481	152,481	152,481	152,481	152,481	152,481	152,481	1,829,772
INSTRUCTIONAL PERSONNEL COSTS													
Teachers - Regular		-	137,713	205,734	205,734	205,734	205,734	205,734	205,734	205,734	205,734	205,734	2,400,790
Teachers - SPED		-	7,170	13,972	13,972	13,972	13,972	13,972	13,972	13,972	13,972	13,972	160,863
Substitute Teachers		-	6,933	6,933	6,933	6,933	6,933	6,933	6,933	6,933	6,933	6,933	83,200
Teaching Assistants		-	38,417	79,821	79,821	79,821	79,821	79,821	79,821	79,821	79,821	79,821	916,447
Specialty Teachers		-	37,393	50,998	50,998	50,998	50,998	50,998	50,998	50,998	50,998	50,998	598,367
Aides		-	-	-	-	-	-	-	-	-	-	-	-
Therapists & Counselors		-	13,578	13,578	13,578	13,578	13,578	13,578	13,578	13,578	13,578	13,578	162,936
Other		-	16,543	16,543	16,543	16,543	16,543	16,543	16,543	16,543	16,543	16,543	198,521
TOTAL INSTRUCTIONAL		-	257,748	387,580	387,580	387,580	387,580	387,580	387,580	387,580	387,580	387,580	4,521,124
NON-INSTRUCTIONAL PERSONNEL COSTS													
Nurse		-	-	-	-	-	-	-	-	-	-	-	-
Librarian		-	-	-	-	-	-	-	-	-	-	-	-
Custodian		-	7,108	7,108	7,108	7,108	7,108	7,108	7,108	7,108	7,108	7,108	85,300
Security		-	11,574	15,507	15,507	15,507	15,507	15,507	15,507	15,507	15,507	15,507	182,148
Other		-	7,457	10,581	10,581	10,581	10,581	10,581	10,581	10,581	10,581	10,581	123,845
TOTAL NON-INSTRUCTIONAL		-	26,139	33,196	33,196	33,196	33,196	33,196	33,196	33,196	33,196	33,196	391,293
SUBTOTAL PERSONNEL SERVICE COSTS													
		-	436,368	573,256	573,256	573,256	573,256	573,256	573,256	573,256	573,256	573,256	6,742,189
PAYROLL TAXES AND BENEFITS													
Payroll Taxes		-	12,051	38,512	38,512	38,512	38,512	38,512	38,512	38,512	38,512	38,512	435,680
Fringe / Employee Benefits		-	97,751	107,881	107,881	107,881	107,881	107,881	107,881	107,881	107,881	107,881	1,284,442
Retirement / Pension		-	15,338	20,814	20,814	20,814	20,814	20,814	20,814	20,814	20,814	20,814	244,292
TOTAL PAYROLL TAXES AND BENEFITS		-	125,141	167,207	167,207	167,207	167,207	167,207	167,207	167,207	167,207	167,207	1,964,414
TOTAL PERSONNEL SERVICE COSTS													
		-	561,509	740,463	740,463	740,463	740,463	740,463	740,463	740,463	740,463	740,463	8,706,603
CONTRACTED SERVICES													
Accounting / Audit		-	3,817	3,817	3,817	3,817	3,817	3,817	3,817	3,817	3,817	3,817	55,800
Legal		-	250	250	250	250	250	250	250	250	250	250	3,000
Management Company Fee		-	-	-	-	-	-	-	-	-	-	-	-
Nurse Services		-	-	-	-	-	-	-	-	-	-	-	-
Food Service / School Lunch		-	13,989	13,989	13,989	13,989	13,989	13,989	13,989	13,989	13,989	13,989	167,871
Payroll Services		-	10,858	10,858	10,858	10,858	10,858	10,858	10,858	10,858	10,858	10,858	130,296
Special Ed Services		-	-	8,355	8,355	8,355	8,355	8,355	8,355	8,355	8,355	8,355	83,552
Tilement Services (i.e. Title I)		-	-	-	-	-	-	-	-	-	-	-	-
Other Purchased / Professional / Consulting		-	18,401	18,401	18,401	18,401	18,401	18,401	18,401	18,401	18,401	18,401	220,816
TOTAL CONTRACTED SERVICES		-	47,315	47,315	55,670	55,670	55,670	55,670	55,670	55,670	55,670	55,670	661,335
SCHOOL OPERATIONS													
Board Expenses		-	200	200	200	200	200	200	200	200	200	200	2,400
Classroom / Teaching Supplies & Materials		-	6,000	20,584	-	-	-	26,584	-	-	-	-	53,168
Special Ed Supplies & Materials		-	7,000	6,944	-	-	-	6,944	-	-	-	-	20,888
Textbooks / Workbooks		-	12,500	34,224	-	-	-	46,724	-	-	-	-	93,448
Supplies & Materials other		-	26,628	10,664	-	-	-	37,292	-	-	-	-	74,584
Equipment / Furniture		-	25,000	35,960	-	-	-	35,960	-	-	-	-	96,920
Telephone		-	3,480	3,480	3,480	3,480	3,480	3,480	3,480	3,480	3,480	3,480	41,758
Technology		-	13,643	13,533	-	-	-	13,533	-	-	-	-	40,710
Student Testing & Assessment		-	-	17,043	-	-	-	17,043	-	-	-	-	34,086
Field Trips		-	-	-	625	625	625	625	625	625	625	625	6,250
Transportation (Student)		-	-	200	200	200	200	200	200	200	200	200	2,400
Student Services - other		-	-	-	11,717	11,717	11,717	11,717	11,717	11,717	11,717	11,717	117,172
Office Expense		-	6,045	6,045	6,045	6,045	6,045	6,045	6,045	6,045	6,045	6,045	72,546
Staff Development		-	11,337	11,337	11,337	11,337	11,337	11,337	11,337	11,337	11,337	11,337	136,040
Staff Recruitment		-	-</										

Amber Charter Schools						DESCRIPTION OF ASSUMPTIONS
PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD						
*NOTE: If a Planning Year is Taken in the Beginning of the Charter, the Charter Will Be Extended to Encompass Five Years of Operation. Projected Five Year Budget on this Tab Should Be For the First Five Years of Actual Operations.						
Total Revenue	13,022,589	14,664,663	16,535,629	18,167,701	19,595,868	
Total Expenses	12,482,355	13,901,465	15,810,984	16,776,084	17,785,854	
Net Income (Before Cash Flow Adjustments)	540,234	763,197	724,646	1,391,616	1,810,014	
Actual Student Enrollment	-	-	-	-	-	
Total Paid Student Enrollment	746	875	987	1,085	1,170	
	Year 1 2016	Year 2 2017	Year 3 2018	Year 4 2019	Year 5 2020	
	*Year 1 should tie to Totals for Year 1 on Tabs 4 and 5					
	Per Pupil Revenue Percentage Increase					
	0.0%	0.0%	0.0%	0.0%	0.0%	
REVENUE						
REVENUES FROM STATE SOURCES						
Per Pupil Revenue	CY Per Pupil Rate					
School District 1 (Enter Name)	13,527	10,091,142	11,839,507	13,353,854	14,679,189	
School District 2 (Enter Name)	-	-	-	-	-	
School District 3 (Enter Name)	-	-	-	-	-	
School District 4 (Enter Name)	-	-	-	-	-	
School District 5 (Enter Name)	-	-	-	-	-	
School District 6 (Enter Name)	-	-	-	-	-	
School District 7 (Enter Name)	-	-	-	-	-	
School District 8 (Enter Name)	-	-	-	-	-	
School District 9 (Enter Name)	-	-	-	-	-	
School District 10 (Enter Name)	-	-	-	-	-	
School District 11 (Enter Name)	-	-	-	-	-	
School District 12 (Enter Name)	-	-	-	-	-	
School District 13 (Enter Name)	-	-	-	-	-	
School District 14 (Enter Name)	-	-	-	-	-	
School District 15 (Enter Name)	-	-	-	-	-	
School District - ALL OTHER	-	-	-	-	-	
TOTAL Per Pupil Revenue (Average Districts Per Pupil Funding)	13,527	10,091,142	11,839,507	13,353,854	14,679,189	
Special Education Revenue		1,343,516	1,552,428	1,745,130	1,910,819	
Grants						
Stimulus		-	-	-	-	
DYCD (Department of Youth and Community Developmt.)		188,750	-	-	-	
Other		-	-	-	-	
Other		-	-	-	-	
TOTAL REVENUE FROM STATE SOURCES		11,623,408	13,391,934	15,098,985	16,590,008	
REVENUE FROM FEDERAL FUNDING						
IDEA Special Needs		126,380	146,031	164,158	179,744	
Title I		311,566	362,095	408,704	448,780	
Title Funding - Other		36,524	42,216	47,452	51,955	
School Food Service (Free Lunch)		574,047	663,309	745,646	816,440	
Grants						
Charter School Program (CSP) Planning & Implementation		300,000	-	-	-	
Other		-	-	-	-	
Other		-	-	-	-	
TOTAL REVENUE FROM FEDERAL SOURCES		1,348,516	1,213,651	1,365,960	1,496,918	
LOCAL and OTHER REVENUE						
Contributions and Donations		20,000	20,000	20,000	20,000	
Fundraising		-	-	-	-	
Erate Reimbursement		10,914	10,143	13,302	16,126	
Earnings on Investments		-	-	-	-	
Interest Income		-	-	-	-	
Food Service (Income from meals)		-	-	-	-	
Text Book		19,750	28,934	37,383	44,649	
OTHER		-	-	-	-	
TOTAL REVENUE FROM LOCAL and OTHER SOURCES		50,664	59,077	70,685	80,775	
TOTAL REVENUE		13,022,589	14,664,663	16,535,629	18,167,701	
EXPENSES						
ADMINISTRATIVE STAFF PERSONNEL COSTS	No. of Positions					
Executive Management	-	835,000	915,875	938,772	962,241	
Instructional Management	-	350,000	358,750	367,719	376,912	
Deans, Directors & Coordinators	-	365,220	561,842	667,088	683,765	
CFO / Director of Finance	-	-	-	-	-	
Operation / Business Manager	-	140,608	144,123	147,726	151,419	
Administrative Staff	-	138,944	184,018	188,618	193,333	
TOTAL ADMINISTRATIVE STAFF	-	1,829,772	2,164,608	2,309,923	2,367,671	
INSTRUCTIONAL PERSONNEL COSTS						
Teachers - Regular	-	2,400,790	2,834,928	3,205,097	3,584,520	
Teachers - SPED	-	160,863	164,885	243,831	249,927	
Substitute Teachers	-	83,200	85,280	87,412	89,597	
Teaching Assistants	-	916,447	1,030,446	1,056,207	1,082,612	
Specialty Teachers	-	598,367	688,150	929,825	953,071	
Aides	-	-	-	-	-	
Therapists & Counselors	-	162,936	167,009	171,185	175,464	
Other	-	198,521	203,484	276,971	352,295	
TOTAL INSTRUCTIONAL	-	4,521,124	5,174,183	5,970,528	6,487,487	
NON-INSTRUCTIONAL PERSONNEL COSTS						
Nurse	-	-	-	-	-	
Librarian	-	-	-	-	-	
Custodian	-	85,300	87,433	89,618	91,859	
Security	-	182,148	179,842	180,951	182,087	
Other	-	123,845	126,941	139,459	142,946	
TOTAL NON-INSTRUCTIONAL	-	391,293	394,216	410,029	416,892	
SUBTOTAL PERSONNEL SERVICE COSTS	-	6,742,189	7,733,007	8,690,480	9,272,050	
PAYROLL TAXES AND BENEFITS						
Payroll Taxes		435,680	613,715	788,202	886,508	
Fringe / Employee Benefits		1,284,442	1,369,777	1,449,938	1,505,540	
Retirement / Pension		244,292	287,391	330,020	357,133	
TOTAL PAYROLL TAXES AND BENEFITS		1,964,414	2,270,883	2,568,160	2,749,180	
TOTAL PERSONNEL SERVICE COSTS	-	8,706,603	10,003,890	11,258,640	12,021,230	
CONTRACTED SERVICES						
Accounting / Audit		55,800	57,800	59,800	61,800	
Legal		3,000	3,000	3,000	3,000	
Management Company Fee		-	-	-	-	
Nurse Services		-	-	-	-	
Food Service / School Lunch		167,871	172,271	173,963	175,994	
Payroll Services		130,296	149,727	168,843	180,377	
Special Ed Services		83,552	98,000	110,544	121,520	
Titlment Services (i.e. Title I)		-	-	-	-	
Other Purchased / Professional / Consulting		220,816	228,033	231,823	235,690	
TOTAL CONTRACTED SERVICES		661,335	708,831	747,973	778,381	
SCHOOL OPERATIONS						
Board Expenses		2,400	2,400	2,400	2,400	
Classroom / Teaching Supplies & Materials		53,168	58,247	61,862	65,560	
Special Ed Supplies & Materials		20,888	24,500	27,636	30,380	
Textbooks / Workbooks		93,448	81,867	81,627	80,958	
Supplies & Materials other		74,584	101,077	125,952	148,256	
Equipment / Furniture		96,920	85,430	85,225	84,598	
Telephone		41,758	44,225	45,996	47,699	
Technology		40,710	48,063	54,653	60,628	
Student Testing & Assessment		34,086	41,013	47,100	52,405	
Field Trips		6,250	18,313	23,660	28,259	
Transportation (student)		2,000	3,000	3,000	3,000	
Student Services - other		117,172	137,363	161,679	192,054	
Office Expense		72,546	76,335	78,923	81,447	
Staff Development		136,040	46,000	30,500	34,500	
Staff Recruitment		10,000	8,000	8,000	8,000	
Student Recruitment / Marketing		30,000	33,000	32,000	32,000	
School Meals / Lunch		84,612	125,816	164,995	200,021	
Travel (Staff)		13,419	13,770	13,906	14,068	
Fundraising		25,000	35,000	40,000	45,000	
Other		225,000	225,000	225,000	225,000	
TOTAL SCHOOL OPERATIONS		1,180,000	1,208,419	1,314,112	1,436,231	
FACILITY OPERATION & MAINTENANCE						
Insurance		211,373	241,045	267,198	291,008	
Janitorial		22,000	25,000	29,000	34,000	
Building and Land Rent / Lease		1,170,000	1,199,250	1,638,975	1,679,949	
Repairs & Maintenance		118,040	119,101	120,183	121,286	
Equipment / Furniture		38,054	38,054	38,054	38,054	
Security		30,000	10,000	5,000	5,000	
Utilities		269,950	272,875	316,848	320,945	
TOTAL FACILITY OPERATION & MAINTENANCE		1,859,417	1,905,325	2,415,257	2,490,242	
DEPRECIATION & AMORTIZATION		-	-	-	-	
DISSOLUTION ESCROW & RESERVES / CONTINGENCY		75,000	75,000	75,000	50,000	
TOTAL EXPENSES		12,482,355	13,901,465	15,810,984	16,776,084	
NET INCOME		540,234	763,197	724,646	1,391,616	
ENROLLMENT - *School Districts Are Linked To Above Entries*						
School District 1 (Enter Name)		-	-	-	-	
School District 2 (Enter Name)		-	-	-	-	
School District 3 (Enter Name)		-	-	-	-	

Amber Charter Schools						DESCRIPTION OF ASSUMPTIONS
PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD						
*NOTE: If a Planning Year is Taken in the Beginning of the Charter, the Charter Will Be Extended to Encompass Five Years of Operation. Projected Five Year Budget on this Tab Should Be For the First Five Years of Actual Operations.						
Total Revenue	13,022,589	14,664,663	16,535,629	18,167,701	19,595,868	
Total Expenses	12,482,355	13,901,465	15,810,984	16,776,084	17,785,854	
Net Income (Before Cash Flow Adjustments)	540,234	763,197	724,646	1,391,616	1,810,014	
Actual Student Enrollment	-	-	-	-	-	
Total Paid Student Enrollment	746	875	987	1,085	1,170	
	Year 1 2016	Year 2 2017	Year 3 2018	Year 4 2019	Year 5 2020	
School District 4 (Enter Name)	-	-	-	-	-	
School District 5 (Enter Name)	-	-	-	-	-	
School District 6 (Enter Name)	-	-	-	-	-	
School District 7 (Enter Name)	-	-	-	-	-	
School District 8 (Enter Name)	-	-	-	-	-	
School District 9 (Enter Name)	-	-	-	-	-	
School District 10 (Enter Name)	-	-	-	-	-	
School District 11 (Enter Name)	-	-	-	-	-	
School District 12 (Enter Name)	-	-	-	-	-	
School District 13 (Enter Name)	-	-	-	-	-	
School District 14 (Enter Name)	-	-	-	-	-	
School District 15 (Enter Name)	-	-	-	-	-	
School District - ALL OTHER	-	-	-	-	-	
TOTAL ENROLLMENT	-	-	-	-	-	
REVENUE PER PUPIL	-	-	-	-	-	
EXPENSES PER PUPIL	-	-	-	-	-	
CASH FLOW ADJUSTMENTS						
OPERATING ACTIVITIES						
Example - Add Back Depreciation	-	-	-	-	-	
Other	-	-	-	-	-	
Total Operating Activities	-	-	-	-	-	
INVESTMENT ACTIVITIES						
Example - Subtract Property and Equipment Expenditures	(42,238)	(42,238)	(42,238)	(42,238)	(42,238)	
Other	(165,556)	(165,556)	(165,556)	(165,556)	(165,556)	
Total Investment Activities	(207,794)	(207,794)	(207,794)	(207,794)	(207,794)	
FINANCING ACTIVITIES						
Example - Add Expected Proceeds from a Loan or Line of Credit	-	-	-	-	-	
Other	-	-	-	-	-	
Total Financing Activities	-	-	-	-	-	
Total Cash Flow Adjustments	(207,794)	(207,794)	(207,794)	(207,794)	(207,794)	
NET INCOME	332,440	555,403	516,852	1,183,822	1,602,220	
Beginning Cash Balance	1,032,342	1,364,782	1,920,185	2,437,037	3,620,859	
ENDING CASH BALANCE	1,364,782	1,920,185	2,437,037	3,620,859	5,223,079	



Charter Schools Institute *The State University of New York*

New Application Budget(s) & Cash Flow(s) Template *for SUNY Authorized Charter Schools*

Amber Charter School II

Contact Name: Vasthi Acosta
Contact Email: [REDACTED]
Contact Phone: [REDACTED]

Examples

Pre-Opening Period	July 1, 2014 to June 30, 2015
Operational Year ONE	July 1, 2015 to June 30, 2016

Amber Charter School II PROJECTED BUDGET / OPERATING PLAN FOR PRE-OPENING PERIOD July 1, 2014 to June 30, 2015				DESCRIPTION OF ASSUMPTIONS
Total Revenue		230,000		
Total Expenses		78,500		
Net Income		151,500		
Actual Student Enrollment		-		
Total Paid Student Enrollment		-		
		START-UP PERIOD		
REVENUE				
REVENUES FROM STATE SOURCES				
Per Pupil Revenue		CY Per Pupil Rate		
School District 1 (Enter Name)		13,527	-	
School District 2 (Enter Name)		-	-	
School District 3 (Enter Name)		-	-	
School District 4 (Enter Name)		-	-	
School District 5 (Enter Name)		-	-	
School District 6 (Enter Name)		-	-	
School District 7 (Enter Name)		-	-	
School District 8 (Enter Name)		-	-	
School District 9 (Enter Name)		-	-	
School District 10 (Enter Name)		-	-	
School District 11 (Enter Name)		-	-	
School District 12 (Enter Name)		-	-	
School District 13 (Enter Name)		-	-	
School District 14 (Enter Name)		-	-	
School District 15 (Enter Name)		-	-	
School District - ALL OTHER		-	-	
TOTAL Per Pupil Revenue (Average Districts Per Pupil Funding)		13,527	-	
Special Education Revenue			-	
Grants				
Stimulus			-	
DYCD (Department of Youth and Community Developmt.)			-	
Other			-	
Other			-	
TOTAL REVENUE FROM STATE SOURCES			-	
REVENUE FROM FEDERAL FUNDING				
IDEA Special Needs			-	
Title I			-	
Title Funding - Other			-	
School Food Service (Free Lunch)			-	
Grants				
Charter School Program (CSP) Planning & Implementation			200,000	
Other			-	
Other			-	
TOTAL REVENUE FROM FEDERAL SOURCES			200,000	
LOCAL and OTHER REVENUE				
Contributions and Donations			30,000	
Fundraising			-	
Erate Reimbursement			-	
Earnings on Investments			-	
Interest Income			-	
Food Service (Income from meals)			-	
Text Book			-	
OTHER			-	
TOTAL REVENUE FROM LOCAL and OTHER SOURCES			30,000	
TOTAL REVENUE			230,000	
EXPENSES				
ADMINISTRATIVE STAFF PERSONNEL COSTS				
		No. of Positions		
Executive Management		1.00	49,500	
Instructional Management		-	-	
Deans, Directors & Coordinators		-	-	
CFO / Director of Finance		-	-	
Operation / Business Manager		-	-	
Administrative Staff		-	-	
TOTAL ADMINISTRATIVE STAFF		1.00	49,500	
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		1.00	49,500	
PAYROLL TAXES AND BENEFITS				
Payroll Taxes			-	
Fringe / Employee Benefits			-	
Retirement / Pension			-	
TOTAL PAYROLL TAXES AND BENEFITS			-	
TOTAL PERSONNEL SERVICE COSTS		1.00	49,500	
CONTRACTED SERVICES				
Accounting / Audit			-	
Legal			-	
Management Company Fee			-	
Nurse Services			-	
Food Service / School Lunch			-	
Payroll Services			-	
Special Ed Services			-	
Titliment Services (i.e. Title I)			-	
Other Purchased / Professional / Consulting			-	
TOTAL CONTRACTED SERVICES			-	
SCHOOL OPERATIONS				
Board Expenses			-	
Classroom / Teaching Supplies & Materials			-	
Special Ed Supplies & Materials			-	
Textbooks / Workbooks			-	
Supplies & Materials other			-	
Equipment / Furniture			-	
Telephone			-	
Technology			-	
Student Testing & Assessment			-	
Field Trips			-	
Transportation (student)			-	
Student Services - other			-	
Office Expense			-	
Staff Development			20,000	
Staff Recruitment			3,000	
Student Recruitment / Marketing			6,000	
School Meals / Lunch			-	
Travel (Staff)			-	
Fundraising			-	
Other			-	
TOTAL SCHOOL OPERATIONS			29,000	
FACILITY OPERATION & MAINTENANCE				
Insurance			-	
Janitorial			-	
Building and Land Rent / Lease			-	
Repairs & Maintenance			-	
Equipment / Furniture			-	
Security			-	

Amber Charter School II			DESCRIPTION OF ASSUMPTIONS
PROJECTED BUDGET / OPERATING PLAN FOR PRE-OPENING PERIOD			
July 1, 2014 to June 30, 2015			
Total Revenue	230,000		
Total Expenses	78,500		
Net Income	151,500		
Actual Student Enrollment	-		
Total Paid Student Enrollment	-		
	START-UP PERIOD		
Utilities	-		
TOTAL FACILITY OPERATION & MAINTENANCE	-		
DEPRECIATION & AMORTIZATION	-		
DISSOLUTION ESCROW & RESERVES / CONTINGENCY	-		
TOTAL EXPENSES	78,500		
NET INCOME	151,500		
ENROLLMENT - *School Districts Are Linked To Above Entries*			
School District 1 (Enter Name)	-		
School District 2 (Enter Name)	-		
School District 3 (Enter Name)	-		
School District 4 (Enter Name)	-		
School District 5 (Enter Name)	-		
School District 6 (Enter Name)	-		
School District 7 (Enter Name)	-		
School District 8 (Enter Name)	-		
School District 9 (Enter Name)	-		
School District 10 (Enter Name)	-		
School District 11 (Enter Name)	-		
School District 12 (Enter Name)	-		
School District 13 (Enter Name)	-		
School District 14 (Enter Name)	-		
School District 15 (Enter Name)	-		
School District - ALL OTHER	-		
TOTAL ENROLLMENT	-		
REVENUE PER PUPIL	-		
EXPENSES PER PUPIL	-		

Amber Charter School II PROJECTED CASH FLOW FOR PRE-OPENING PERIOD July 1, 2014 to June 30, 2015									Amber Charter School II PROJECTED CASH FLOW FOR DISCRETIONARY PLANNING YEAR *																			
									* This section should be left blank unless and/or until the charter agreement is duly modified to include a planning year																			
Total Revenue	63,333	33,333	33,333	33,333	33,333	33,333	230,000	19,167	19,167	19,167	19,167	19,167	19,167	19,167	19,167	19,167	19,167	19,167	19,167	19,167	19,167	19,167	230,000					
Total Expenses	8,250	17,250	8,250	8,250	8,250	8,250	28,250	4,125	4,125	4,125	4,125	4,125	4,125	4,125	4,125	4,125	4,125	4,125	4,125	4,125	4,125	4,125	78,500					
Net Income	55,083	16,083	25,083	25,083	25,083	5,083	151,500	15,042	15,042	15,042	15,042	15,042	15,042	15,042	15,042	15,042	15,042	15,042	15,042	15,042	15,042	15,042	151,500					
Cash Flow Adjustments	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-					
Beginning Cash Balance	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-					
Net Income	55,083	16,083	25,083	25,083	25,083	5,083	151,500	15,042	30,083	45,125	60,167	75,208	90,250	105,292	114,533	123,775	133,017	142,258	151,500	151,500	151,500	151,500	151,500					
									January	February	March	April	May	June	TOTAL	July	August	September	October	November	December	January	February	March	April	May	June	TOTAL
REVENUE																												
REVENUES FROM STATE SOURCES																												
Per Pupil Revenue																												
School District 1 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 2 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 3 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 4 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 5 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 6 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 7 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 8 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 9 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 10 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 11 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 12 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 13 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 14 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District 15 (Enter Name)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School District - ALL OTHER	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
TOTAL Per Pupil Revenue (Average Districts Per Pupil Funding)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Special Education Revenue	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Grants	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Stimulus	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
DYCD (Department of Youth and Community Developm't)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
TOTAL REVENUE FROM STATE SOURCES	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
REVENUE FROM FEDERAL FUNDING																												
IDEA Special Needs	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Title I	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Title Funding - Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
School Food Service (Free Lunch)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Grants	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Charter School Program (CSP) Planning & Implementation	33,333.33	33,333.33	33,333.33	33,333.33	33,333.33	33,333.33	200,000	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	16,666.67	200,000		
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
TOTAL REVENUE FROM FEDERAL SOURCES	33,333	33,333	33,333	33,333	33,333	33,333	200,000	16,667	16,667	16,667	16,667	16,667	16,667	16,667	16,667	16,667	16,667	16,667	16,667	16,667	16,667	16,667	16,667	16,667	16,667	200,000		
LOCAL AND OTHER REVENUE																												
Contributions and Donations	30,000	-	-	-	-	-	30,000	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	2,500.00	30,000		
Fundraising	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Erate Reimbursement	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Earnings on Investments	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Interest Income	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-											

Amber Charter School II							DESCRIPTION OF ASSUMPTIONS	
PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE								
July 1, 2015 to June 30, 2016								
Total Revenue	3,229,330	966,037	-	20,000	511,904	4,727,272		
Total Expenses	1,769,205	328,216	35,000	5,000	2,662,967	4,800,388		
Net Income	1,460,125	637,821	(35,000)	15,000	(2,151,062)	(73,116)		
Actual Student Enrollment	-	-	-	-	-	-		
Total Paid Student Enrollment	215	35	-	-	-	250		
			PROGRAM SERVICES		SUPPORT SERVICES			
			REGULAR EDUCATION	SPECIAL EDUCATION	OTHER	FUNDRAISING	MANAGEMENT & GENERAL	TOTAL
REVENUE								
REVENUES FROM STATE SOURCES								
Per Pupil Revenue	CY Per Pupil Rate							
School District 1 (Enter Name)	13,527	2,908,305	473,445	-	-	-	3,381,750	See 5 YR Budget for assumptions
School District 2 (Enter Name)	-	-	-	-	-	-	-	
School District 3 (Enter Name)	-	-	-	-	-	-	-	
School District 4 (Enter Name)	-	-	-	-	-	-	-	
School District 5 (Enter Name)	-	-	-	-	-	-	-	
School District 6 (Enter Name)	-	-	-	-	-	-	-	
School District 7 (Enter Name)	-	-	-	-	-	-	-	
School District 8 (Enter Name)	-	-	-	-	-	-	-	
School District 9 (Enter Name)	-	-	-	-	-	-	-	
School District 10 (Enter Name)	-	-	-	-	-	-	-	
School District 11 (Enter Name)	-	-	-	-	-	-	-	
School District 12 (Enter Name)	-	-	-	-	-	-	-	
School District 13 (Enter Name)	-	-	-	-	-	-	-	
School District 14 (Enter Name)	-	-	-	-	-	-	-	
School District 15 (Enter Name)	-	-	-	-	-	-	-	
School District - ALL OTHER	-	-	-	-	-	-	-	
TOTAL Per Pupil Revenue (Average Districts Per Pupil Funding)	13,527	2,908,305	473,445	-	-	-	3,381,750	
Special Education Revenue		-	450,240	-	-	-	450,240	
Grants		-	-	-	-	-	-	
Stimulus		-	-	-	-	-	-	
DYCD (Department of Youth and Community Developmt.)		-	-	-	-	188,750	188,750	
Other		-	-	-	-	-	-	
Other		-	-	-	-	-	-	
TOTAL REVENUE FROM STATE SOURCES		2,908,305	923,685	-	-	188,750	4,020,740	
REVENUE FROM FEDERAL FUNDING								
IDEA Special Needs		-	42,352	-	-	-	42,352	
Title I		108,900	-	-	-	-	108,900	
Title Funding - Other		-	-	-	-	12,240	12,240	
School Food Service (Free Lunch)		192,375	-	-	-	-	192,375	
Grants		-	-	-	-	300,000	300,000	
Charter School Program (CSP) Planning & Implementation		-	-	-	-	-	-	
Other		-	-	-	-	-	-	
Other		-	-	-	-	-	-	
TOTAL REVENUE FROM FEDERAL SOURCES		301,275	42,352	-	-	312,240	655,867	
LOCAL and OTHER REVENUE								
Contributions and Donations		-	-	-	20,000	-	20,000	
Fundraising		-	-	-	-	-	-	
Erate Reimbursement		-	-	-	-	10,914	10,914	
Earnings on Investments		-	-	-	-	-	-	
Interest Income		-	-	-	-	-	-	
Food Service (Income from meals)		-	-	-	-	-	-	
Text Book		19,750	-	-	-	-	19,750	
OTHER		-	-	-	-	-	-	
TOTAL REVENUE FROM LOCAL and OTHER SOURCES		19,750	-	-	20,000	10,914	50,664	
TOTAL REVENUE		3,229,330	966,037	-	20,000	511,904	4,727,272	
EXPENSES								
ADMINISTRATIVE STAFF PERSONNEL COSTS								
Executive Management	No. of Positions	-	-	-	-	279,954	279,954	
Instructional Management	-	-	-	-	-	175,000	175,000	
Deans, Directors & Coordinators	-	-	-	-	-	43,264	43,264	
CFO / Director of Finance	-	-	-	-	-	-	-	
Operation / Business Manager	-	-	-	-	-	70,304	70,304	
Administrative Staff	-	-	-	-	-	48,672	48,672	
TOTAL ADMINISTRATIVE STAFF	-	-	-	-	-	617,194	617,194	
INSTRUCTIONAL PERSONNEL COSTS								
Teachers - Regular	-	748,238	-	-	-	-	748,238	
Teachers - SPED	-	-	74,824	-	-	-	74,824	
Substitute Teachers	-	-	-	-	-	-	-	
Teaching Assistants	-	455,442	-	-	-	-	455,442	
Specialty Teachers	-	149,648	-	-	-	-	149,648	
Aides	-	-	-	-	-	-	-	
Therapists & Counselors	-	-	-	-	-	-	-	
Other	-	-	-	-	-	-	-	
TOTAL INSTRUCTIONAL	-	1,353,328	74,824	-	-	-	1,428,152	
NON-INSTRUCTIONAL PERSONNEL COSTS								
Nurse	-	-	-	-	-	-	-	
Librarian	-	-	-	-	-	-	-	
Custodian	-	-	-	-	-	37,856	37,856	
Security	-	-	-	-	-	43,264	43,264	
Other	-	-	-	-	-	34,357	34,357	
TOTAL NON-INSTRUCTIONAL	-	-	-	-	-	115,477	115,477	
SUBTOTAL PERSONNEL SERVICE COSTS	-	1,353,328	74,824	-	-	732,671	2,160,823	
PAYROLL TAXES AND BENEFITS								
Payroll Taxes		261,598	14,463	-	-	141,625	417,687	
Fringe / Employee Benefits		100,146	5,537	-	-	54,218	159,901	
Retirement / Pension		54,133	2,993	-	-	29,307	86,433	
TOTAL PAYROLL TAXES AND BENEFITS		415,878	22,993	-	-	225,150	664,021	
TOTAL PERSONNEL SERVICE COSTS	-	1,769,205	97,817	-	-	957,821	2,824,844	
CONTRACTED SERVICES								
Accounting / Audit		-	-	-	-	10,000	10,000	
Legal		-	-	-	-	-	-	
Management Company Fee		-	-	-	-	-	-	
Nurse Services		-	-	-	-	-	-	
Food Service / School Lunch		-	-	-	-	-	-	
Payroll Services		-	-	-	-	41,704	41,704	
Special Ed Services		-	-	28,000	-	-	28,000	
Titlment Services (i.e. Title I)		-	-	-	-	-	-	
Other Purchased / Professional / Consulting		-	-	-	-	35,000	35,000	
TOTAL CONTRACTED SERVICES		-	-	28,000	-	86,704	114,704	
SCHOOL OPERATIONS								
Board Expenses		-	-	-	-	1,200	1,200	
Classroom / Teaching Supplies & Materials		-	12,000	-	-	-	12,000	
Special Ed Supplies & Materials		-	-	7,000	-	-	7,000	
Textbooks / Workbooks		-	25,000	-	-	-	25,000	
Supplies & Materials other		-	53,256	-	-	-	53,256	
Equipment / Furniture		-	25,000	-	-	-	25,000	
Telephone		-	-	-	-	2,980	2,980	
Technology		-	13,643	-	-	-	13,643	
Student Testing & Assessment		-	13,750	-	-	-	13,750	
Field Trips		-	6,250	-	-	-	6,250	
Transportation (student)		-	-	-	-	-	-	
Student Services - other		-	76,500	-	-	-	76,500	
Office Expense		-	-	-	-	4,098	4,098	
Staff Development		-	-	-	-	17,000	17,000	
Staff Recruitment		-	-	-	-	5,000	5,000	
Student Recruitment / Marketing		-	5,000	-	-	-	5,000	
School Meals / Lunch		-	-	-	-	84,612	84,612	
Travel (Staff)		-	-	-	-	-	-	
Fundraising		-	-	-	5,000	-	5,000	
Other		-	-	-	-	-	-	
TOTAL SCHOOL OPERATIONS		-	230,399	7,000	5,000	114,890	357,289	
FACILITY OPERATION & MAINTENANCE								
Insurance		-	-	-	-	53,457	53,457	
Janitorial		-	-	-	-	-	-	
Building and Land Rent / Lease		-	-	-	-	1,170,000	1,170,000	
Repairs & Maintenance		-	-	-	-	53,040	53,040	
Equipment / Furniture		-	-	-	-	35,054	35,054	
Security		-	-	-	-	-	-	
Utilities		-	-	-	-	117,000	117,000	
TOTAL FACILITY OPERATION & MAINTENANCE		-	-	-	-	1,428,551	1,428,551	
DEPRECIATION & AMORTIZATION								
DISSOLUTION ESCROW & RESERVES / CONTINGENCY		-	-	-	-	75,000	75,000	
TOTAL EXPENSES		1,769,205	328,216	35,000	5,000	2,662,967	4,800,388	
NET INCOME		1,460,125	637,821	(35,000)	15,000	(2,151,062)	(73,116)	
ENROLLMENT - *School Districts Are Linked To Above Entries*								
School District 1 (Enter Name)		-	-	-			-	
School District 2 (Enter Name)		-	-	-			-	
School District 3 (Enter Name)		-	-	-			-	
School District 4 (Enter Name)		-	-	-			-	
School District 5 (Enter Name)		-	-	-			-	
School District 6 (Enter Name)		-	-	-			-	
School District 7 (Enter Name)		-	-	-			-	
School District 8 (Enter Name)		-	-	-			-	
School District 9 (Enter Name)		-	-	-			-	
School District 10 (Enter Name)		-	-	-			-	
School District 11 (Enter Name)		-	-	-			-	
School District 12 (Enter Name)		-	-	-			-	

Amber Charter School II PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE July 1, 2015 to June 30, 2016							DESCRIPTION OF ASSUMPTIONS
Total Revenue	3,229,330	966,037	-	20,000	511,904	4,727,272	
Total Expenses	1,769,205	328,216	35,000	5,000	2,662,967	4,800,388	
Net Income	1,460,125	637,821	(35,000)	15,000	(2,151,062)	(73,116)	
Actual Student Enrollment	-	-				-	
Total Paid Student Enrollment	215	35				250	
	PROGRAM SERVICES			SUPPORT SERVICES		TOTAL	
	REGULAR EDUCATION	SPECIAL EDUCATION	OTHER	FUNDRAISING	MANAGEMENT & GENERAL		
School District 13 (Enter Name)	-	-	-			-	
School District 14 (Enter Name)	-	-	-		-		
School District 15 (Enter Name)	-	-	-		-		
School District - ALL OTHER	-	-	-		-		
TOTAL ENROLLMENT	-	-	-		-		
REVENUE PER PUPIL	-	-	-			-	
EXPENSES PER PUPIL	-	-	-			-	

Amber Charter School II
PROJECTED CASH FLOW FOR YEAR ONE OF OPERATIONS
July 1, 2015 to June 30, 2016

Total Revenue	508,750	638,665	-	660,040	61,755	702,392	37,227	705,358	26,313	664,978	61,755	660,040	4,727,272
Total Expenses	300,280	386,651	390,473	399,313	390,473	399,313	460,003	409,313	390,473	399,313	390,473	484,313	4,800,388
Net Income	208,470	252,014	(390,473)	260,727	(328,718)	303,080	(422,776)	296,045	(364,160)	265,665	(328,718)	175,727	(73,116)
Cash Flow Adjustments	-	-	-	-	-	-	-	-	-	-	-	-	-
Beginning Cash Balance	151,500	359,970	611,984	221,511	482,238	153,521	456,600	38,825	329,870	(34,291)	231,374	(97,343)	151,500
Net Income	359,970	611,984	221,511	482,238	153,521	456,600	38,825	329,870	(34,291)	231,374	(97,343)	78,384	78,384

[illegible]

EXPENSES

[illegible]

INSTRUCTIONAL PERSONNEL COSTS

[illegible]

NON-INSTRUCTIONAL PERSONNEL COSTS

[illegible]

SUBTOTAL PERSONNEL SERVICE COSTS

PAYROLL TAXES AND BENEFITS

[illegible]

Fringe / Employee Benefits

[illegible]

TOTAL PERSONNEL SERVICE COSTS

CONTRACTED SERVICES

TOTAL CONTRACTED SERVICES													10,000	10,000
Accounting / Audit	-	-	-	-	-	-	-	-	-	-	-	-	10,000	10,000
Legal	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Management Company Fee	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Nurse Services	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Food Service / School Lunch	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Payroll Services	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Special Ed Services	3,475.32	3,475.32	3,475.32	3,475.32	3,475.32	3,475.32	3,475.32	3,475.32	3,475.32	3,475.32	3,475.32	3,475.32	3,475.32	41,704
Titement Services (i.e. Title I)	-	-	2,800	2,800	2,800	2,800	2,800	2,800	2,800	2,800	2,800	2,800	2,800	28,000
Other Purchased (Professional / Consulting	2,917	2,917	2,917	2,917	2,917	2,917	2,917	2,917	2,917	2,917	2,917	2,917	2,917	35,000
TOTAL CONTRACTED SERVICES	6,392	6,392	9,192	9,192	9,192	9,192	9,192	9,192	9,192	9,192	9,192	9,192	19,192	114,704

SCHOOL OPERATIONS

Board Expenses	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	1,200
Classroom / Teaching Supplies & Materials	6,000	-	-	-	-	-	6,000	-	-	-	-	-	12,000
Special Ed Supplies & Materials	7,000	-	-	-	-	-	-	-	-	-	-	-	7,000
Textbooks / Workbooks	12,500	-	-	-	-	-	12,500	-	-	-	-	-	25,000
Supplies & Materials other	26,628	-	-	-	-	-	26,628	-	-	-	-	-	53,256
Equipment / Furniture	25,000	-	-	-	-	-	-	-	-	-	-	-	25,000
Telephone	248.35	248.35	248.35	248.35	248.35	248.35	248.35	248.35	248.35	248.35	248.35	248.35	2,980
Technology	13,643	-	-	-	-	-	-	-	-	-	-	-	13,643
Student Testing & Assessment	-	6,875	-	-	-	-	6,875	-	-	-	-	-	13,750
Field Trips	-	-	625	625	625	625	625	625	625	625	625	625	6,250
Transportation (student)	-	-	-	-	-	-	-	-	-	-	-	-	-
Student Services - other	-	-	7,650	7,650	7,650	7,650	7,650	7,650	7,650	7,650	7,650	7,650	76,500
Office Expense	341.48	341.48	341.48	341.48	341.48	341.48	341.48	341.48	341.48	341.48	341.48	341.48	4,098
Staff Development	1,416.67	1,416.67	1,416.67	1,416.67	1,416.67	1,416.67	1,416.67	1,416.67	1,416.67	1,416.67	1,416.67	1,416.67	17,000
Staff Recruitment	-	-	-	-	-	-	5,000	-	-	-	-	-	5,000
Student Recruitment / Marketing	-	-	-	-	-	-	5,000	-	-	-	-	-	5,000
School Meals / Lunch	-	8,461	8,461	8,461	8,461	8,461	8,461	8,461	8,461	8,461	8,461	8,461	84,612
Travel (Staff)	-	-	-	-	-	-	-	-	-	-	-	-	-
Fundraising	416.67	416.67	416.67	416.67	416.67	416.67	416.67	416.67	416.67	416.67	416.67	416.67	5,000
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL SCHOOL OPERATIONS	93,294	9,398	19,259	19,259	19,259	19,259	71,262	29,259	19,259	19,259	19,259	19,259	357,289

FACILITY OPERATION & MAINTENANCE

FACILITY OPERATION & MAINTENANCE													
Insurance	4,454.78	4,454.78	4,454.78	4,454.78	4,454.78	4,454.78	4,454.78	4,454.78	4,454.78	4,454.78	4,454.78	4,454.78	53,457
Janitorial	-	-	-	-	-	-	-	-	-	-	-	-	-
Building and Land Rent / Lease	97,500.00	97,500.00	97,500.00	97,500.00	97,500.00	97,500.00	97,500.00	97,500.00	97,500.00	97,500.00	97,500.00	97,500.00	1,170,000
Repairs & Maintenance	-	8,840.00	-	8,840.00	-	8,840.00	-	8,840.00	-	8,840.00	-	8,840.00	53,040
Equipment / Furniture	17,527	-	-	-	-	-	17,527	-	-	-	-	-	35,054
Security	-	-	-	-	-	-	-	-	-	-	-	-	-
Utilities	9,750	9,750	9,750	9,750	9,750	9,750	9,750	9,750	9,750	9,750	9,750	9,750	117,000
TOTAL FACILITY OPERATION & MAINTENANCE	129,232	120,545	111,705	120,545	111,705	120,545	129,232	120,545	111,705	120,545	111,705	120,545	1,428,551

DEPRECIATION & AMORTIZATION

[illegible]

TOTAL EXPENSES

TOTAL EXPENSES	300,280	386,651	390,473	399,313	390,473	399,313	460,003	409,313	390,473	399,313	390,473	484,313	4,000,388
NET INCOME	208,470	252,014	(390,473)	260,727	(328,718)	303,080	(422,776)	296,045	(364,160)	265,665	(328,718)	175,727	(73,116)

CASH FLOW ADJUSTMENTS

[illegible]

Total Operating Activities

[illegible]

FINANCING ACTIVITIES

[illegible]**Total Cash Flow Adjustments**

NET INCOME	208,470	252,014	(390,473)	260,727	(328,718)	303,080	(422,776)	296,045	(364,160)	265,665	(328,718)	175,727	(73,116)
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NET INCOME

Beginning Cash Balance	151,500	359,970	611,984	221,511	482,238	153,521	456,600	33,825	329,870	(34,291)	231,374	(97,343)	151,500
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ENDING CASH BALANCE

Amber Charter School #11

PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD

*NOTE: If a Planning Year is Taken in the Beginning of the Charter, the Charter Will Be Extended to Encompass Five Years of Operation. Projected Five Year Budget on this Tab Should Be For the First Five Years of Actual Operations.

Total Revenue

Total Expenses

Net Income (Before Cash Flow Adjustments)

Actual Student Enrollment

Total Paid Student Enrollment

4,727,272

4,800,388

(73,116)

-

250

6,193,494

6,218,399

(24,904)

-

366

7,996,826

8,034,329

(37,503)

-

473

9,547,735

8,874,588

673,147

-

565

10,975,902

9,769,272

1,206,630

-

650

Year 1

2016

Year 2

2017

Year 3

2018

Year 4

2019

Year 5

2020

*Year 1 should tie to Totals for Year 1 on Tabs 4 and 5

Per Pupil Revenue Percentage Increase

0.0%

0.0%

0.0%

0.0%

0.0%

REVENUE

REVENUES FROM STATE SOURCES

Per Pupil Revenue

CY Per Pupil Rate

CSD 6 or 28

School District 2 (Enter Name)

School District 3 (Enter Name)

School District 4 (Enter Name)

School District 5 (Enter Name)

School District 6 (Enter Name)

School District 7 (Enter Name)

School District 8 (Enter Name)

School District 9 (Enter Name)

School District 10 (Enter Name)

School District 11 (Enter Name)

School District 12 (Enter Name)

School District 13 (Enter Name)

School District 14 (Enter Name)

School District 15 (Enter Name)

School District - ALL OTHER

13,527

-

-

-

-

-

-

-

-

-

-

-

-

-

-

-

3,381,750

4,954,264

6,400,976

7,645,149

8,789,788

450,240

659,151

851,854

1,017,542

1,170,624

Stimulus

DYCD (Department of Youth and Community Developmrt.)

Other

Other

-

188,750

-

-

-

4,020,740

5,613,415

7,252,830

8,662,692

9,960,412

REVENUE FROM FEDERAL FUNDING

IDEA Special Needs

Title I

Title Funding - Other

School Food Service (Free Lunch)

Grants

Charter School Program (CSP) Planning & Implementation

Other

Other

42,352

108,900

12,240

192,375

-

300,000

-

-

62,004

159,430

17,932

281,637

-

-

-

-

80,131

206,039

23,168

363,974

-

-

-

-

95,717

246,114

27,671

434,768

-

-

-

-

110,116

283,140

31,814

500,175

-

-

-

-

655,867

521,002

673,311

804,269

925,245

LOCAL and OTHER REVENUE

Contributions and Donations

Fundraising

Erate Reimbursement

Earnings on Investments

Interest Income

Food Service (Income from meals)

Text Book

OTHER

20,000

-

10,914

-

-

-

19,750

-

20,000

-

10,143

-

-

-

28,934

-

20,000

-

13,302

-

-

-

37,383

-

20,000

-

16,126

-

-

-

44,649

-

20,000

-

18,911

-

-

-

51,334

-

50,664

59,077

70,685

80,775

90,245

TOTAL REVENUE

4,727,272

6,193,494

7,996,826

9,547,735

10,975,902

DESCRIPTION OF ASSUMPTIONS

Assumes 14% SWD @ \$1210.07 per student with IEP.

Assumes 80%FRL @ \$484 per student eligible for FRL

Assumes \$48.96 per student

Assumes 80% reimbursement of eligible technology costs

Amber will bill students but assumes many will not pay so has not assumed revenue here

Shared services between Amber I and II: See Assumptions Tab

Principal and AP in Year 1

Family Engagement Manager in Year 1; Data/Assessment Manager, Dean and one Staff Developer in Year 2, one more Staff Developer and Meals/Transportation Coordinator in Year 3

Business Manager

Secretary in Year 1; Pupil Accounting in Year 2

Tutors

Bus Matrons and Kitchen Staff

Assumes 19.33% of salaries

Assumes 7.04% of salaries

Assumes 4% of salaries

Assumes 1.93% of salaries

Assumes \$800 per IEP

Professional Development, Erate, other

Materials, meeting resources

\$800 per teacher

\$200 per IEP

\$100 per new student curriculum resources

Phone and Internet

Smartboards, laptops

\$55 per student

\$25 per student Year 1: \$50 per student Year 2+ DOE funded

After school program

Printing, mailing, supplies

\$500 per staff

Labor costs in non-instructional personnel

Grant writing, solicitation materials

\$25,000 in first three years for dissolution; \$50,000 each year contingency

EXPENSES

ADMINISTRATIVE STAFF PERSONNEL COSTS

No. of Positions

Executive Management

Instructional Management

Deans, Directors & Coordinators

CFO / Director of Finance

Operation / Business Manager

Administrative Staff

10.00

2.00

1.00

-

-

1.00

279,954

175,000

43,264

-

70,304

48,672

383,410

179,375

231,837

-

72,062

91,489

450,009

183,859

328,833

-

73,863

93,776

501,085

188,456

337,054

-

75,710

96,120

547,800

193,167

345,481

-

77,602

98,523

14.00

14.00

617,194

958,173

1,130,341

1,198,425

1,262,574

INSTRUCTIONAL PERSONNEL COSTS

Teachers - Regular

Teachers - SPED

Substitute Teachers

Teaching Assistants

Specialty Teachers

Aides

Therapists & Counselors

Other

10.00

1.00

-

10.00

2.00

-

-

-

748,238

74,824

-

455,442

149,648

-

-

-

1,141,064

76,694

-

557,916

228,213

-

-

-

1,468,886

153,436

-

571,864

458,390

-

-

68,400

1,804,903

157,272

-

586,160

469,849

-

-

138,510

2,149,321

161,203

-

600,814

481,596

-

-

210,373

23.00

1,428,152

2,003,887

2,720,975

3,156,694

3,603,307

NON-INSTRUCTIONAL PERSONNEL COSTS

Nurse

Librarian

Custodian

Security

Other

-

-

1.00

1.00

1.00

-

-

37,856

43,264

34,357

-

-

38,802

44,346

35,216

-

-

39,772

45,454

45,441

-

-

40,767

46,591

46,577

-

-

41,786

47,755

57,087

3.00

115,477

118,364

130,668

133,935

146,628

SUBTOTAL PERSONNEL SERVICE COSTS

40.00

2,160,823

3,080,424

3,981,984

4,489,054

5,012,509

PAYROLL TAXES AND BENEFITS

Payroll Taxes

Fringe / Employee Benefits

Retirement / Pension

417,687

159,901

86,433

595,446

227,951

123,217

769,717

294,667

159,279

867,734

332,190

179,562

968,918

370,926

200,500

664,021

946,614

1,223,664

1,379,486

1,540,344

TOTAL PAYROLL TAXES AND BENEFITS

40.00

2,824,844

4,027,038

5,205,648

5,868,540

6,552,853

TOTAL PERSONNEL SERVICE COSTS

40.00

2,824,844

4,027,038

5,205,648

5,868,540

6,552,853

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

10,000

-

-

-

-

41,704

28,000

-

35,000

12,000

-

-

-

-

59,452

40,992

-

38,500

14,000

-

-

-

-

76,852

52,976

-

38,500

16,000

-

-

-

-

86,639

63,280

-

38,500

18,000

-

-

-

-

96,741

72,800

-

38,500

114,704

150,944

182,328

204,419

226,041

SCHOOL OPERATIONS

Board Expenses

Classroom / Teaching Supplies & Materials

Special Ed Supplies & Materials

Textbooks / Workbooks

Supplies & Materials other

Equipment / Furniture

Telephone

Technology

Student Testing & Assessment

Field Trips

Transportation (student)

Student Services - other

Office Expense

Staff Development

Staff Recruitment

Student Recruitment / Marketing

School Meals / Lunch

Travel (Staff)

Fundraising

Other

1,200

12,000

7,000

25,000

53,256

25,000

2,980

13,643

13,750

6,250

-

76,500

4,098

17,000

5,000

5,000

84,612

-

5,000

-

1,200

16,000

10,248

11,625

79,190

11,625

4,432

20,287

20,144

18,313

-

95,625

6,093

46,000

3,000

3,000

125,816

-

5,000

-

1,200

19,200

13,244

10,695

103,850

10,695

5,812

26,604

26,026

23,660

-

119,531

7,991

30,500

3,000

2,000

164,995

-

5,000

-

1,200

22,400

15,820

9,198

125,896

9,198

7,045

32,251

31,085

28,259

-

149,414

9,687

34,500

3,000

2,000

200,021

-

5,000

-

1,200

25,600

18,200

8,462

147,640

8,462

8,262

37,822

35,739

32,490

-

186,768

11,360

39,000

3,000

2,000

234,568

-

5,000

-

357,289

477,597

574,001

685,973

805,571

FACILITY OPERATION & MAINTENANCE

Insurance

Janitorial

Building and Land Rent / Lease

Repairs & Maintenance

Equipment / Furniture

Security

Utilities

53,457

-

1,170,000

53,040

35,054

-

117,000

79,490

-

1,199,250

54,101

35,054

-

119,925

104,243

-

1,638,985

55,183

35,054

-

163,898

126,372

-

1,679,949

56,286

35,054

-

167,995

148,198

-

1,721,948

57,412

35,054

-

172,195

1,428,551

1,487,820

1,997,352

2,065,656

2,134,807

TOTAL FACILITY OPERATION & MAINTENANCE

1,428,551

1,487,820

1,997,352

2,065,656

2,134,807

DEPRECIATION & AMORTIZATION

-

-

-

-

-

DISSOLUTION ESCROW & RESERVES / CONTINGENCY

75,000

75,000

75,000

50,000

50,000

TOTAL EXPENSES

4,800,388

6,218,399

8,034,329

8,874,588

9,769,272

NET INCOME

(73,116)

(24,904)

(37,503)

673,147

1,206,630

ENROLLMENT - *School Districts Are Linked To Above Entries*

Amber Charter School II						DESCRIPTION OF ASSUMPTIONS
PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD						
*NOTE: If a Planning Year is Taken in the Beginning of the Charter, the Charter Will Be Extended to Encompass Five Years of Operation. Projected Five Year Budget on this Tab Should Be For the First Five Years of Actual Operations.						
Total Revenue	4,727,272	6,193,494	7,996,826	9,547,735	10,975,902	
Total Expenses	4,800,388	6,218,399	8,034,329	8,874,588	9,769,272	
Net Income (Before Cash Flow Adjustments)	(73,116)	(24,904)	(37,503)	673,147	1,206,630	
Actual Student Enrollment	-	-	-	-	-	
Total Paid Student Enrollment	250	366	473	565	650	
	Year 1 2016	Year 2 2017	Year 3 2018	Year 4 2019	Year 5 2020	
CSD 6 or 28	-	-	-	-	-	
School District 2 (Enter Name)	-	-	-	-	-	
School District 3 (Enter Name)	-	-	-	-	-	
School District 4 (Enter Name)	-	-	-	-	-	
School District 5 (Enter Name)	-	-	-	-	-	
School District 6 (Enter Name)	-	-	-	-	-	
School District 7 (Enter Name)	-	-	-	-	-	
School District 8 (Enter Name)	-	-	-	-	-	
School District 9 (Enter Name)	-	-	-	-	-	
School District 10 (Enter Name)	-	-	-	-	-	
School District 11 (Enter Name)	-	-	-	-	-	
School District 12 (Enter Name)	-	-	-	-	-	
School District 13 (Enter Name)	-	-	-	-	-	
School District 14 (Enter Name)	-	-	-	-	-	
School District 15 (Enter Name)	-	-	-	-	-	
School District - ALL OTHER	-	-	-	-	-	
TOTAL ENROLLMENT	-	-	-	-	-	
REVENUE PER PUPIL	-	-	-	-	-	
EXPENSES PER PUPIL	-	-	-	-	-	
CASH FLOW ADJUSTMENTS						
OPERATING ACTIVITIES						
Example - Add Back Depreciation	-	-	-	-	-	
Other	-	-	-	-	-	
Total Operating Activities	-	-	-	-	-	
INVESTMENT ACTIVITIES						
Example - Subtract Property and Equipment Expenditures	-	-	-	-	-	
Other	-	-	-	-	-	
Total Investment Activities	-	-	-	-	-	
FINANCING ACTIVITIES						
Example - Add Expected Proceeds from a Loan or Line of Credit	-	-	-	-	-	
Other	-	-	-	-	-	
Total Financing Activities	-	-	-	-	-	
Total Cash Flow Adjustments	-	-	-	-	-	
NET INCOME	(73,116)	(24,904)	(37,503)	673,147	1,206,630	
Beginning Cash Balance	151,500	78,384	53,480	15,977	689,124	
ENDING CASH BALANCE	78,384	53,480	15,977	689,124	1,895,755	

Shared Staff	2015-16	2016-17	2017-18	2018-19	2019-2020	2.5%	2015-16	2016-17	2017-18	2018-19	2019-2020
	K-1	K-2	K-3	K-4	K-5	Start Salary					
Executive Director	1	1	1	1	1	\$150,000	\$150,000	\$153,750	\$157,594	\$161,534	\$165,572
CFO	1	1	1	1	1	\$120,000	\$120,000	\$123,000	\$126,075	\$129,227	\$132,458
Human Resources Specialist	1	1	1	1	1	\$85,000	\$85,000	\$87,125	\$89,303	\$91,536	\$93,824
Senior Accountant	1	1	1	1	1	\$75,000	\$75,000	\$76,875	\$78,797	\$80,767	\$82,786
IT Director	1	1	1	1	1	\$100,000	\$100,000	\$102,500	\$105,063	\$107,689	\$110,381
Special Education Coordinator	1	1	1	1	1	\$70,000	\$70,000	\$71,750	\$73,544	\$75,382	\$77,267
Director of Community Relations	1	1	1	1	1	\$70,000	\$70,000	\$71,750	\$73,544	\$75,382	\$77,267
Executive Assistant	1	1	1	1	1	\$35,000	\$35,000	\$35,875	\$36,772	\$37,691	\$38,633
Social Worker	1	2	2	2	2	\$60,000	\$60,000	\$121,500	\$124,538	\$127,651	\$130,842
Facilities Manager	1	1	1	1	1	\$70,000	\$70,000	\$71,750	\$73,544	\$75,382	\$77,267
Total FTE	10	11	11	11	11	Total	\$835,000	\$915,875	\$938,772	\$962,241	\$986,297
Amber I Enrollment	496	509	514	520	520						
Amber II Enrollment	250	366	473	565	650						
Amber I Percentage of Enrollment	34%	42%	48%	52%	56%						
						Shared Cost	\$279,954	\$383,410	\$450,009	\$501,085	\$547,800

School Staff	2015-16	2016-17	2017-18	2018-19	2019-2020		2015-16	2016-17	2017-18	2018-19	2019-2020
Principal	1	1	1	1	1	\$100,000	\$100,000	\$102,500	\$105,063	\$107,689	\$110,381
Assistant Principal	1	1	1	1	1	\$75,000	\$75,000	\$76,875	\$78,797	\$80,767	\$82,786
Kinder Teachers	5	5	5	5	5	\$74,824	\$374,119	\$383,472	\$393,059	\$402,885	\$412,958
1st Grade Teachers	5	5	5	5	5	\$74,824	\$374,119	\$383,472	\$393,059	\$402,885	\$412,958
2nd Grade Teachers	0	5	5	5	5	\$74,824	\$0	\$374,119	\$383,472	\$393,059	\$402,885
3rd Grade Teachers	0	0	4	4	4	\$74,824	\$0	\$0	\$299,295	\$306,778	\$314,447
4th Grade Teachers	0	0	0	4	4	\$74,824	\$0	\$0	\$0	\$299,295	\$306,778
5th Grade Teachers	0	0	0	0	4	\$74,824	\$0	\$0	\$0	\$0	\$299,295
Kinder Teacher Assistants	5	5	5	5	5	\$45,544	\$227,721	\$233,414	\$239,249	\$245,230	\$251,361
1st Grade Teacher Assistants	5	5	5	5	5	\$45,544	\$227,721	\$233,414	\$239,249	\$245,230	\$251,361
2nd Grade Teacher Assistants	0	2	2	2	2	\$45,544	\$0	\$91,088	\$93,366	\$95,700	\$98,092
Tutors	0	0	4	8	12	\$17,100	\$0	\$0	\$68,400	\$138,510	\$210,373
Specialists	2	3	6	6	6	\$74,824	\$149,648	\$228,213	\$458,390	\$469,849	\$481,596
Sp. Ed. Teachers/ELL Teachers	1	1	2	2	2	\$74,824	\$74,824	\$76,694	\$153,436	\$157,272	\$161,203
Dean of Students	0	1	1	1	1	\$60,000	\$0	\$60,000	\$61,500	\$63,038	\$64,613
Staff Developers	0	1	2	2	2	\$60,000	\$0	\$60,000	\$121,500	\$124,538	\$127,651
Business Manager	1	1	1	1	1	\$70,304	\$70,304	\$72,062	\$73,863	\$75,710	\$77,602
Family Engagement Manager	1	1	1	1	1	\$43,264	\$43,264	\$44,346	\$45,454	\$46,591	\$47,755
Data/Assessment Manager	0	1	1	1	1	\$67,492	\$0	\$67,492	\$69,179	\$70,909	\$72,681
Secretary	1	1	1	1	1	\$48,672	\$48,672	\$49,889	\$51,136	\$52,414	\$53,725
Security Officer	1	1	1	1	1	\$43,264	\$43,264	\$44,346	\$45,454	\$46,591	\$47,755
Pupil Accounting	0	1	1	1	1	\$41,600	\$0	\$41,600	\$42,640	\$43,706	\$44,799
Meals & Transportation Coordinator	0	0	1	1	1	\$31,200	\$0	\$0	\$31,200	\$31,980	\$32,780
Cook	1	1	1	1	1	\$15,007	\$15,007	\$15,382	\$15,767	\$16,161	\$16,565
Assistant Cook/Server	1	1	1	1	1	\$10,005	\$10,005	\$10,255	\$10,511	\$10,774	\$11,043
Custodian	1	1	1	1	1	\$37,856	\$37,856	\$38,802	\$39,772	\$40,767	\$41,786
Nurse (DOH)	1	1	1	1	1		\$0	\$0	\$0	\$0	\$0
Bus matrons	1	1	2	2	3	\$9,345	\$9,345	\$9,579	\$19,163	\$19,642	\$29,478
Total FTE	34	46	61	69	78	Total	\$1,880,869	\$2,697,013	\$3,531,975	\$3,987,969	\$4,464,709
						TOTAL	\$2,160,823	\$3,080,424	\$3,981,984	\$4,489,054	\$5,012,509

Enrollment	2015-16	2016-17	2017-18	2018-19	2019-2020
K	125	125	125	125	125
1	125	125	125	125	125
2	-	116	116	116	116
3	-	-	107	107	107
4	-	-	-	92	92
5	-	-	-	-	85
	250	366	473	565	650
Sped	K-1	K-2	K-3	K-4	K-5
60+	4%	4%	4%	4%	4%
20-59	10%	10%	10%	10%	10%
60+	10	14.64	18.92	22.6	26
20-59	25	36.6	47.3	56.5	65
Total	35	51.24	66.22	79.1	91
60+	\$190,490	\$278,877	\$360,407	\$430,507	\$495,274
20-59	\$259,750	\$380,274	\$491,447	\$587,035	\$675,350
Total	\$450,240	\$659,151	\$851,854	\$1,017,542	\$1,170,624

FRL	90%	90%	90%	90%	90%	Lunch	Breakfast	Total
	225	329.4	425.7	508.5	585	\$0.36	\$0.28	\$0.64
Paid	10%	10%	10%	10%	10%	\$2.70	\$1.59	\$4.29
Reduced	40%	40%	40%	40%	40%	\$3.10	\$1.89	\$4.99
Free	50%	50%	50%	50%	50%			

Paid	\$2,880.00	\$4,216.32	\$5,448.96	\$6,508.80	\$7,488.00	students*reimbursment*180 days
Reduced	\$77,220.00	\$113,050.08	\$146,100.24	\$174,517.20	\$200,772.00	
Free	\$112,275.00	\$164,370.60	\$212,424.30	\$253,741.50	\$291,915.00	
	\$192,375.00	\$281,637.00	\$363,973.50	\$434,767.50	\$500,175.00	

Headcount Driven Expense	% of Student Funding
Security	0.001823828
Insurance	0.015807614
Utilities	0.021540726
Supplies and materials	0.015748027
Technology	0.004034264
Food service	0.025020221
Student services	0.006074391
Dues and subscriptions	0.002159261
Postage	0.001211713
Entertainment	0.000881276

Shared Service Team FTE	34%	42%	48%	52%	56%
Head of School	0.34	0.42	0.48	0.52	0.56
CFO	0.34	0.42	0.48	0.52	0.56
Human Resources Specialist	0.34	0.42	0.48	0.52	0.56
Senior Accountant	0.34	0.42	0.48	0.52	0.56

IT Director	0.34	0.42	0.48	0.52	0.56
Special Education Coordinator	0.34	0.42	0.48	0.52	0.56
Director of Community Relations	0.34	0.42	0.48	0.52	0.56
Executive Assistant	0.34	0.42	0.48	0.52	0.56
Social Worker	0.34	0.84	0.96	1.04	1.11
Speech	#REF!	#REF!	#REF!	#REF!	#REF!
Facilities Manager	0.34	0.42	0.48	0.52	0.56
Total FTE	#REF!	#REF!	#REF!	#REF!	#REF!

22. Fiscal Soundness**(a) Budget**

Discuss in narrative form how the start-up budget plan, the first-year operational budget and cash flow, and the five-year budget plans for the new school(s) are fiscally sound and that there would be sufficient start-up funds available to the proposed school. Provide the rationale for, or source of, the assumptions upon which the budgets rest, noting specifically which expenses rely on funding from soft money and when the funding for these expenses will transfer to recurring revenue streams, and explain how the budgets support the implementation of the academic program described or referenced in the proposal.

If the applicant is an existing SUNY authorized charter school education corporation and proposes to operate additional school(s), also include a separate narrative in response to this Request 24(a) and budget in response to Request 24(f) using the required template, to the extent applicable, for the entire education corporation to include the additional school. Describe any corporate funds that will be used to support the start-up and operations of the new school as well as any projected or anticipated negative fiscal impacts on the existing school. Also describe and explain annual fundraising targets and the fundraising strategies that would be used to support each replication planned by the education corporation.

Please note that any school using an at-risk admissions factor, “preference” or set-aside will not be eligible to receive federal CSP funding.

Amber II Budget

In order to present as conservative a budget as possible, the proposed school financial analysis assumes:

- A constant state contribution of \$13,527 per pupil over the five years of the charter and that current revenue estimates for other government sources, such as state and federal funds for special education, remain constant as well. Per pupil revenue is calculated based on target enrollment with assumed year to year attrition.
- CSP funding of only \$500,000 though Amber believes the replicating school will be eligible for additional funds based on both the underserved student populations priority and the authorizer program design priority.
- No revenue for food services from student payments. Though Amber will attempt to collect fees for full- and reduced-price meals, in its experience working with disadvantaged student this has generated little revenue.
- Only \$20,000 per year in contributions, though this is likely to be larger given Amber’s ties to the community and network of supporters.
- Salaries are assumed to rise 2.5% annually.

Start-Up Budget: Given that Amber II is replicating an existing model with little change, start-up costs are quite minimal. A majority of the costs are for planning and hiring. The budget assumes 10% of the time of key members of the Shared Service Team (i.e., Executive Director, CFO, Human Resources, Community Relations, and Facilities), all of whom already work at Amber I, will be devoted to start-up activities. In addition, funds are budgeted for staff and student recruitment for the new school. These are all acceptable funding activities for the CSP grant, which is expected to be primary revenue in the planning year.

Year 1 Budget:

Revenue: \$4,727,272. Opening with 250 students in kindergarten and 1st grade generates \$3,381,750 in per pupil revenue. The budget also assumes state and/or federal revenue for students with disabilities (40%) and low-income students (90%). A one-time DYCD grant is also included in Year 1 revenue. The school also expects 80% reimbursement for technology infrastructure through E-rate. Finally, Amber II expects to use the final portion of its CSP grant in Year 1.

Expenditures: \$4,800,388.

- **Personnel:** \$2,824,844. Amber II will pay for 34%, its proportion of students in the two Amber school, of the Shared Service Team costs, which amounts to \$279,954 for 10 positions, including the Executive Director and CFO. Both the Principal and Assistant Principal will start in Year 1 as well as the Business Manager and Family Engagement Manager. The school will employ ten general education teachers and ten teacher assistants as well as one special education teacher and two specialist teachers. Non-instructional staff includes custodian, security, kitchen staff and bus matrons.
- **Contracted Services:** \$114,704. The school will pay for its annual independent audit, payroll services, special education services and professional development consultants and trainers.
- **School Operations:** \$357,289. The budget allocates \$800 for classroom supplies and about \$300 per student for instructional resources and supplies. \$17,000 is allocated for professional development resources, such as books and materials. In addition, \$76,500 is allocated for afterschool programming to provide enrichment, homework help and other interventions. Another large expenditure is the cost of preparing meals: \$84,612.
- **Facility:** \$1,428,551. Rent is estimated at \$1,170,000 assuming \$30/square foot plus another \$53,040 for leasehold improvements and upgrades. The school will also pay insurance and utilities.
- **Dissolution and Contingency:** \$ 75,000. The school will deposit \$25,000 in an escrow account and set aside \$50,000 for contingency.

Five Year Budget

Amber I projects a balanced budget each year of the charter term and a growing surplus reaching \$1,744,255 in Year 5, which the school intends to use for capital projects.

Revenue:

Year 1	Year 2	Year 3	Year 4	Year 5
\$4,727,272	\$6,193,494	\$7,996,826	\$9,547,735	\$10,975,902

The majority of revenue will continue to be per pupil funding based on a growing enrollment and assuming some attrition. The school anticipates using the remainder of its CSP funds in Year 1, though a portion may be rolled over to Year 2. Other state and federal funds are a function of enrollment with assumptions of student characteristics remaining constant across the five years. Contributions are assumed to be \$20,000 each year. Erate reimbursement is assumed to be 80% for technology infrastructure in Year 2, but 50% in subsequent years.

Expenditures:

Year 1	Year 2	Year 3	Year 4	Year 5
\$4,800,388	\$6,218,399	\$8,034,329	\$8,874,588	\$9,769,272

- **Personnel:** The Amber II portion of the Shared Service Team costs rises from 34% in Year 1 to 56% in Year 5 as its enrollment grows to slightly more than Amber I. Its staffing level will remain relatively constant, with only the addition of another social worker in Year 2. Instructional staff at the school increases commensurate with adding a grade each year. In Year 2 the school adds more administrative staff, including a Dean, Staff Developer, and Data/Assessment Manager. As the school grows it adds support staff in areas such as food service, pupil accounting and transportation.
- **Contracted Services:** The cost of the audit, which will be shared with Amber I, will grow slightly each year. Payroll services and special education services increase in line with staff and student growth, respectively. Professional development increases slightly as internal capacity also grows, reducing dependence on external consultants.
- **School Operations:** Most funding categories increase as a direct function of student and staff growth, e.g., instructional resources and equipment. Costs are greater in some areas in Year 1 because the school opens with two grades that year, but only adds one additional grade in subsequent years. Some costs also increase as the school can afford to pay more in later years, e.g., \$25/student for field trips in Year 1; \$50/student in subsequent years. A significant cost continues to be the school's afterschool program, rising to \$186,768 in Year 5 to ensure students in all grades receive enrichment and support. Student and staff recruitment costs are greater in earlier years under the assumption that once the school is established in the community it will benefit from its reputation and need to spend less on outreach.
- **Facility:** The school expects to rent space for K-2 beginning Year 2 and then for K-5 beginning in Year 3, which explains the jump in rent that year. The budget assumes

the school will continue to invest in upgrades to the facility throughout the charter period. In addition, the school will continue to lease operations equipment, e.g., kitchen and office equipment.

- **Dissolution and Contingency:** The school will save \$25,000 each year for the first three years in an escrow account for dissolution. In addition, \$50,000 is set aside each year as a contingency fund.

Education Corporation

With the economies of scale derived from operating two schools, Amber Charter Schools projects a balanced budget each year of the charter term.

Start-Up Budget: Amber I will already be operating at full enrollment in this year and will employ most of the anticipated Shared Service Team members who will contribute to the planning and development of Amber II in the pre-opening period. As noted above, the CSP Grant for Amber II will fund a portion of key Shared Service Team Members.

Year 1 Budget: Once operational Amber II will resemble Amber I in most respects, including education program and staffing plan. The primary difference is that Amber II is projected to enroll slightly more students per grade, which requires more staff, instructional resources, etc. However, both schools will benefit from reduced administrative costs as a result of the Shared Service Team, the cost of which will be apportioned to schools based on their enrollment.

Revenue: \$13,022,589. The education corporation is estimated to enroll 746 students in Year 1. The primary source of revenue for the education corporation will be per pupil funding followed by entitlement funds for students with disabilities and low-income students as well as revenue generated by participation in the free and reduced-price meal program. The CSP funds will be devoted to start-up activities at Amber II.

Expenditures: \$12,482,355. The two schools will have similar staffing patterns, with Amber II approaching parity as it grows to a K-5 school in Year 5. Some differences will exist based on enrollment levels and facility requirements.

- **Personnel:** \$8,706,603. This combines the school-based staff for Amber I and II with the cost of the Shared Service Team.
- **Contracted Services:** \$661,335. The education corporation will have a consolidated audit that takes into account operation of two schools. Both schools will use contracted services in the areas of special education, payroll and accounting, with some economies of scale assumed in professional development for both schools' staff members.
- **School Operations:** \$1,180,000. Both schools will have similar per pupil and staff member costs. Savings will be realized through combined staff recruitment and development.
- **Facility:** \$1,859,417. Amber II will likely have unique facility costs for renovations and upgrades as well as factors related to growth.

- **Dissolution and Contingency:** \$75,000. Amber I already has \$75,000 in an escrow account; as a new school Amber II will deposit \$25,000 in an escrow account and set aside \$50,000 for contingencies.

Five Year Budget

Revenue:

Year 1	Year 2	Year 3	Year 4	Year 5
\$13,022,589	\$14,664,663	\$16,535,629	\$18,167,701	\$19,595,868

The majority of revenue will continue to be per pupil funding based on a growing enrollment, especially at Amber II which will be adding grades.

Expenditures:

Year 1	Year 2	Year 3	Year 4	Year 5
\$12,482,355	\$13,901,465	\$15,810,984	\$16,776,084	\$17,785,854

Growth is primarily a function of Amber II adding grades. Beyond Year 5 expenditure growth levels off.

Cash Balance:

Year 1	Year 2	Year 3	Year 4	Year 5
\$1,364,782	\$1,920,185	\$2,437,037	\$3,620,859	\$5,223,079

Projections show Amber Charter Schools growing a surplus each year, which will be save towards capital expenditures in the future.

Annual Fundraising Targets

Amber has set an annual fundraising target of \$20,000 for Amber II once it is operational, which is assumed in the proposed budget. This target was established as a conservative estimate of the school's capacity to raise funds and secure in-kind contributions. Based on past experience this target should be easily attained, but without commitments for five years in hand, it was kept at a relatively low level in order to demonstrate the school's financial viability.

(b) Financial Planning

Explain the process that the education corporation or school will use to develop its annual budget, including:

- Who will be involved;
- How needs will be identified and weighed;
- The timeline for creating and approving budgets; and,
- Procedures for monitoring and modifying budgets.

If the applicant is an existing SUNY authorized charter school and proposes to operate an additional school, also describe and explain the financial planning

capacity, management capacity, and any internal financial controls, policies or procedures at the overall education corporation level especially in relation to the gathering and distribution of financial information from multiple locations and the processing and decision making related to such information including at the education corporation board level.

Amber will create individual budgets for each school that include shared costs and the sum of which will be the budget of the education corporation. These will be voted on by the Board as a package. The Amber Charter Schools Fiscal Policies and Procedures (which is included in its entirety in Response 24(b) – Supplemental Docs) outlines the annual budget process:

Key Budgeting Policies

- The school's goal is to operate pursuant to its long-range financial plan. The school creates realistic budgets that are monitored and adjusted when appropriate. Actual expenses should be equal to or less than actual revenue with no material exceptions.
- An annual budget, prepared by the organization, is reviewed and approved by the Finance Committee and the Board of Trustees prior to the start of the fiscal year.
- The budget process starts early and input from the Board Members, school administration and staff is solicited and considered in developing the budget.
- Budget variances are analyzed routinely and material variances are discussed and addressed at the Board level including any necessary budget revisions.
- If there are significant material changes in the school's financial spending or revenue projections, the changes to the operating budget are reviewed by the Finance Committee and approved by the Board of Trustees at the half-year/third quarter meeting.
- The school's long-range fiscal plan is compared frequently to actual progress and adjusted to meet changing conditions.

School Procedures to Implement these Policies: Amber Charter School develops an annual budget and budget monitoring process and documents the process in writing. The table on the following page is a sample of the school's process. The budget team consists of the Board Chairman, Board Treasurer, Executive Director, Chief Financial Officer, Principals and other Staff/Board Members as deemed necessary.

FY July 1- June 30	Budget Development
Time Line	Activities/ Steps
Sept	Strategic Planning – Annual Update of Strategic Budget
January	Define Budget Goals
January	Create Budget Assumptions

February-March	Assemble Supporting Information: Expenses: # of employees, positions, salaries, benefits, cost of leases, etc. Income: per-pupil allocation and other revenue expectations
April	Create/Update Budget Templates: Multi-page spreadsheet with worksheets for staff salaries and allocations, revenues & contracts, expenses by site/ grade level/or day vs after-school programs, admin expenses, full budget
April-May	Budget Expenses-- By Program/Site and Contract
April-May	Forecast Revenues--By Program Site and Contract
April-May	Finalize Draft Budget
May	Draft is presented and refined by management and board
May- June	Final Budget Adopted by Board of Trustees

Financial Monitoring

The Board will monitor individual school budgets throughout the year, paying close attention to budget to actuals and cash flow projections. On a quarterly basis, after discussion with the Treasurer, the Chief Financial Officer will circulate the following information to the Board of Trustees one week(s) prior to the scheduled Board meeting:

- Statement of Financial Position
- Statement of Activities for the month to date and year to date
- Budget Comparison Report for the month to date and year to date, incorporating a variance analysis explaining variances in excess of 10% from the actual to the originally approved budget
- Updated cash flow model for the coming eighteen months, highlighting any periods of difficult cash flows

In addition to this package, the Executive Director provides a fundraising status update indicating the status of each school's fundraising efforts, open proposals, etc. Below is the timeline for the monitoring process.

FY July 1- June 30	Budget Monitoring
Time Line	Activities/ Steps
July	Budget Team Adopts Annual Monitoring Process/Schedule

August	First Monthly Report Prepared for Budget Team, Reviewed
January	Internal Accounting System Annual Review and Update
October	First Quarterly Package Prepared & Discussed by Board
August-June	Monthly Budget Monitoring
January	Semi-Annual Budget Package Prepared -- Based on 6 month actual
February	Budget Revisions Proposed
Feb-March	Year-End budget projections and revised budget prepared & discussed.
March	Revised Budget and Final Budget Package Prepared, Reviewed and Adopted by Board of Trustees

(c) Fiscal Audits

Describe the school's plans for at least annual independent fiscal audits conducted by a certified public accountant or certified public accounting firm licensed in New York State.

Any application that proposes adding a school to an existing education corporation must provide specific procedures for conducting independent audits of consolidated financial statements for the education corporation and all of its schools.

Consolidated audited financial statements should include:

- A statement of income and expenditures and a balance sheet for the most recent fiscal year for each school of the education corporation for which the corporation has received approval to operate. A separate income and expenditure statement and balance sheet should be included for each approved school or site in a start-up phase, and for schools or sites for which opening has been delayed;
- A statement of income and expenditures and a balance sheet for the most recent fiscal year for any central or regional back office component;
- A statement of income and expenditures and a balance sheet for the most recent fiscal year for any other distinct component of the education corporation;
- A consolidated statement of income and revenues and a consolidated balance sheet for the education corporation; and,
- A federal single audit report, if applicable.

In the future it is likely that Amber Charter School will become a nonprofit organization that expends \$500,000 or more a year in federal financial assistance. When that occurs, it must arrange for and participate in a single audit. This mandate is in accordance with the Single Audit Act Amendments of 1996 and the Office of Management and Budget Circular A-133, Audits of States, Local Governments and Nonprofit Organizations. Single Audits performed under the A-133 Circular are slated to cover the entire operation of Amber Charter School or at a minimum, the departments and/or units that receive and expend federal financial assistance. The purpose of the audit is threefold:

- To determine if Amber Charter School financial statements accurately reflect its true financial position and picture of operations, in accordance with Generally Accepted Accounting Principles.
- To determine if Amber Charter School has internal accounting and control systems that provide a reasonable assurance that it administers federal awards in compliance with relevant laws and regulations.
- To determine if Amber Charter School is in compliance with the laws, regulations, and agreements that may have a material effect on its financial statements and each major federal assistance program, as defined in the Act and revised A-133 Circular.

The Chief Financial Officer is responsible for arranging for the performance of a required annual independent audit. Amber Charter School adheres to a policy of soliciting competitive bids for auditors once every five years. Following the selection of an appropriate bidder, Amber Charter School mandates receipt of an audit engagement letter to identify the services, terms, and delegation of roles and responsibilities of the school and the auditor. The Chief Financial Officer negotiates an audit timeline with the external auditor and coordinates with Amber Charter School staff who may be involved in the audit to schedule their roles in the audit.

When Amber Charter School becomes an organization mandated to comply with the A-133 Circular, it will be required to submit a copy of its completed audit reporting package along with a Data Collection Form to the Single Audit Clearinghouse. The clearinghouse will retain a copy of the report and issue copies of the report to all federal awarding agencies identified on the Data Collection Form. Amber Charter School's staff must understand that the results from reviews of publicly funded programs have implications on the organization's ability to retain and secure funding. In accordance, Amber Charter School staff actively undertakes any corrective actions needed to resolve deficiencies or discrepancies uncovered by all A-133 audit findings.

Amber Charter School follows the guidelines for annual audits of the financial statements of charter schools as set forth by the New York State Department of Education. The school completes and sends copies of its audited financial statements to the State Board of Education and to SUNY by November 1st of each year, Guidelines for Audits of the Financial Statements of Charter Schools. Audits will follow these procedures:

- An independent and licensed Certified Public Accountant or Public Accountant should perform the audit.

- The audits should be conducted in accordance with generally accepted auditing standards and Government Auditing Standards, issued by the Comptroller General of the United States.
- The financial statements should be prepared on the accrual basis of accounting in accordance with generally accepted accounting principles for Amber Charter School.
- All statements required by Financial Accounting Standards Board (FASB).
- Statement No. 117, Financial Statements of Amber Charter School, should be presented including a Statement of Financial Position, Statement of Activities and Statement of Cash Flows. Individual schedules are prepared for each school as well as the education corporation as a whole. Required note disclosures and others that are deemed appropriate should be included.
- The four main schedules contained in the annual audit (statement of financial position, activities, cash flow and functional expenses) are completed using the Institute's mandatory audit templates.
- A supplemental schedule of functional expenses, in a format consistent with the attached, should be included and subject to the auditing procedures applied in the audit of the general purpose financial statements. Such supplemental schedule is not a required part of the general purpose financial statements and should be included for the purposes of additional analysis.
- When applicable, the auditor should prepare and submit a management letter. A copy of the management letter should be submitted with the financial statements along with the school's corrective action plan to address any weaknesses identified in the report or the management letter.

(d) Dissolution Procedures***Proposed new education corporation***

For applicants seeking to create a new school and a new education corporation, if the proposed education corporation is adopting the same dissolution procedures as the original education corporation, incorporate the policy by reference per the instructions above. If applicable, note any changes to the original model or policies.

Existing education corporation

Any application that proposes adding school(s) to an existing education corporation may incorporate by reference the dissolution procedures for one school, but must also provide specific procedures for closing one, but not all of the schools operated by the education corporation, transitioning students to other school(s) of the corporation and absorbing assets and liabilities without corporate dissolution.

Response incorporated by reference to Amber Third Renewal Charter, Section 8.6.

In addition, when operating multiple schools, Amber Charter Schools will follow these procedures in the event of a single school closure:

1. The Executive Director will be responsible for managing the closure process and will work closely with the Amber II Principal and staff to ensure a smooth process.
2. Amber I will identify any open seats and make them available to Amber II students, using a random lottery if more students are interested than seats available. The remaining students will be placed at the top of the school's waitlist in the order in which they were drawn.
3. Once all debt obligations are met, any remaining assets will be transferred to Amber I.

22. Fiscal Soundness

(f) Letters of Commitment

Provide letters of commitment for any funding sources from private contributions, grant funds or other philanthropic funds in the school budget detailing the amounts and uses for the funding.

Not Applicable.

24. Supplemental Information**(a) Supplemental Narrative**

If the applicant has any additional information that would be helpful to the Institute and the SUNY Trustees in their evaluation of the proposal, please provide a description of what's included and a rationale for its inclusion in the Response. If no supplementary information is necessary, please indicate so in this response.

We have included a number of existing Amber documents to demonstrate that Amber Charter School II will be able to rely on a set of well-established academic, operations and finance policies and procedures so as to be able to hit the ground running when the school opens its doors to students in September 2015.

These documents include:

1. Amber Parent Handbook/Behavior Agreement
2. Amber Personnel Policies and Procedures Employment Manual
3. Amber Fiscal Policies and Procedures
4. Amber Assessment List and Calendar
5. Teacher Evaluation Protocols/Forms
6. Amber Charter School APPR Plan
7. Amber Community Partnerships List
8. Amber 2013 Performance Scatterplot



AMBER CHARTER SCHOOL

Parent Handbook/Behavior Agreement



Mission Statement

***Our Mission** is to provide our students an academically rigorous and well-rounded education, along with strong character development, that will enable them to prosper in middle schools and beyond.*

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Fax: 212-53-6225

OUR CENTRAL VALUES

- q Amber values that we are human beings, acknowledging our strengths, and empowering each of us to build strong alliances among children, families, staff and the larger community.
- q Amber respects the languages and cultures of our school's community and of all communities locally and globally.
- q Amber is a safe place to engage in varied dialogue about our differences and similarities.
- q Amber meets the needs of our student/family population through a curriculum that teaches from a pan-cultural perspective.
- q Amber provides our children the opportunity to be more apt to learn through a creative learning environment using the arts as a means to integrate our children's culture in the school's curriculum.
- q Amber's families, students and staff are committed to academic achievement, and the continuous re-assessment of the quality of our program.
- q Amber is committed to creating an inclusive community in which members respect each other and support one another's effective participation in the school.
- q **The Amber Way embraces:**
 - o Achievement – Striving towards excellence in all they do.
 - o Community – Serving the community who supports them.
 - o Responsibility – Being accountable for one's actions and thoughts.
 - o Honesty – Making truth an important part of their lives.
 - o Respect- Understanding how to demonstrate respect for others and oneself.

POLICY OF NON-DISCRIMINATION

Amber Charter School does not discriminate on the basis of race, color, sex, religion, national origin, or language in the administration of educational policy or assistance programs, or other school-administered programs.

ADMISSION POLICY

Admission is by a lottery. The lottery will be held during the first week of April every year. Students will be placed on a waiting list if there are no slots available at the time of the lottery. The waiting list is valid for the academic school year. Priority is given to siblings of accepted students in the school and students living in Community Planning Board 11. **A child entering kindergarten must be five years of age by December 1st of the same year.**

Sibling Birth Date Exemption Policy

In the admission of an incoming Kindergartener or First grade student consideration for an exemption to the December 1st birth date requirement may be made if:

- student is a sibling of an already attending Amber student; and
- has submitted a complete application; and
- passed the preliminary evaluation; and
- birth date is before December 31st.

Final determination for exemption will be made by the Head of School.

Sibling Preference Policy

In the admission of an incoming Kindergartener or First grade student preference in acceptance to the school will be considered if:

- student is a sibling of an already attending Amber student; or
- student is a sibling of a student about to graduate from Amber [application received while sibling is still enrolled at Amber]; and
- has submitted a complete application; and
- passed the preliminary evaluation; and
- birth date is before December 31st.

The preference will be admission upon demonstration of proficiency on preliminary evaluation. Final determination for preference will be made by the Head of School.

Once a student has been selected, parents must attend an orientation and pre-registration in order to complete the admission process.

Amber provides the following Special Education services to students with an Individualized Education Plan (IEP): speech therapy; counseling and Special Education Teacher Support Services (SETSS).

The following documentation is required:

- Birth certificate
- Proof of address
- Up-to-date immunization booklet.
- Physical examination record which must be completed and returned.

If your child is transferring from another school:

- Most recent report card.

- ü Assessments such as Early Childhood Literacy Assessment System (ECLAS).
- ü Special Education students must bring their Individualized Education Plan (IEP).

No child will be permitted to attend school without complete documentation.

PREPARATION FOR SCHOOL

Education is a partnership between the school and home. It is expected that each child come to school:

- ü Well rested
- ü On time
- ü Properly nourished
- ü Dressed in the required uniform
- ü With proper school supplies

An important part of preparing students for school is reading to them at home. Research shows that children who are read to at home become avid readers. We urge you to read or tell stories to your child for at least 15 minutes every day.

Please be sure your child's school materials are kept in good condition throughout the school year. Each child is expected to have a book bag large enough to protect and carry his/her books. Backpacks with wheels are banned for safety.

SCHOOL ATTENDANCE

Attendance is essential to your child's academic success. If your child is absent, s/he must bring a note signed by the parent stating the reason for the absence. For medical absences, a doctor's certificate is required. The note will be filed in the student's permanent record folder.

Students are responsible for any school work they have missed. Parents/guardians will contact the school to make arrangements to obtain missed assignments. Excessive absences may result in a child repeating a grade. A student's promotion may be considered in doubt if he/she has been absent 20 or more undocumented days during the school year. Extenuating circumstances will be considered. **Research has shown a direct relationship between the number of days absent and a student's academic success or failure.**

LATENESS

It is very important that your child be on time for school every day. Tardiness jeopardizes a student's learning and it disrupts class time. It is recommended that a student arrive at school by 8:00 if s/he is not having breakfast. A student is late after 8:15 am. **Excessive lateness may put your child's promotion in doubt.**

PROMOTIONAL POLICY

Non -Testing Grades (K-2)

Student will not be promoted if:

- They score in the composite¹ Reading portion of the Terra Nova Exam below the average or score below grade level on the DRA; **and**
- They score in the composite Math portion of the Terra Nova Exam below the average.

Testing Grades (3-5)

Student will not be promoted if:

- They scored below a mid Level 2 in the ELA NY State Test.
 - 3rd grade raw score of 632 or below
 - 4th grade raw score of 632 or below
 - 5th grade raw score of 633 or below, **and**

If state scores have not been received by the first week in June a student will not be promoted if they score below grade level on the DRA or score in the composite Reading portion of the Terra Nova below the average.

- They scored below a mid Level 2 in the Math NY State Test.
 - 3rd grade raw score of 632 or below²
 - 4th grade raw score of 632 or below
 - 5th grade raw score of 633 or below.

If state scores have not been received by the first week in June a student will not be promoted if they score in the composite Math portion of the Terra Nova below the average.

OR

Attendance and Tardiness

Student will not be promoted if:

- They have had twenty or more days of unexcused³ absences. Three unexcused tardy equal one absence.

Students must meet the promotion criteria as outlined in their IEP, and absent of such criteria due consideration of other academic and socio/emotional factors will be considered as determined by school administration.

English Language Learners

Students will be promoted if deemed ready to succeed in the next grade with ESL support services.

Based on these guidelines and other performance indicators all final decisions regarding promotion will be determined by Head of School.

¹ Approved June 8, 2011.

¹ Composite includes all literacy strands and math strands.

² Or the prevailing scale score for mid level 2.

³ An unexcused absence is anything except: death in the family, family crisis, religious holiday, special circumstances, and illness (all must be accompanied by a doctor and/or parent note to be deemed excused).

UNIFORMS

UNIFORMS ARE MANDATORY. Your child is expected to adhere to the following attire: Navy bottoms; light blue dress buttoned down shirt/blouse; navy sweater, a tie, navy, white, or black socks and navy blue or black shoes. **Students who are not in school uniform pose a security threat to themselves.** (See Behavior Agreement p. 6)

Amber Uniform Requirements

WINTER: November to March	SPRING: September to October & April to June
<ul style="list-style-type: none">• Navy Long pants• Long sleeved Light blue buttoned-down collared shirt with Amber logo embroidered on left hand side• Navy sweater with Amber logo embroidered on left hand side• Navy or black socks• Navy or black shoes/sneakers• Navy tie <p>GYM Uniform</p> <ul style="list-style-type: none">• Short sleeve light blue t-shirt with Amber logo silk screened on left hand side• Navy sweatpants with Amber name silk screened along right pant leg	<ul style="list-style-type: none">• Navy Shorts/ skirt/ skort• Short sleeved Light blue buttoned-down collared shirt with Amber logo embroidered on left hand side• Navy or black socks• Navy or black shoes/sneakers• Navy tie <p>GYM Uniform</p> <ul style="list-style-type: none">• Short sleeve light blue t-shirt with Amber logo silk screened on left hand side• Navy sweatpants with Amber name silk screened along right pant leg

Not Uniform: Cargo pants; leggings; thermal shirts that can be seen; boots; hoodies; jackets; any clothing item that conceals the Amber logo; and any clothing item that is not the appropriate color.

SCHOOL SCHEDULE

The school day is from 8:10am to 3:10pm every day for all kindergarteners. For first to fifth graders the school day is from 8:10 am to 3:10 pm on Monday, Wednesday & Friday, and on Tuesday & Thursday the school day ends at 3:45pm. Breakfast is served from 8:00am to 8:10am. All students not attending the after-school program must be picked up by 3:10pm on Monday, Wednesday, Friday and 3:45pm on Tuesday/Thursday. The school reserves the right to take children who are not picked up on time to the local police precinct.

SCHOOL EMERGENCY CLOSINGS

In case of bad weather or possible school closings please tune into WCBS 880 AM radio. Amber will usually follow NYC Board of Education closings.

COMMUNICATION

There are four modes of communication:

• Web: www.ambercharter.org

• Email address: teacher's first initial, last name followed by @ambercharter.org

- ü Telephone: (212) 534-9667 Fax: (212) 534-6225
- ü Letter: All written notes should be addressed to the proper personnel. Verbal messages relayed by children will not be accepted.

MEDICATION

Students who require medication during the school day must have a 504 Medical Form completed and filed with the school nurse. Students must never be given medication to be self administered in school. **Teachers will not administer and/or secure any medication.**

SCHOOL VISITATION

Parents/guardians are always welcome to visit the school. To visit during the school day, arrangements should be made with your child's teacher and approved by an administrator. All visitors must sign in at the front desk and obtain a pass from the office so that maximum security is maintained for the students and the school community. **Visitors will not be admitted to a classroom without a pass from the office.**

For children's security, Amber enforces a strict no-visitation policy during outdoor recess. No adults are allowed to pick up children during recess.

FIELD TRIPS

Educational and cultural field trips are an integral part of the curriculum. All students are expected to attend school trips unless your child's safety cannot be assured in which case parents/guardian will be asked to escort the child on the trip.

HOMEWORK POLICIES

At Amber Charter School, homework is given to review and reinforce skills and lessons that were taught during the day or week. Particular assignments may remediate or extend learning, based on students' needs. It will help the teachers and parents monitor students' progress and understanding of the subject matter, to be sure that the students have understood the day's lessons. It will also provide a sense of accomplishment for the students. **Parents support their child's learning when they ensure their child completes their homework daily.**

SCHOOL BOOKS

All text books must be returned to the school by the end of the year. All library books must be returned to the library within the loan period. If books are not returned, parents will be charged appropriately. Student report cards will not be distributed unless all books/or debts are paid.

JEWELRY

Students should not wear ornate or expensive jewelry to school. The school will not be responsible for lost or stolen jewelry.

ELECTRONIC DEVICES

Toys and electronic devices are not permitted in school at any time. All said items will be confiscated immediately. **The school is not responsible for electronic devices that are lost, stolen or broken.**

PHYSICAL EDUCATION

All children must participate in physical activities (indoor/outdoor) unless they are excused for medical reasons. Parents will be responsible for notifying the school in advance if any special arrangements are needed. **A doctor's note must be provided if a child is not allowed to exercise or go outside.** Students must wear the designated uniform for physical education classes which is navy blue sweatpants and a light blue t-shirt with Amber logo.

AFTER SCHOOL PROGRAM

The after-school program is provided by the YMCA. Parents must attend an annual orientation in order to register their child. Students are accepted into the after-school program depending upon available space as space is limited.

BUS/TRAIN PASSES

Eligible students will be provided transportation on the yellow school bus or issued a Metro Card only if required forms are completed by the parent/guardian

REQUIRED PARENT PARTICIPATION

- Ø An orientation and pre-registration
- Ø Primary Language Interview (entering kindergarten students)
- Ø Curriculum Night
- Ø Parent-Teacher Conferences
- Ø Child Study Conferences
- Ø Suspension Conferences

Amber staff is always willing to meet with parents when meetings are scheduled in advance.

PARENT ASSOCIATION

The Parent Association meetings are held monthly and open to all parents/guardians. The Amber Parent Association Executive Committee is comprised of president (s); a secretary, a treasurer and a translator.

SCHOOL VOLUNTEERS

School volunteers are an important aspect of Amber community life. It is mandatory that parents volunteer at least 2 hours in the school year to Amber. Parent volunteers in the classrooms must attend a training session and be fingerprinted.

FAMILY EDUCATIONAL RIGHT TO PRIVACY ACT **(FERPA—BUCKLEY AMENDMENT)**

Federal law guarantees you the right to access to your child's records, to correct and/or comment on the contents of the records, and to be assured that records are only viewed by those who have a legitimate need. For the details of the law's provisions, you may ask for a copy of the FERPA Buckley Amendment at the school. You may also access it through an internet search for "Buckley Amendment."

PARENT INVOLVEMENT POLICY / TITLE I

Amber Charter School's Local Education Agency (LEA) and Title I School Parent Involvement Policy, and Amber's Parent Compact, have been developed in response to No Child Left Behind requirements. Title I is a federal program which makes additional resources available to help assure that all children succeed academically.

The purpose of this policy is to encourage and facilitate involvement by parents of students participating in Title I programs. The policy shall provide the framework for organized, systematic, ongoing, informed and timely parental involvement in relation to decisions about the Title I services within Amber. Below is the policy of Amber acting as both, Local Education Agency and Title I school.

Parental Policy Involvement

LEA-level Parent Involvement Policy Component:

The partnership between home and school will be supported by:

1. Amber's development of an infrastructure to continually assess, plan and implement strategies that build the partnership.
 - a. A school-wide committee of parents, teachers, and administrators to guide overall program efforts and serve as a home-school partnership network.
 - b. Coordination of activities through the staff development system in areas of teacher in-service, assessment of teaching strengths, and communication with parents toward the creation of the best possible learning experience of each child.
2. Self-study of parental involvement practices by teams of parents, teachers and director using the following seven basic principles considered essential to home-school partnerships.
 - 2.1 Every aspect of the school climate is open, helpful and friendly.
 - 2.2 Communications with parents are frequent, clear and two-way.
 - 2.3 Parents are treated as collaborators in the educational process, with a strong complementary role to play in their children's school learning and behavior.
 - 2.4 Parents are encouraged, both formally and informally, to comment on school policies and to share the decision making.
 - 2.5 The school administrators actively express and promote the philosophy of partnership with all families.
 - 2.6 The school encourages volunteer participation from parents and the community.
 - 2.7 The school recognizes its responsibility to forge a partnership with all families in the school, not simply those most easily available.

School-Level Involvement Policy Component:

Amber Charter School invites parental participation in the following ways:

- Title I in conjunction with the Parents Association, will schedule an annual meeting to inform parents of their school's participation in the program. It will be scheduled at the beginning of each school year. The administration will also send out letters to parents informing them of the date and location of the meeting, and will post this information on the school website. This meeting is usually held during Curriculum Night
- If deemed necessary by the Parents Association, Amber will hold multiple meetings so as to include as many parents as possible.
- The Parents Association will hold regular meetings in accordance with its by-laws. These meetings will regularly address improvement of Title I programs.
- One parent will be elected yearly to the Board of Trustees.
- All newly-enrolled parents will participate in Primary Language Record interviews. At these interviews, parents will be provided with information about Title I services;
- All parents will participate in curriculum night, and annual parent orientation. At these events, parents will be provided with information about Title I services.

Amber will provide parents of participating children:

- Timely information about Title I programs. Title I services will keep parents updated about the types of services their children are being provided, the planned duration of service, and the goals of the services;
- The school performance profile required under section 1116(a)(3);
- The child's individual student assessment results, including an interpretation of such results. Title I services will provide these results and will go over the interpretation with the parent at a scheduled meeting;
- A description and explanation of the curriculum in use at the school, the forms of assessment used to measure student progress, and the proficiency levels students are expected to meet. Parents will receive this information at Primary Language Record interviews, the annual Title I meeting, the curriculum night, and the orientation for parents at the beginning of every school year;
- Title I services will schedule parent meetings as requested.

Technical Assistance and Support

To help parents plan and implement parent involvement activities support is provided by

1. Principal
2. Parent Liaison
3. Title One Reading Specialist
4. Guidance Counselors
5. Classroom Teachers

Technical assistance will include:

1. Assistance in parent outreach through mail and telephone and email;
2. Preparing and translating parent involvement announcements and pamphlets;

3. Staff participation as presenters at Parents Association events;
4. Joint planning of parent activities and support in preparing parent information such as reading lists, parent guides, and partial-immersion brochures;
5. Assistance in making available electronic equipment for events;
6. Individual teacher meetings with parents on instructional support (homework).

Annual Evaluation of Parent Involvement Policy

Amber will ensure the policy is up-to-date and effectively addresses the changing needs of the school community. The school administration will discuss ways to identify strategies for overcoming barriers to parent participation and to increase parent participation. Policy revisions will be based on the evaluation and will be incorporated into the Parent Involvement Policy. The Director will be responsible for the implementation of the Policy and of revisions.

The Parent Involvement Policy has been developed in conjunction with the Parents Association.

Amber Charter School Parent/Guardian Compact

Amber Charter School believes that school-home collaboration is essential to the achievement of its mission and objective. Amber recognizes parents as a child's primary educator and role model. It welcomes parents as active and respected partners in school life and key participants in the school community.

This compact summarizes key responsibilities of school and home.

What Parents/Guardians Should Expect from Amber Charter School:

Parents should expect Amber Charter School to fulfill its Charter and to meet the goals and measurable objectives outlined in its Accountability Plan. These goals are:

- All students at Amber Charter School will become proficient readers and will make strong yearly progress toward mastery of English-language reading skills;
- All students at Amber Charter School will become proficient in math and will make strong yearly progress toward the mastery of mathematics skills.
- All Amber Charter School students will develop proficiency in one or more of the New York State Learning Standards for the Arts;
- Parents will be active participants in their children's education, school decision-making and evaluation;
- Amber Charter School will maintain strong enrollment and strong parent interest;
- Amber Charter School will make sound decisions and effective, responsible use of financial resources to maximize student learning;

- The Board will play an active role in governing and bringing resources to Amber Charter School;
- Faculty and staff will be fully engaged partners in the development of the school and their own professional development.

These goals, the measurable objectives for each goal, and how Amber works to meet them, are described in Amber's Charter, Accountability Plan, and annual Accountability Report, as well as in the Parent Handbook. All parents receive copies of the Parent Handbook and will be provided with copies of the Charter, Accountability Plan and Accountability Reports on request.

What Amber Charter School Expects from Parents and Guardians:

- Parents/guardians will support their children's education to the best of their ability;
- Parents/guardians will read and/or tell stories to their children at least 20 minutes per night, as the single most important way parents can help their children.
- Parents/guardians will be familiar with and committed to supporting Amber Charter School's mission and goals as described in this Compact;
- Parents/guardians will read and be familiar with the Parent Handbook;
- Parents/guardians will support the school discipline code.
- Parents/guardians will keep the emergency contact information card accurate and up-to-date;
- Parents/guardians will return registration, health, medical, and school-meals forms promptly;
- Parents/guardians of newly-enrolled children will participate in Primary Language Record interviews;
- Parents/guardians will maintain a high attendance rate for children and work with the school staff to overcome obstacles to regular attendance;
- Parents/guardians will assure that children arrive on time, well-rested, and dressed appropriately each day;
- Parents/guardians will assure that children are well-nourished and get good breakfasts at home or participate in the school breakfast and lunch program;
- Parents/guardians will maintain close contact with director and teachers to support their child's education, attending activities such as orientation, curriculum night, parent-teacher conferences, and, as needed or desired, individual meetings;

- Parents/guardians will work with the school to build children's self-respect, respect for others, and appreciation of their own and others' cultures;
- Parents/guardians will work with the school to help children develop skills in the peaceful resolution of disputes;
- Parents/guardians will volunteer time and skills to help the school to the greatest extent they can;
- Parents/guardians will play an active role in the Parents Association.

Behavior Agreement

Discipline Policies and Procedures

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Introduction

Amber Charter School's mission is to provide our students an academically rigorous and well-rounded education, along with strong character development, that will enable them to prosper in middle schools and beyond.

*Discipline at the Amber Charter School draws from the central premise that the school is a learning community, encompassing faculty, non-faculty staff, students, and parents. Our discipline policy exists to preserve the ability of the community to function effectively; to promote self-responsibility and accountability; and to strengthen the integration of the student into the school and global communities. These ideals were developed as part of a series of meetings with members of Amber's community. These meetings involved readings and discussions of relevant articles such as The Tone of Teaching by **Max Van Manen**, analyzing diverse discipline documents, and from the understandings written in the initial charter document.*

Students, families, school staff & administrators, and every member of our community pledge to adhere to the following tenets:

- *We are committed to non-violence in all areas of our lives.*
- *We are respectful of ourselves, of others and of our environment.*
- *We communicate with each other using positive language.*

Our Principles of Responsible Behavior

Our school is a community where everyone has responsibilities. We base our daily relationships and interaction on the following ***Common Understandings:***

Our School Rituals,

We will:

- ✓ greet everyone by name to welcome them to a community that is enriching.
- ✓ eat healthy food and drink in a peaceful and calm manner.
- ✓ create a safe haven in our public spaces by behaving in a socially responsible and acceptable manner (low voices, polite manners, physically respectful of self and others).
- ✓ be punctual during pick-up and dismissal.
- ✓ obey rules in common areas (dining hall, bathrooms, stage, specialist rooms, gym, hallways).
- ✓ walk safely and attentively to and from the park during recess.
- ✓ respect all adults and each other at all times.

Our Tone and Voice,

We will:

- ✓ set a positive inclusive tone by meeting with our parents and other community members.
- ✓ always use our low voices in common spaces (classrooms, libraries, dining hall).
- ✓ use our student council as the vehicle to express student voice and promote student leadership.
- ✓ demonstrate respect for self and others.
- ✓ use non-verbal communication in common spaces whenever possible.
- ✓ use kind and positive words.
- ✓ hold important or personal discussions in private spaces.
- ✓ wear our school uniform.

Our Recognition of Efforts,

We will develop and distribute:

- ✓ super readers' awards.
- ✓ attendance certificates.
- ✓ student council participation award.
- ✓ Principal Honor Roll.
- ✓ academic achievement and merit awards.
- ✓ community service awards.
- ✓ leadership awards.

Our Environment and Space,

We will:

- ✓ always walk up & down the stairs in one line as we move throughout the school.
- ✓ walk in two orderly lines outside the school.
- ✓ keep our environment clean and free from vandalism.
- ✓ resolve our conflicts peacefully in designated spaces (classroom, counselor/social worker room, office).
- ✓ behave in an orderly manner in the dining hall during morning pick-up and dismissal

- time.
- ✓ not bring toys, games/electronic equipment or other personal property of that nature to school.

Essential Components of the Discipline Policy

Discipline policies exist to enable the school to function effectively without disruption and to help strengthen the integration of students into the overall school community. The focus is on behaviors that are helpful and constructive for the community and to reduce/eliminate behaviors that weaken the community. This helps us to live in a community where everyone is respected and feels safe emotionally and physically.

Administrators, school staff and students will use self-discipline to develop a positive, safe, healthy and successful school environment. Therefore, everyone is responsible for respecting and implementing the aforementioned common understandings.

Discipline procedures at Amber are designed to help the student to:

1. function creatively and effectively,
2. promote self-responsibility and accountability,
3. participate actively in the school and global community,
4. engage in the teaching and learning process,
5. Involve their families as responsible and accountable members.

It is essential that we establish an on-going staff-student relationship based on trust and respect.

It is essential that self-responsibility and accountability be promoted by maximizing student involvement in making decisions and resolving problems. Students will be involved in the analysis of an incident and in the discussion of appropriate consequences (if necessary).

It is essential that students and parents are accountable for student learning by completing homework assignments and school projects, having excellent attendance and arriving to school on time.

It is essential that parents/guardians participate and support school discipline policies.

Amber School Behavior Agreement

A behavior agreement ensures that there is consistent and equitable treatment of all students. It is important that all members of a school community know the disciplinary measures that can be taken when any student misbehaves or substantially disrupts a classroom. However, it should be noted that inappropriate behavior may be symptomatic of a more serious problem that a student is experiencing. It is, therefore, important that members of our school community be sensitive to issues that may be impacting upon the behavior of student and utilize services provided by support staff, i.e. counselors, guidance and/or social workers to support this student. To this end, Amber has created a Child Study Team for this purpose. This team, comprised of school personnel, will develop behavior plans and explore techniques that can be used to address a student's behavioral problems. These plans and techniques will be discussed with the student and his/her parent or guardian. If, at any time, school personnel suspect that student difficulties

may be the result of a disability which may require special education services, the parent will be notified and the student may be referred for further evaluation to the Kennedy Center and/or Committee on Special Education.

Amber staff will implement the Behavior Agreement with very clear consequences for children and families. The agreement delineates clearly articulated expectations and consequences for what occurs when this agreement is violated. The Behavior Agreement covers the very important categories of:

- Ø **Behavior Card System**
- Ø **Uniform**
- Ø **Homework**
- Ø **Absences and tardiness**
- Ø **Safety of self and others**
- Ø **Respect of Property**

Behavior Card System

The school has implemented a mandatory *behavior card discipline system* across the grades in all classrooms. It is our expectation that, as per Amber's Mission statement (to enable all students to become fully educated, creative adults), this behavior card system will help our students to develop self-discipline and respect.

The cards are organized into colors that range from green to blue to yellow to red.

- Ø Green: If a student remains on green, he/she is behaving in an appropriate manner.
- Ø Blue: If a student moves to blue, he/she will be asked to self-check and may have a time out.
- Ø Yellow: If a student moves to yellow, he/she will have a more severe consequence and may be removed from class and be required to fill out a think sheet.
- Ø Red: If a student moves to red, his/her parent will be contacted.

This system enables both teachers and students to monitor behavior and self check. In any event, parents will be kept abreast of behavior infractions.

Uniform

UNIFORMS ARE MANDATORY. Students who are not in school uniform will pose a security threat to themselves.

Amber Uniform Requirements

WINTER: November to March	SPRING: September to October & April to June
<ul style="list-style-type: none"> • Navy Long pants • Long sleeved Light blue buttoned-down collared shirt with Amber logo embroidered on left hand side • Navy sweater with Amber logo embroidered on left hand side • Navy or black socks • Navy or black shoes/sneakers • Navy tie 	<ul style="list-style-type: none"> • Navy Shorts/ skirt/ skort • Short sleeved Light blue buttoned-down collared shirt with Amber logo embroidered on left hand side • Navy or black socks • Navy or black shoes/sneakers • Navy tie

<p>GYM Uniform</p> <ul style="list-style-type: none"> • Short sleeve light blue t-shirt with Amber logo silk screened on left hand side • Navy sweatpants with Amber name silk screened along right pant leg 	<p>GYM Uniform</p> <ul style="list-style-type: none"> • Short sleeve light blue t-shirt with Amber logo silk screened on left hand side • Navy sweatpants with Amber name silk screened along right pant leg
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Not Uniform: Cargo pants; leggings; thermal shirts that can be seen; boots; hoodies; jackets; any clothing item that conceals the Amber logo; and any clothing item that is not the appropriate color.

Infraction:

Out of uniform

Two out of uniform notices

Three out of school notices

Consequence:

Out of uniform notice sent home.

School representative will call parent.

Child will not be allowed to enter class until parent brings to school the right uniform piece or school supplies the uniform piece and charges the parent for the cost of the uniform piece.

Homework

Homework is viewed as a bridge between home and school giving students an opportunity to share their work and involve their family members. Parents and/or guardians are responsible for monitoring and assisting with homework assignments of their child. Each child should attempt to complete homework independently but may need assistance. When homework is not completed consequences will be enforced.

Attendance and Tardiness

Amber views every day as an essential day of learning. Therefore, excellent attendance and punctuality are expected from all our students. School opens at 8:00AM with breakfast provided until 8:10am All students are expected to arrive at school on time. If student absences and/or lateness become a pattern, this can lead to academic delays, poor tests results and possible holdover. Students are required to make up work missed during their absence.

All students are expected to arrive at school on time by 8:10AM SHARP! All students who arrive after 8:10AM will be considered late. Excused absences are absences where a student is too ill to report to school or has a medical, legal, dental appointment, or death in the family. All absences require appropriate documentation, i.e. note from home, note from a doctor and/or medical facility, court documents, etc. If appropriate documentation is not provided, the absence will be considered as unexcused. **If a student is absent 20 or more days, he/she may jeopardize promotion to next grade.**

Infraction:

Three - Five unexcused absences/lateness

Six - Twelve unexcused absences/lateness

Twelve or more unexcused absences/lateness

Consequence:

Official notice from the school

Promotion in doubt letter sent to parent.

Student reported to Attendance Officer;
Possible educational neglect report to ACS
(Agency for Child Services)

Behaviors that Lead to Suspension

Safety of Self and Others

In order to ensure that Amber is a place where learning is a priority, the student must be safe at all times. Any student action or intention that can be deemed as violating the safety of oneself or others can result in serious consequences.

Possible Consequences:

1. No Recess: Teachers will be responsible for students that are not having recess.
2. Parent/Guardian Meeting: May be set up with teacher, administration or support staff
3. Parental Escort during Field Trips: If a teacher feels that a student cannot be secured during a trip, parent/guardian will be required to attend for the student to participate.
4. Behavior Plan: Referral to Child Study Team for the development and implementation of a Behavior Intervention Plan.

Respect for School /Personal Property

In order to maximize instruction, Amber's physical environment must be respected and kept clean and orderly at all times. School and student property must also be protected and secured. If a student violates or disrespects school property, there will be serious consequences.

Examples of these violations include:

- Steals school or private property
- Vandalizes or defaces school or private property
- Destroys school, private or public property

Infraction:

First offense of any of the above

Second offense of any of the above

Third offense of any of the above

Fourth offense or more

Consequence:

Intervention conference with adult staff member.

Intervention conference with Amber support staff member and parent letter sent home.

Suspension.

Official meeting with school administrator and parent. **Suspension for two (2) days.**

Possible expulsion. Case presented to Board of Trustees.

Category I & Category II Infractions

Category I

- Disrupts school activities (including meals and recess)
- Disrespects a peer, teacher, administrator or other adult staff.
- Commits an obscene act or engages in profanity or vulgarity
- Uses hateful language

- Cheats or plagiarizes

Infraction:

First offense of any of the above

Consequence:

Intervention conference with adult staff Member

Second offense of any of the above

Intervention conference with Amber support staff member and parent letter sent home

Third offense of any of the above

Official meeting with school administrator and parent. Possible suspension.

Fourth offense or more

Suspensions

Category II

- Participates in any verbal, physical or sexual assault or harassment
- Threatens others physical and/or emotional safety
- Fights, bites, scratches, etc.

Infraction:

First offense of any of the above

Consequence:

Intervention conference with adult staff member

Second offense of any of the above

Intervention conference with Amber support staff member and parent letter sent home
Suspension.

Third offense of any of the above

Official meeting with school administrator and parent. **Suspension for two (2) days.**

Fourth offense or more

Possible expulsion. Case presented to Board of Trustees.

Suspensions

In the case of more severe violations such as physical misconduct, vandalism, verbal abuse or sexual harassment, a suspension may be incurred either in-school or at home. If a student is suspended, the parent/guardian will be called and a letter will be sent home stating the violation and where the suspension is to take place.

In-house suspension: Students will be placed in another classroom or supervised area. The teacher will be responsible for providing the student enough school work to keep them learning during their suspension.

Out of school suspension: Out of School Suspensions will be considered if a student engages in an action that severely threatens his/her safety or the safety of others. Parents

will be notified and must attend a conference with administration or support staff (counselor/social worker). If needed, individualized behavior plans will be created by a Child Study Team members and parents/guardians.

Suspended students must be provided with alternative instructional time and with homework and class work that is missed during his/her suspension period.

Protocol for 911 calls

Calls are made to 911 when:

Circumstance	Time frame
Physical injury/sickness	As soon as identified
Violent outburst with potential of physical harm toward self or others	15 minutes and outburst has not abated
Missing child	15 minutes and child has not been found
Suicide ideation with plausible plan	After parent has been notified, and parent is uncooperative.

First administrator on scene makes the decision for call to be made and identifies person to make the call.
Parents will always be notified.
Incident reports must be filed.

Chain of Command for Calls to Agency of Child Services [ACS]

All staff members are free to call ACS for any incident they judge as necessary to report.

In the event that a staff member is unsure they should confer with:

- Dean of students
- Guidance Counselor
- Nurse [for all evidence of physical injury]
- Assistant principal
- Principal

The Principal will make the final decision on whether a call is to be made, and who will place the call.

Expulsion

After a child's third suspension, the student's parent or guardian may be required to come to school and to sit with the student in his or her classroom(s). Upon a student's fourth suspension in one year, the student may be referred to the Amber Board of Trustees for an expulsion hearing.

Expulsion requires Board approval. Violation of the following three infractions will be grounds for immediate action by the Board of Trustees and could result in expulsion.

1. Students may not sell, distribute, possess, or be under the influence of drugs or alcohol.

2. Students may not possess and/or use firearms, dangerous weapons or other instruments.
3. Four or more suspensions in one year.

In the event of a suspension or a potential suspension, or expulsion, all students are entitled to due process. Students with disabilities have the same rights and responsibilities as other students, and may be disciplined for the same behavioral offenses. In the event of potential suspension or expulsion of a student with a disability, Amber Charter School will follow the disciplinary guidelines in the student's Individualized Education Plan (IEP) and the appropriate State and Federal statutes.

Appeal

A parent has the right to appeal a decision of suspension by:

- Requesting for a meeting with the Head of School. If the decision is not sufficient, then
- Contacting the Board of Trustees for a meeting.

A parent has the right to appeal a decision of expulsion by:

- Requesting another meeting with the Board of Trustees. If the decision is not sufficient, then,
- Contacting the SUNY Charter School Institute at Charter School Institute Grievance Desk, 41 State Street, Suite 700, Albany, NY 12207. If the decision is not sufficient, then
- Contacting the Board of Regents at Charter Schools Unit, 465 Education Building Annex, Albany, New York 12234.

Anti-bullying Rules

1. We will not bully others and always treat each other with respect.
2. We will help students who are bullied.
3. We will include students who are left out.
4. If I or somebody else is being bullied, I will tell an adult at school and an adult at home.

Amber Charter School Complaint Policy

(Vea traducción en español al dorso)

Amber Charter School places considerable value on courtesy, respect, and responsibility. We encourage parents/guardians and staff to develop open lines of communication with each other for the benefit of the children attending the school. However, we know that from time to time, situations may arise that are upsetting. If a parent/guardian, student, or other individuals are not satisfied with a school decision, policy, or act they may do the following:

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| <ol style="list-style-type: none">1. Discuss the complaint with the staff member that has direct responsibility for the problem.<ul style="list-style-type: none">• Within a week, take the complaint directly to the staff member involved (in the case of violation of laws or issues with school-wide policies, the Head of School would be the appropriate staff member) to resolve the problem through discussion.• Amber is committed to using communication to work out problems and therefore, if needed, the two-parties involved may request mediation from the staff member's immediate supervisor.• If the aggrieved person is not satisfied, within a week they must move to step 2.2. Discuss the complaint with the staff member's immediate supervisor.<ul style="list-style-type: none">• If a solution is not found between the two parties involved then it should be taken to the staff member's immediate supervisor for discussion including use of mediation as necessary. If the original complaint was with the Head of School and discussion (as mentioned in step 1) has not worked, move directly to step 3.• This should continue through the ranks until the complaint has been discussed with the Head of School.• If the complaint has not been satisfactorily addressed after talking with the Head of School, move to step 3. This should occur no later than a month from the original complaint.3. Submit the complaint in writing to the Head of School.<ul style="list-style-type: none">• The Head of School may speak to all parties involved and will try to resolve the issue through discussions with those people. Otherwise, within two weeks, the Head of School will give a written decision concerning the complaint, giving the reasons for the decision.• If the Head of School's written decision is unsatisfactory, move to step 4 within 1 week. | <ol style="list-style-type: none">4. Submit the complaint in writing to the Chair of the Board of Trustees.<ul style="list-style-type: none">• Upon receiving the written complaint, the Chair shall request copies of all written communications from Step 3.• The Chair shall convene a committee of the Board (with no fewer than 3 people) that shall meet within 10 working days to discuss the issues. Those involved in the complaint shall have a right to attend the meeting.• The committee of the Board of Trustees will conduct reviews to ensure compliance with the law. Amber and the specific individuals involved will cooperate to the fullest extent with the review.• The committee of the Board shall decide on the matter by majority vote and shall respond in writing to the person issuing the complaint no later than 30 days from the receipt of the complaint.• If the committee of the Board is unable to reach a decision and/or the complaint is of such a nature that it might interfere with the normal functions of the school, then the committee shall bring this matter to the full Board for consideration.5. If the Board of Trustees' written decision is not sufficient, the complaint may be submitted in writing to the Charter Schools Institute, Amber's authorizer.<p style="text-align: right;">Charter Schools Institute Grievance Desk
41 State Street, Suite 700
Albany, New York 12207</p>6. If the Charter School Institute's written decision is not sufficient, the complaint may be submitted in writing to the Board of Regents, the SUNY Charter Schools Institute authorizer.<p style="text-align: right;">Board of Regents, Charter Schools Unit
465 Education Building Annex
Albany, New York 12234</p> |
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Exceptions to Procedural Steps

Amber recognizes that there may be certain circumstances in which it may be inappropriate to resolve a problem as prescribed above. Therefore, the following exceptions are instances where the above-listed policy may be by-passed:

- a. Any complaint or problem involving a known or suspected violation of the law should be immediately reported to the Head of School, and, if needed, to the appropriate government authority (e.g., police, Charter Schools Institute).
- b. The complaint or problem is clearly not within the authority of the staff member's supervisor to resolve; then one may proceed to step 3.

The Complaint Policy has been approved by the Amber Charter School Board of Trustees at its regular meeting held on January 10, 2007.

Reglamento de Quejas de la Escuela Autorizada Ámbar

(See English version on the other side)

La escuela Autorizada Ámbar pone mayor énfasis en la cortesía, respeto y la responsabilidad. Animamos a los padres/tutores y al personal en general a desarrollar canales abiertos de comunicación entre sí, para el beneficio de los alumnos que asisten a la escuela. Sin embargo, sabemos que de vez en cuando pueden ocurrir situaciones inquietantes. Si algún padre/tutor, alumno u otra persona no están satisfechos con la decisión de la escuela, reglamento o regulación pueden hacer lo siguiente:

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| <ol style="list-style-type: none">1. Hable de la queja con el empleado que tenga responsabilidad directa con el problema.<ul style="list-style-type: none">• Dentro de una semana, someta la queja directamente al personal involucrado (si es infracción del reglamento, el jefe de la escuela sería la persona apropiada) para resolver el problema a través de la discusión.• Ambar esta comprometida en usar la comunicación para solucionar los problemas y por lo tanto, si fuere necesario, las partes involucradas pueden pedir mediación al supervisor inmediato• Si la persona ofendida no esta satisfecha, dentro de una semana debe proceder al paso 2.2. Hable de la queja con el supervisor del personal inmediato.<ul style="list-style-type: none">• Si no se encuentra solución entre las partes involucradas, entonces debe ser llevado al supervisor de personal inmediato para su discusión y la mediación si es necesaria. Si la queja original fuera con el jefe de la escuela y la discusión no ha trabajado, proceda al Paso 3• Esto debe continuar a través de los rangos hasta que la queja haya sido discutida con el jefe de la escuela.• Si la queja no ha podido ser dirigida satisfactoriamente después de hablar con el jefe de la escuela, proceda al paso 3. A no más tardar de un mes de la queja original.3. Presente la queja por escrito al jefe de la escuela.<ul style="list-style-type: none">• El jefe de la escuela puede considerar hablar a todas las partes involucradas y tratar de resolver el asunto, discutiéndolo. Dentro de 2 semanas, el jefe de la escuela dará una decisión escrita acerca de la queja, dando razones para la decisión.• Si la decisión escrita de la escuela es deficiente, proceda al Paso 4 dentro de una semana.4. Presente la queja por escrito al Presidente de la Junta Directiva. | <ul style="list-style-type: none">• Al recibir la queja escrita, el Presidente de la Junta Directiva pedirá copias de todas las comunicaciones escritas del paso 3.• El Presidente convocara un comité de la junta (no menos de 3 personas) que deberán reunirse dentro de 10 días hábiles para hablar del asunto. Aquellos involucrados en la queja tendrán el derecho de asistir a la reunión.• El comité de la Junta Directiva dirigirá evaluaciones para asegurar el acatamiento de la ley. Ambar y los individuos específicos involucrados cooperaran extensivamente con la evaluación• El comité de la Junta Directiva se decidirá por mayoría de votos y responderá por escrito, a las personas y hará público la queja a no más tardar 30 días del recibo de la queja al Jefe de la escuela.• Si el comité de la Junta Directiva no puede llegar a una decisión y/o la queja es de tal naturaleza que podría interferir con las funciones normales de la escuela, entonces el comité traerá el tema a todo el directorio para su consideración. <ol style="list-style-type: none">5. Si la decisión de la Junta Directiva no es suficiente, la queja puede ser presentada por escrito a Instituto de Escuelas autorizadas, Autorizadores de Ambar.<div style="text-align: right; margin-top: 20px;"><p>Charter Schools Institute Grievance Desk
41 State Street, Suite 700
Albany, New York 12207</p></div>6. If the Charter School Institute's written decision is not sufficient, the complaint may be submitted in writing to the Board of Regents, the SUNY Charter Schools Institute authorizer.<div style="text-align: right; margin-top: 20px;"><p>Board of Regents, Charter Schools Unit
465 Education Building Annex
Albany, New York 12234</p></div> |
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Excepciones para los pasos de procedimiento

Ambar reconoce que puede haber ciertas circunstancias en las que podría ser inapropiado resolver un problema como se ha descrito arriba. Por lo tanto, las siguientes excepciones son los ejemplos donde el reglamento anterior puede ser sobrepasado

- a. Cualquier queja o problema que involucre una infracción conocida o supuesta de la ley debe ser informado al jefe de la escuela inmediatamente, y si fuese necesario a la autoridad del gobierno apropiada (por ejemplo. La policía, al Instituto de escuelas autorizada)

- b. La queja o el problema no esta evidentemente dentro de la autoridad del supervisor para resolver; luego uno puede proseguir al paso 3.

El Reglamento de Quejas ha sido aprobado por la Junta Directiva de la escuela Ambar el 10 de Enero del 2007.



I acknowledge that:

I have received a copy of Amber Charter School Parent Handbook and Behavior Agreement: Discipline Policies and Procedures. I recognize and accept my responsibility to read and become familiar with its contents. I acknowledge that it is designed to provide general information on Amber's policies and procedures. I also understand that Amber Charter School reserves the right to add, delete, or modify the contents of the Parent Handbook and Behavior Agreement, at any time and for any reason.

Student Name (Print)

Parent Name (Print)

Parent's Signature

Date

Amber Charter School APPR Plan - DRAFT

State Approval Required for District Annual Professional Performance Review Plan

Each district must submit a complete APPR plan, using a State-prescribed form, for Commissioner approval. The new system is intended to ensure evaluation plans that are rigorous, transparent and fair. The Commissioner may reject a plan that does not meet these criteria through rigorous adherence to the law and/or the APPR regulations. The APPR plan must describe the following:

- **The process for ensuring that SED receives timely and accurate teacher, course and student “linkage” data, and the process for teachers and principals to verify the courses and/or student rosters assigned to them.**

Initial teacher, course, and student linkages will be finalized by principal by October 1 of each school year and submitted to teachers for verification. Any corrections are due to principal by October 15.

End-of-year teacher, course, and student linkages will be finalized by principal by June 1 of each school year and submitted to teachers for verification. Any corrections are due to principal by June 15.

The principal will submit verified data to state by June 30.

- **Process for reporting to SED the individual subcomponent scores and the total composite effectiveness score for each applicable educator.**

Individual subcomponent scores and the total composite effectiveness score (and HEDI rating) for each teacher will be reported to the state by the principal using a standardized form by no later than September 1 of the following school year.

- **The assessment development, security, and scoring processes utilized by district or BOCES, including ensuring that assessments are not disseminated to students before administration and that teachers and principals do not have a vested interest in the outcome of the assessments they score.**

The School will utilize assessment development, security, and scoring processes which ensure that assessments are not disseminated to students before administration and that teachers and principals do not have a vested interest in the outcome of the assessments they score.

Based on information provided by the state for charter school APPRs, teachers using SLOs with summative measures other than multiple choice or short answer assessments shall be permitted to score their own students' assessments after signing a statement of integrity. The administration shall have the option of conducting duplicate scoring in such cases at their discretion.

- **The details of the evaluation system, including options selected for the locally-selected measures of student achievement for each grade and subject.**

The overall evaluation rating for classroom teachers shall be determined using the following weights:

40% Student Performance

☐ Student Learning Objectives

60% Teacher Performance

☐ Principal Formal Observations

- Other Evidence of Effective Teaching

☐ Evaluations will be based on a 4 point rubric. For each of the two components and for a final holistic rating, a teacher may be evaluated as:

1. Ineffective;
2. Developing;
3. Effective; and
4. Highly effective.

Starting in 2013-14, the weights of each element of teacher performance will be as follows:

35% for formal observations
 10% for service to school
 10% for achievement of one professional goal
 5% for teacher attendance

The student learning measures used by the school will be rigorous, comparable across classrooms, and aligned with school and state priorities for student learning, including but not limited to Common Core Standards and College and Career Readiness. Please see the attached document for a detailed description of the SLO development process. The weights of each element of student performance for teachers of ELA/Math will be as follows:

5% Growth on Baseline ELA SLO
 5% Growth on Baseline Math SLO
 10% Class average on ELA TerraNova SLO
 10% Class average on Math TerraNova SLO
 10% Teacher-selected non-ELA/Math SLO (Growth or Achievement)

The non-ELA/Math SLO will be developed collaboratively by the teacher and administration.

Teachers of subjects other than ELA/Math shall develop at least two SLOs, which will count for 40% of those teachers' final evaluations and will be developed collaboratively by the teacher and administration. At least one of these SLOs must be aligned with Common Core standards and at least one must integrate ELA and/or Math standards. Teachers in these categories who work with multiple grades or sections shall select two class sections from an upper grade (3-5) selected by the principal and two class sections from a lower grade (K-2) selected by the principal. The populations selected for the SLOs shall each constitute a majority of students in that grade.

Beginning in 2013-14, teachers shall submit all draft SLOs to the administration no later than October 30 of each school year. If the administration does not require any changes to the SLOs and targets, no further meetings are required. If the administration intends to make changes to the SLOs and targets, the teacher shall be notified in writing and may request and receive a meeting to discuss these changes

no later than November 15. If any teacher does not work with the school administration to develop or implement SLOs, the administration has the discretion to select SLOs for that teacher.

SLO targets may be adjusted by mutual agreement between the teacher and principal when significant changes occur after their initial development. Reasons for such adjustments may include but are not limited to: enrollment or departures of students during the school year; significant changes in students' attendance patterns; significant changes to students' health status; significant scheduling changes, including cancellation of scheduled classes due to school activities such as field trips; diagnoses of student learning disabilities during the school year.

A range of sample student learning objectives and performance assessments will be collected and developed by the Amber teacher evaluation committee and made available to all teachers. Based on the baseline data gathered during 2012-13, during Summer 2013 the union and the school will develop appropriate school-wide guidelines for selecting SLOs and performance assessments which will be counted towards evaluation in 2013-14. These school-wide guidelines will be distributed to teachers before September 1, 2013.

• Decisions about teacher and principal practice rubrics; survey tools, if any, to be used in the “other measures” category. How many observations or school visits will be conducted by whom, how many unannounced, and what other procedures have been agreed to for “other measures” subcomponent.

Beginning in 2012-13, Amber will shift to a system in which teachers' evaluation experiences will vary based on whether their experience and APPR rating place them on Track 1 or Track 2.

Placement of Teachers on Track 1 and Track 2:

- All teachers who do not have at least three consecutive years of Satisfactory or Satisfactory with Elements of Excellence ratings at Amber as of the end of the 2011-12 school year will be placed on Track 1 at the beginning of the 2012-13 school year.
- All teachers with at least three consecutive years of Satisfactory or Satisfactory with Elements of Excellence final ratings at Amber as of the end of the 2011-12 school year will be placed on Track 2 at the beginning of the 2012-13 school year.
- In 2013-14 and beyond, teachers with at least three consecutive years of Effective or Highly Effective final ratings (or Satisfactory or Satisfactory with Elements of Excellence in previous years) will be placed on Track 2. Teachers who received a final rating of Developing or Ineffective in the prior year or who have fewer than three consecutive years of Effective or Highly Effective final ratings (or Satisfactory or Satisfactory with Elements of Excellence the previous years) will be placed on Track 1. The principal may elect to place a teacher with fewer than three consecutive years of Effective or Highly Effective final ratings on Track 2 based on professional discretion. Tracks shall be used solely to determine the number of required formal observations, and shall have no impact on the other elements of this evaluation system or on other elements of the CBA.

Observations and Other Evidence of Effective Teaching Practice:

- Beginning in 2012-13, administrators who have been trained in the 2011 Danielson rubric will use it as the standard for formal and informal observations and review of professional goals and practice portfolios for teachers at Amber.
- All teachers will develop at least one professional goal aligned with Danielson, and will receive additional training in the Danielson rubric as needed.
- If any teacher does not work with the school administration to develop or implement a professional goal under the above circumstances, the school administration has the discretion to select a professional goal for that teacher.
- All teachers on Track 1 will receive a minimum of two formal observations annually.
- All teachers on Track 2 will receive a minimum of one formal observation annually.
- Formal observations shall be preceded by a pre-observation conference for teachers in their first year; pre-observation conferences are optional (at teachers' request) for teachers who have been at Amber for more than one year. All formal observations will be followed by a post-observation conference within three working days to discuss the observation.
- If the observation will result in a Teacher Improvement Plan, the administration will provide a written evaluation for the teacher to review and sign within two weeks of the observation. If the observation will not result in a TIP, the administration will provide a written evaluation for the teacher to review and sign within four weeks of the observation.
- Teachers who receive a Developing or Ineffective for any of the Danielson standards during their observation will have the option of requesting and receiving additional formal observations.
- Teachers who serve as peer observers will receive training in the Danielson rubric and methods and will be encouraged to work with colleagues towards improving their professional practice.
- Informal observations will continue to be used to analyze school-wide instructional trends and to follow up on recommendations made during formal observations.
- Teachers on both Track 1 and Track 2 have the option of choosing to submit evidence from peer observations and informal observations as part of their evaluation process, but are not required to include such evidence.

• **Descriptions of the process used in the district for assigning points based on results to educators for each subcomponent (including Student Learning Objectives where applicable in the Growth subcomponent; the locally-selected measures subcomponent; and the “other measures” subcomponent). This process must be based on the Commissioner’s standards for the HEDI rating criteria and must ensure that it is possible for an educator to earn each point, including 0, in the subcomponent scoring range, and that it is possible for an educator to earn any of the four rating categories (HEDI) for a subcomponent. This section must include the locally-negotiated HEDI scoring bands for the “other measures” subcomponent.**

- Based on a weighted review of the evidence gathered as part of the student performance measurement process, each teacher at Amber will be given a final rating of Highly Effective, Effective, Developing, or Ineffective for student performance at the end of the school year. The final rating will be at the principal’s discretion and will be based on the evidence documented in the evaluation process and on the guidelines for weighting described in this APPR.
- The guidelines for weighting of each element of student performance for teachers of ELA/Math will be as follows:

- 5% Growth on Baseline ELA SLO
- 5% Growth on Baseline Math SLO
- 10% Class average on ELA Terranova SLO
- 10% Class average on Math Terranova SLO
- 10% Teacher-selected non-ELA/Math SLO (Growth or Achievement)

The SLOs for teachers of subjects other than ELA/Math will count for 40% of those teachers' final evaluation and will be developed collaboratively by the teacher and administration no later than October 30 of each school year. Growth measures will be used when appropriate to the content and skills prioritized by the school in that subject and grade level.

Teachers of special education students and others who do not have a full class of students as their primary instructional context will develop two SLOs in the beginning of the school year in collaboration with school administration. For special education students, such objectives will be based primarily on meeting the requirements of students' individual education plans.

Scoring bands for student performance assessments shall be set collaboratively by teachers and administrators during the Individual Professional Development Meeting at the beginning of the school year. For teachers of students whom both teachers and administration believe should be receiving special education services but for whom those services are not yet in place (due to parental choice or other reasons), teachers and administrators will collaborate in setting SLO targets which are appropriate for those students. Scoring bands may be adjusted by mutual consent of the teacher and administration during or at the end of the school year.

- Based on a weighted review of the evidence gathered as part of the teacher performance measurement process, each teacher at Amber will be given a final rating of Highly Effective, Effective, Developing, or Ineffective for teacher performance at the end of the school year. The final rating for teacher performance will be at the principal's discretion and will be based on the evidence documented in the evaluation process and on the guidelines for weighting described in this APPR.

The weights of each element of teacher performance will be as follows:

- 35% for formal observations
- 10% for service to school
- 10% for achievement of individual/team professional goal (including PD)
- 5% for teacher attendance and lateness

Formal Observations: Teachers shall receive up to 35 points based on teaching performance as measured by formal observations using the Danielson rubric. As part of the formal observation process, each teacher will be responsible for demonstrating effectiveness in five areas (as illustrated through 10 critical components from Danielson and the standards within them):

- 1) Clear Objectives (1a, 1c, 1e)
- 2) Classroom Management (2a, 2d)
- 3) Lesson Delivery (3a, 3b, 3e)
- 4) Student Engagement (3c)
- 5) Assessment (3d, 1f)

Within each component, the following standards will not be considered: 3a2, 3a3, 3d1, 3c1, 1f2, 1e2, 1c4, 1c3.

Within each component, the following standards will be worth up to 2 points: 3b1, 3b2, 3b3, 3c4, 3d2, 3d3, 3a1, 3a4

All remaining standards will be worth one point each.

For specialists and special education teachers, standards 3b2 and 3c2 will not be considered; instead, teachers in those categories shall select three other standards which are relevant to their subject and teaching context.

The guidelines for HEDI ratings based on observation scores are:

HE: 35-32; E: 31-24; D: 23-18; I: 17-0

School Service: School service shall be measured using the following method: All teachers shall receive up to 10 points for service to the school based on their participation in the activities listed on the attached chart. Teacher shall be encouraged to create additional interest-based activities with the approval of the administration. Teachers who are members of the listed activities shall receive 5 points per activity; teachers who act as chair of the listed activities shall receive 10 points per activity. Chairs shall be elected by the members of each activity.

In 2012-13, the chair of each activity shall submit a list of the names of each activity member to the administration to confirm teachers' participation during the 2012-13 school year. Teachers who are listed as members of activities shall receive 5 points per activity; teachers who act as chair of activities shall receive 10 points per activity.

In 2013-14 and in future years, participation shall be documented through a sign-in list for meetings of the activity (or other appropriate documentation) maintained by the chair and submitted to the administration at the end of the school year. As a default, teachers who are listed as participating members of activities shall receive 5 points per activity; teachers who act as chair of activities shall receive 10 points per activity. However, the administration may adjust these points upwards or downwards based on the documentation of teachers' level of participation.

Professional Goal: All teachers shall receive up to 10 points for progress towards one individual or team professional goal over the course of the school year. Goals shall be assessed using the attached rubric in the following categories: Whether or not the goal 1) spans the full year; 2) Is supported by multiple pieces of evidence; 3) supports the identified Danielson component; 4) impacts student learning; and 5) impacts instructional practice. The specific measures used to assess progress towards the goal and the process for the assignment of points shall be determined collaboratively by the teacher and principal at the Individual Professional Development Meeting at the beginning of the school year.

Teacher Attendance and Lateness: Teachers may receive up to 5 points based on their record of attendance and lateness according to the chart below:

HIGHLY EFFECTIVE	EFFECTIVE		DEVELOPING	INEFFECTIVE	
5 [2.5]	4 [2.0]	3 [1.5]	2 [1.0]	1 [0.5]	0
0-3 absences	4-6 absences	7-12 absences	13 absences	14 absences	15+ absences
0-3 tardy	4-6 tardy	7-12 tardy	13 tardy	14 tardy	15+ tardy

Absences due to bereavement (as defined in the CBA), jury duty, or documented medical necessity shall not be counted against the limits for this section.

The two subcomponent scores for teacher and student performance will be combined for a final composite score. The guidelines for HEDI ratings based on composite scores are:

100-85=Highly Effective
 84-75=Effective
 74-66=Developing
 65-0=Ineffective

• **How educators will receive timely and constructive feedback as part of the evaluation process.**

All teachers shall have at least two Individual Professional Development Meetings with the administration during the school year. The first meeting shall be held after the administration of the baseline tests for the teacher's SLO, no later than October 15. Teachers shall be responsible for bringing the following documents to the meeting: 1) a draft of one professional goal, based on their review of their formal observation reports and final evaluation form from the prior year and 2) results from their SLO baseline tests and TerraNova (if applicable). At this meeting, the teacher and principal will review and finalize the teacher's professional goal and collaboratively outline expectations for the teacher's SLOs, including but not limited to drafting targets and HEDI scoring bands based on baseline results and other factors.

All teachers shall also have a final Individual Professional Development Meeting with the administration before the last day of the school year. At this meeting, the administration will review the results of the teacher's SLOs, the progress towards the teacher's professional goal, the teacher's ratings on the components of the Danielson rubric, and the teacher's overall rating.

All teachers shall receive an evaluation form with written feedback after each formal observation during the school year. Teachers who receive ratings of Developing or Ineffective on any observed component during the school year, or who believe that adjustments to their professional goal or SLO targets are required, may request and receive a mid-year Individual Professional Development Meeting between December and March.

Teachers who have been rated Effective for any of the Danielson standards in their formal observation/s and wish to be considered for a final rating of Highly Effective may request an additional formal observation and/or a professional development plan to provide specific guidance for improving their professional practice to Highly Effective levels.

Teachers who are evaluated as Highly Effective in any of the standards defined in the Danielson rubric or in their annual APPR will be encouraged to share their expertise with colleagues, including but not limited to methods such as classroom visits or leadership of professional development sessions.

• **Description of the Teacher or Principal Improvement plan and process for developing and monitoring an individual educator's TIP or PIP, which must be in place for educators with a D or I rating within 10 school days from the opening of classes in the school year following the performance year.**

Teacher Improvement Plans:

- If during any teacher observation or other documented professional interaction, the principal determines that there is a possibility that administration will rate a teacher as Developing or Ineffective as their final rating, or if a Teacher receives a final rating of Developing or Ineffective, a Teacher Improvement Plan (TIP) must be created to help foster teacher growth.
- The TIP shall include the following:
 - Areas of growth, where specific improvement is needed and supporting evidence;
 - Specific suggestions for improvement;
 - Resources to be utilized to assist with the improvement; and
 - The means by which improvement will be measured (including additional observations or other documentation of improved practice).
 - Interim dates at which progress in meeting the TIP will be reviewed
 - A reasonable date for achieving the specified improvement(s).
 - A written notice that further discipline up to and including termination may follow unless the employee's performance improves.

The timeline for creating a TIP is as follows:

1. During a formal observation or other documented professional interaction, an administrator documents ineffective teaching practice at a level which would lead to a final rating of Ineffective or Developing if not improved.
 2. Within three days of the documented interaction, or within 10 days of the start of the school year after a teacher has received a final rating of Developing or Ineffective, the administrator and teacher have a conference at which the documentation of ineffective or developing teaching is discussed and a meeting to develop a TIP is scheduled. The union may attend this meeting at the teacher's request.
 3. Within two weeks of the formal observation or other documented professional interaction, or within 10 days of the start of the school year after a teacher has received a final rating of Developing or Ineffective, written documentation of the developing or ineffective teaching practice and a draft TIP plan will be provided for the teacher's review.
 4. Within one week of the provision of the written documentation and draft of the TIP plan, the teacher will meet with the administration and the staff developer to finalize and sign the TIP plan. The union may attend this meeting at the teacher's request.
 5. At interim and final review dates, the TIP can be closed or extended at the discretion of the administration. The union may attend interim and final reviews of the TIP at the teacher's request.
- If any teacher does not work with the school administration to develop or implement a TIP under the above circumstances, the school administration has the discretion to either develop an alternative TIP or to terminate their employment.
- ☐ The length of a TIP will vary depending on the areas identified for improvement and the specific resources and strategies necessary to carry out the plan. The principal will take affirmative action to give support to help the teacher correct any cited deficiencies. Such action shall include specific recommendations for improvement, direct assistance in implementing the

recommendations, and adequate release time for the teacher to visit and observe similar classes in Amber.

- ☐ In the event a teacher on a TIP has not improved their performance to at least “Developing” within the timeline established in the TIP, Amber may choose to either extend the timeline or to terminate and/or not re-hire for the following year. In cases where a teacher demonstrates documented but incomplete improvement after the initial timeline, the timeline may be extended. For teachers with at least three consecutive or non-consecutive years of previous ratings of “Effective” or “Highly Effective” (or “Satisfactory” or “Satisfactory with elements of Excellence” under the prior evaluation system) at Amber, the combined TIP timelines (including any extensions) will allow at least 90 instructional days for improvement before a termination decision is made. The start date for the TIP shall be considered the date upon which the teacher signed the initial TIP plan.

• How appeals of annual performance evaluations will be handled in a timely, expeditious way.

Teachers and administrators will make every effort to come to consensus in cases of differences of opinion regarding the setting of appropriate SLOs, and teachers may request the presence of a union representative in meetings to discuss SLOs. In cases where a teacher and administrator cannot come to consensus on appropriate SLOs and targets, the teacher shall have the option to document progress towards both the SLO selected by the administrator and an alternative SLO which they feel is appropriate. If the difference between these SLOs results in a lower final rating, the teacher will have the right to appeal that rating under the provisions of the CBA.

The appeals process for elements of performance evaluations which do not result in disciplinary action will follow the procedures described in Article 3 of the Amber CBA for other non-disciplinary appeals.

In cases of termination or decisions not to re-hire, the following procedures will apply:

1. The teacher will be given written notice of the termination on or before June 15th of that school year;
2. The notice shall include the reason for the action and notification of an opportunity to appeal, pursuant to Article 3 of the Amber CBA.

• How District or BOCES will ensure that all evaluators are properly trained and that lead evaluators, who complete an individual’s performance review, will be “certified” to conduct evaluations, consistent with Regulations. Evaluator training must address specific considerations in evaluating teachers and principals of English language learners and students with disabilities.

Evaluators will attend all sessions offered by the state for training in the evaluation guidelines and practices required under the state law. In addition, the school and the union will collaborate in arranging additional training as needed to ensure consistent and meaningful evaluation for all teachers, including but not limited to training in the Danielson standards and procedures and in specific considerations for evaluation of teachers of English language learners and students with disabilities.

• How District or BOCES will ensure that lead evaluators maintain inter-rater reliability over time, and how they will periodically recertify lead evaluators.

Evaluators will attend all sessions offered by the state for training in the evaluation guidelines and practices required under the state law. In addition, the school and the union will collaborate in arranging additional training as needed to ensure consistent and meaningful evaluation for all teachers, including but not limited to training in the Danielson standards and procedures and in specific considerations for evaluation of teachers of English language learners and students with disabilities.

Other Requirements in Regulations

- Annual professional performance reviews for each educator must be completed and results provided to the educator by **September 1** of the school year following the evaluation year. The rating on the “other measures” subcomponent and any of the other two subcomponents for which the evaluation rating is available shall be computed and provided to the educator before the end of the school year for which the performance is being measured.
- SED will conduct ongoing monitoring and may require corrective action around evaluation implementation including requiring additional professional development or in-service training, and/or utilizing independent trained evaluators to review the efficacy of the evaluation system.
- Nothing in the statute or regulations shall be construed to affect the statutory right of a school district or BOCES to terminate a probationary teacher or principal for statutorily and constitutionally permissible reasons other than the performance of the teacher or principal in the classroom or school, including but not limited to misconduct.
- Nothing in the statute or regulations shall be construed to alter or diminish the authority of the governing body of a school district or BOCES to grant or deny tenure to or terminate probationary teachers or probationary building principals during the pendency of an appeal pursuant to this section for statutorily and constitutionally permissible reasons other than the teacher’s or principal’s performance that is the subject of the appeal.



AMBER CHARTER SCHOOL

Fiscal Policies and Procedures

MANUAL FOR AMBER CHARTER SCHOOL

REVISED AS OF 12.01.2008

2008

Amber Charter School

Fiscal Policies and Procedures

MANUAL FOR AMBER CHARTER SCHOOL

Revised by the fiscal department of Amber Charter School
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Chapter 1 Introduction

Amber Charter School 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 Financial Accounting Standards Board (FASB) rules and regulations. As a nonprofit organization, Amber Charter School is entrusted with funds granted by government agencies, private foundations and individual contributors and they must adhere to the highest of standards of accounting.

Amber is a Charter School. Its application for charter was approved by its charter authorizer, SUNY.

Date of Charter: March 31, 2005

As a Charter School, Amber is subject to the regulations prescribed in New York State legislation for all charter schools (including regulations related to fiscal soundness), as described in the next section.

Charter Schools' Public Accountability and Regulatory Requirements

Charter schools are public schools that operate independently and autonomously of local school districts and are created by civic leaders, community groups, educators and parents interested in bringing public school choice to their communities and improving student achievement, particularly for children at-risk of academic failure. The New York Charter Schools Act of 1998 authorizes the creation of charter schools.

Under the Charter Schools Act, the Board of Trustees of the State University of New York (the State University Trustees), the New York State Board of Regents (the Regents), or local boards of education - in New York City, charter authorizer (SUNY, DOE, SED) power is vested in the Chancellor (Charter authorizer (SUNY, DOE, SED) Agencies) have the authority to create charter schools and thereafter to renew charters of successful schools. Additionally, existing traditional district-operated schools can seek to convert to charter status through their governing boards of education.

The Charter authorizer (SUNY, DOE, SED) Agencies have various oversight responsibilities under the act, including reviewing applications to establish charter schools, as well as applications to renew the charters of existing charter schools. The Charter authorizer (SUNY, DOE, SED) school is responsible for providing ongoing oversight of the charter schools it authorized.

Charter schools are public schools in every respect. They are open to all children, non-sectarian in their programs, and funded with public tax dollars. Unlike district operated schools, which are run by a board of education, each public charter school is governed by an independent board of trustees which is directly responsible for school performance. That board, while independent, is subject to public oversight. Just as traditional school boards, charter schools' boards of trustees must adhere to New York State's Freedom of Information and Open Meetings laws.

Public charter schools and their boards are also subject to oversight and monitoring by the Charter authorizer (SUNY, DOE, SED) Agencies. Additionally, all public charter schools in New York State are jointly subject to inspection and oversight by the State Education Department (SED) on behalf of the Board of Regents. As such, charter schools, though free from many mandates, are more accountable to the public than district-run schools.

Charter schools are also accountable for academic goals, as agreed upon in their charter approval. In exchange for the freedom from many state rules and regulations that the Charter Schools Act provides, a public charter school receives a charter, or contract, of up to five years and must meet stated student performance *goals that are set forth in its "Accountability Plan," as well as standards regarding its fiscal, legal and organizational effectiveness, or risk losing its charter or not having its charter renewed.* This tradeoff—freedom from rules and regulations in exchange for unprecedented accountability for student performance, and real consequences for failure—is one of the most significant differences between public charter schools and other public schools administered by traditional school districts.

The Charter authorizer (SUNY, DOE, and SED) Agencies, jointly with the Board of Regents, are required to provide sufficient oversight to ensure that each charter school that they have authorized is in compliance with applicable law and the terms of its charter. The agencies, together with the State Education Department, monitors compliance through a monitoring plan (which is contained in the schools' charter itself) and other methods.

Statutory and Regulatory Considerations

Charters may be renewed, upon application, for a term of up to five years. The Act prescribes the following requirements for a charter school renewal application:

- a report of the progress of the charter school in achieving the educational objectives set forth in its charter;
- a detailed financial statement that discloses the cost of administration, instruction and other spending categories for the charter school that will allow a comparison of such costs to other schools, both public and private;

Copies of each of the annual reports of the charter school including the charter school report cards and certified financial statements, and indications of parent and student satisfaction. Each Charter authorizer 's (SUNY, DOE, SED) processes and procedures mirror these requirements and meet the objectives of the Act. As a charter authorizer (SUNY, DOE, and SED) entity, the school can renew a charter so long as the Trustees can make each of the following findings:

- the charter school described in the application meets the requirements of the Act and all other applicable laws, rules and regulations;
- the applicant can demonstrate the ability to operate the school in an educationally and *fiscally sound* manner; and
- granting the application is likely to improve student learning and achievement and materially further the purposes of the Act.

Evaluating Fiscal Soundness of Charter Schools - Benchmark Standards

One of the renewal benchmarks for Charter Schools is their fiscal soundness. The following are the benchmark standards that Amber Charter School and all Charter Schools must adhere to for renewal. These benchmark standards are incorporated into Amber's fiscal policies and procedures.

Board Oversight

The board has provided effective financial oversight, including having made financial decisions that furthered the school's mission, program and goals.

Budgeting and Long Range Planning

The school has operated pursuant to a long-range financial plan. The school has created realistic budget that are monitored and adjusted when appropriate. Actual expenses have been equal to or less than actual revenue with no material exceptions.

Elements that should generally be present, and which the charter authorizer SUNY school looks for, include:

- Clear budgetary objectives and budget preparation procedures;
- The budget process starts early and input from board members, school administration and staff is solicited and considered in developing the budget;
- The school's long-range fiscal plan is compared frequently to actual progress and adjusted to meet changing conditions; and
- Budget variances are analyzed routinely and material variances are discussed and addressed at the board level including any necessary budget revisions.

Internal Controls

The school has maintained appropriate internal controls to detect and prevent loss of school assets. Transactions have been accurately recorded and appropriately documented in accordance with management's direction and laws, regulations, grants and contracts. Assets have been and are safeguarded. Any deficiencies or audit findings have been corrected in a timely manner. If findings are serious, the Board is strongly recommended to adopt a corrective action plan and submit to the charter authorizer SUNY entity upon request.

Elements that are generally present, and which the charter authorizer looks for, include:

- The school follows a set of comprehensive written fiscal policies and procedures;
- The school safeguards its assets;
- The school identifies and analyzes risks and takes actions to mitigate such risks;
- The school has controls in place to ensure that management decisions are properly implemented;
- The school monitors and accesses controls to ensure their adequacy;
- The school's Board members and employees adhere to a code of ethics;
- The school makes purchasing decisions that consider price, quality and dependability and makes purchasing selections with the intention of maintaining a top-quality school;
- The school ensures duties are appropriately segregated, or institutes compensating controls;

- The school ensures that employees performing financial functions are appropriately qualified and adequately trained;
- The school has systems in place to provide the appropriate information needed by staff and board to make sound financial decision and to fulfill compliance requirements;
- A staff member of the school reviews grant agreements and monitors compliance with all stated conditions;
- The school prepares payroll according to appropriate state and federal regulations and school policy;
- The school ensures that employees, board members and volunteers who handle cash and investments are bonded to help assure that safeguarding of assets; and
- The school takes corrective action in a timely manner to address any internal control or compliance deficiencies identified by its external auditors, State Department of Education, or the Charter authorizer, SUNY, school, if needed.

Financial Reporting

The school has complied with financial reporting requirements. The school has provided the charter authorizer, SUNY, school and the State Education Department with required financial reports on time, and such reports have been complete and have followed generally accepted accounting principles.

The following reports are filed in a timely, accurate and complete manner:

- Annual financial statement of audit reports, including federal Single Audit (A-133) if applicable;
- Annual budgets and cash flow statements;
- Un-audited quarterly reports of income and expense;
- Bi-monthly enrollment reports to the district and State Education Department; and
- Grant expenditure reports.

Financial Condition

The school is committed to maintaining adequate financial resources to ensure stable operations and has monitored and successfully managed cash flow. Critical financial needs of the school are not dependent on variable income (grants, donations and fundraising).

Elements of sound financial condition which the charter authorizer, SUNY, will look for include:

- The school maintains sufficient cash on hand to pay current bills and those that are due shortly; or maintains a Current Ratio (Current Assets/ Current Liabilities) of 2.0x or greater.

Additional financial ratio goals include:

- Debt to Asset ratio of less than or equal to 1.0x;
- Total program to educational services ratio over 70%;
- The school prepares and monitors cash flow projections;
- The school provides education services at a level that meets the needs of all students demonstrated by student results and meet or exceed state standards; and
- The school accumulates unrestricted net assets that are equal to or exceed 2.0% of the school's operating budget for the upcoming fiscal year.

Internal Control Structure

The internal control structure consists of policies and procedures that have been established to achieve Amber's objectives. More specifically, the control structure represents those policies and procedures that affect Amber's ability to process, record, summarize, and report financial information. This structure is established and maintained to reduce the potential unauthorized use of Amber's assets or misstatement of account balances.

The internal control structure is comprised of the following basic elements: (1) the control environment; (2) the accounting system; (3) control procedures; and (4) accounting cycle.

(1) The Control Environment

The control environment reflects the importance Amber places on internal controls as part of its day to day activities. Factors that influence the control environment can include management and Board philosophy; organizational structure; ways of assigning authority and responsibility; methods of management and control; personnel policies and practices; and external influences such as significant funder expectations.

(2) The Accounting System

The accounting system comprises the methods and records used to identify, assemble, classify, record, and report accounting transactions. At a minimum, it is set up to:

- Identify and record all of Amber's transactions;
- Describe the transactions in enough detail to allow classification for financial reporting; and
- Indicate the time period in which transactions occurred in order to record them in the proper accounting period.

(3) Control Procedures

Control procedures are the procedures set up to strengthen Amber's internal control structure and thus safeguard the school's assets. They are divided into the following:

- **Segregation of Duties:** Allocation of tasks is needed so that one individual does not have the ability to both make an accounting error (either intentionally or unintentionally) and also cover it up. This principle requires that the person with physical access to cash or other movable assets should not also be involved in the related record keeping.
- **Restricted Access:** Physical access to valuable and movable assets is restricted to authorized personnel.
- **Document Control:** To ensure that all documents are captured by the accounting system, all documents must be pre-numbered and the sequence for documents must be accounted for.
- **Processing Control:** This is designed to catch errors *before* they are posted to the general ledger. Common processing controls are the following: batch controls; source document matching; clerical accuracy of documents; and general ledger account code checking.
- **Reconciliation Controls:** These are designed to catch errors *after* transactions have been posted and the general ledger has been run, reconciling selected general ledger control accounts to subsidiary ledgers.

(4) The Accounting Cycle

The overall purpose of an accounting system is to accurately process, record, summarize, and report transactions of Amber Charter School.

The component bookkeeping cycles fall into one of four primary functions:

Revenue, accounts receivable, and cash receipts

Key steps in this area are:

- Processing cash receipts
- Making deposits
- Recording cash receipts in the general ledger and subsidiary records
- Performing month-end reconciliation procedures

Purchases, accounts payable, and cash disbursements

Key steps in this area are:

- Authorizing the procurement of goods and/or services
- Processing purchase transactions
- Processing invoices
- Issuing checks
- Recording checks in the general ledger and in cash disbursements journals
- Performing month-end reconciliation procedures
- Year-end reporting-1099 forms

Payroll

The payroll process consists of processing payroll and remitting amounts due to employees, the government, and other agencies such as health insurers, retirement plan trustees, etc.

Key steps in this area are:

- Obtaining and gathering information for processing
- Preparing payroll checks and depositing payroll taxes
- Performing month-end reconciliation procedures
- Preparing quarterly payroll tax returns
- Preparing W-2s, the W-3, and other annual payroll tax returns

General Ledger and Financial Statements

The general ledger process consists of posting the period's transactions to the general ledger and preparing the financial statements.

Key steps in this area are:

- Preparing monthly journal entries

- Reconciling bank accounts and other general ledger accounts
- Reviewing general ledger activity and posting adjusting journal entries
- Producing the general ledger and financial statements

Fiscal Organization and Other Matters

Financial Team

The fiscal management of Amber Charter School involves the following positions:

- Board of Trustees
- Finance Committee
- Head of Head School/Principal
- Chief Financial Officer
- Finance Assistant

If the school contracts a Charter Management Organization (CMO) or another firm for outsourced fiscal and administrative management services, a representative from the CMO should be part of the team.

Fiscal year

The Schools' fiscal year is July 1 to June 30.

Accrual Accounting

The school uses the accrual basis of accounting when preparing its financial statements. Unlike cash accounting, which records revenue and expenses when they enter or leave the organization's cash accounts, accrual accounting utilizes the concept of matching, to match revenues and expenses to the time period for which they were utilized.

Board's Oversight Role

The day-to-day fiscal responsibilities of Amber Charter School are assigned to its Chief Financial Officer. However, ultimate responsibility for the overall management of the organization rests with the Board of Trustees. The Board Treasurer serves as the key financial contact. Accounting and auditing standards also require the establishment of a Finance Committee to assure the school's financial health and compliance.

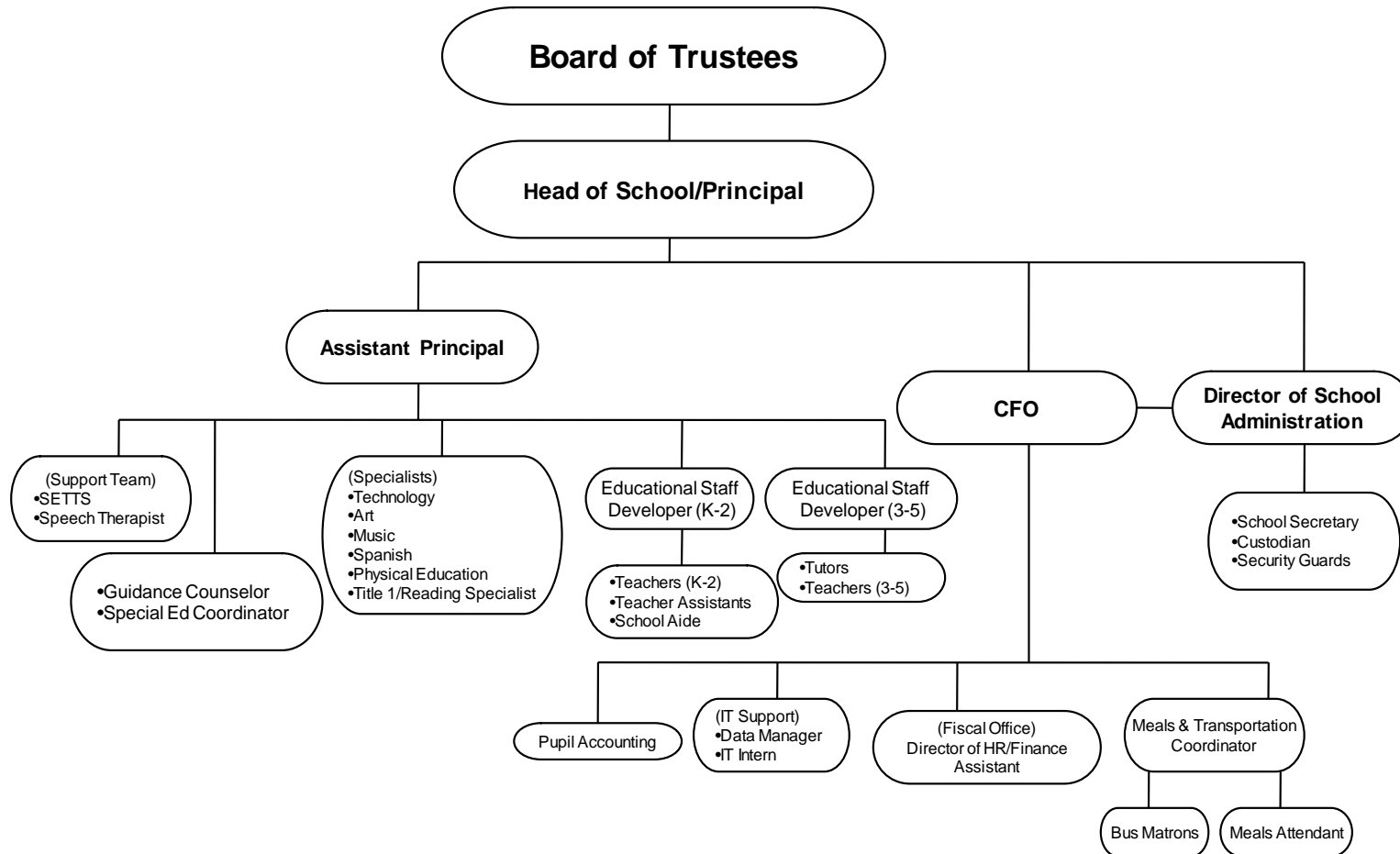
Federal Guidelines

The Federal Office of Management and Budget, as well as other federal agencies, publish a number of documents that apply to non-profit organizations, which should be consulted when developing fiscal policies and procedures. OMB circulars A-110, A-122 and A-133 can be downloaded from the Internet at www.whitehouse.gov/omb. Other regulations are found in the Federal Register, which is also available through the web site.

Forms

This manual includes examples of forms that will be needed to implement these fiscal policies and procedures. The forms are grouped by chapter and may be found in the [Appendix](#). Other forms are available on the indicated websites.

AMBER CHARTER SCHOOL ORGANIZATIONAL CHART 2008-2009



Fiscal Revised 09/01/2008



Chapter 2 REVENUE, CASH RECEIPTS, AND LUNCH PROGRAM

Revenue and cash receipts

This section outlines the policies and procedures for the following areas in processing revenue and cash receipts:

- Opening the mail
- Gathering data for deposit to the bank
- Processing and recording daily deposits

Key School Policies

- All mail is directed to the Administrator, who has no role or involvement in the fiscal area of the company.
- Checks received are logged, and the log is submitted to the accounting department on a daily basis.
- All checks are restrictively endorsed and deposited as soon as possible after receipt.
- Deposits are verified against authenticated deposit slips before they are filed.
- Entries to the cash receipts journal are verified by comparison to batch totals.
- Quarterly financial reviews are performed and appropriate adjustments recorded to present operating results on the accrual basis of accounting.
- All amounts due to the school are reviewed for likelihood of collection, and appropriate reserves for uncollectible accounts are established and monitored on a quarterly basis.

Internal Control Objectives

- Access to cash, cash receipts, and cash disbursements records is restricted.
- Cash receipts are recorded correctly as to account, amount, and period and are deposited promptly intact.
- Cash receipts are applied properly to fund and donor/funder balances.
- Cash disbursements are made for goods or services authorized and received.
- Cash disbursements are recorded correctly as to account, amount, and period.
- Cash balance records are reconciled regularly to bank statements and differences are investigated.

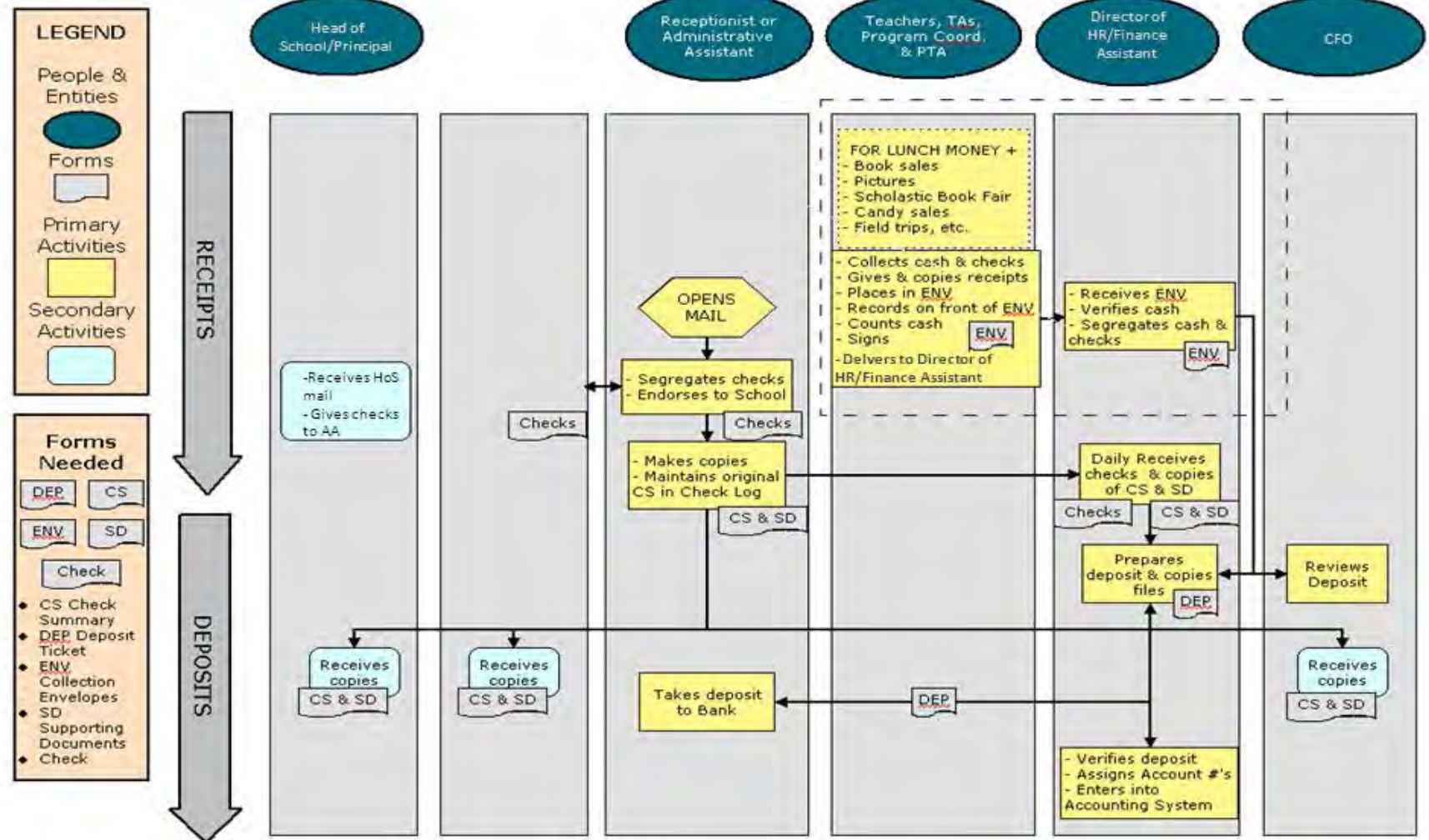
Segregation of Duties for Revenues & Cash Receipts

Amber Charter continues to review how it segregates duties of its staff with fiscal responsibilities.

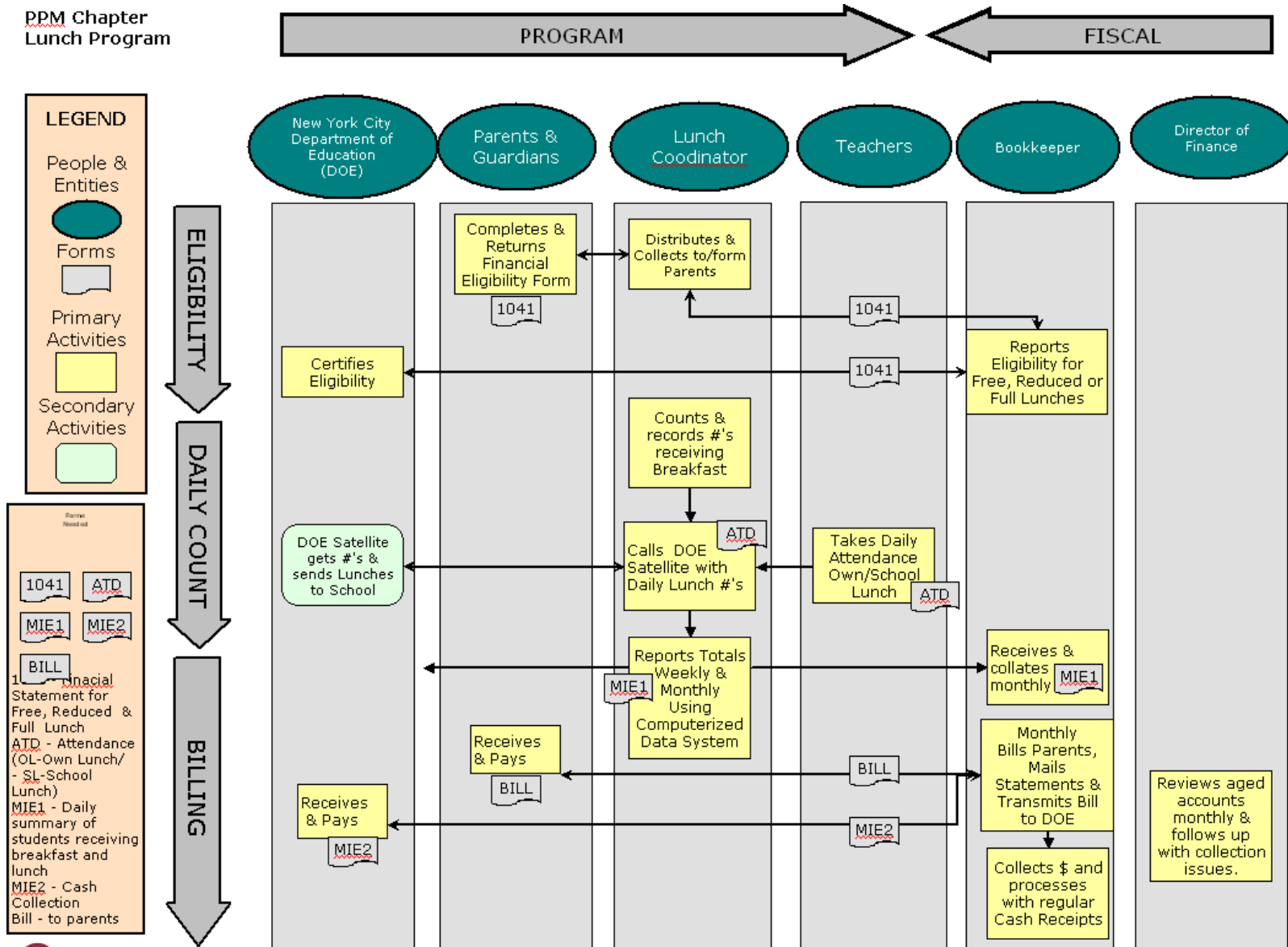
One important preventive control is segregation of duties. Segregation of duties is primarily designed to prevent fraudulent activity from occurring and remaining undetected.

Management can achieve this control objective by dividing work among two or more people. Under a proper segregation of duties, no one person should control all the key aspects of a transaction or event, and the functions performed by one person may be checked by the functions performed by the other. In general, the transaction approval function, the accounting/reconciliation function and the asset custody function should be separated among employees 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.

PPM Chapter 2 Revenue & Cash Receipts



PPM Chapter Lunch Program



School Procedures to Implement These Policies

Controlling the Mail-Opening Process

The School secretary (or another staff member who is independent of the fiscal department) opens the mail, except for mail addressed to the Board of Trustees, and segregates checks from all other mail.

A summary of the checks received is prepared by the School Administrator, and a copy is forwarded to the Chief Financial Officer and the principal. See Appendices for a sample Daily Check Summary/Log. A copy is also provided to the Finance Assistant along with the actual checks and supporting documentation accompanying the checks for all contribution deposits. The Chief Financial Officer is responsible for the completion of a Cash Receipt Summary for all donations of \$5,000 or greater, or any donation of lesser value with specific donor restrictions as to its use.

The School Administrator restrictively endorses each check, using a stamp that indicates "For Deposit Only," with Amber Charter's name and bank account number.

Controlling the Revenue from Special Events

Amber conducts a variety of special events on an ongoing basis that involve the receipt of cash and checks. Examples of these events include Book Sales, Pictures, Scholastic Book Fair, Candy Sales and Field Trips. Teachers, Finance Assistant, Teaching Assistants, the Program Coordinator, Director of Business Development and members of the PTA and other volunteers may be responsible for collection of cash and checks related to these Special Events. Each person responsible for collecting cash and checks (the "collector"), receives the cash and checks from the "student/contributor" and provides a receipt to the person presenting the cash or check. These receipts are multi copy and pre-numbered. The collector places the cash and checks in a Special Event Collection Envelope, along with a copy of the receipt, and records the sale or contribution on the form printed on the front of the Special Event Collection Envelope. At the close of the collector's shift, he/she counts the cash and checks, notes the cash totals on the front of the Envelope, signs and seals the Envelope and delivers it to the Finance Assistant. The Finance Assistant receives the Envelopes, verifies the cash and checks amounts, segregates cash and checks, restrictively endorses the checks, and prepares a deposit ticket, supported by the Envelope documentation.

Deposits

Based on the Daily Check Summary (see form in Appendices) received from the School secretary, and Collection Envelopes received for lunches, books, field trips, etc, the Finance Assistant prepares the deposit ticket and makes a copy for the files, along with copies of each check received, and copies of all supporting documentation.

The Finance Assistant takes the deposit to the bank daily, or as soon thereafter as possible. Deposits that cannot be taken to the bank on the same day are kept in a safe or other secured/locked location. Access to the safe is restricted to the Finance Assistant, the Chief Financial Officer and the Principal.

Daily cash receipts exceeding \$1,000 must be deposited on the same day as received.

Verifying the Deposit Amount

The Finance Assistant receives a validated deposit slip from the bank, and gives it to the Chief Financial Officer, who compares it to the duplicate deposit slip amount to ensure that the entire deposit was in fact deposited. The validated deposit slip is then returned to the Finance Assistant and filed in the month's cash receipts binder.

Processing and Recording Receipts

Processing

The Finance Assistant is responsible for processing and recording receipts. Receipts are batched for purposes of entry into the accounting system, using the deposit ticket itself as the basis for the batch. This batch system is to include:

Cover Sheet

This sheet documents the status of a batch's processing. It contains a unique batch identification number and has space to document the steps taken and a place to record the batch total.

Batch Total

This is computed by adding the total of the deposit ticket. The accounting system calculates the total debit to cash. When both totals agree, there is assurance that all the amounts have been entered accurately and only once.

Cancellation

A note is made on each receipt remittance to indicate that it has been entered into the system.

Recording

When the batch has been entered, a cash receipts journal is printed and compared with the batch total. Any differences are investigated and resolved prior to closing the month. The Finance Assistant assigns the appropriate revenue account number.

Maintaining Cash Receipts Documentation

Remittance batches, with their batch cover sheet, are filed in chronological order by month. These are transferred to storage after the annual audit is completed. Amber Charter follows record retention policies satisfying local government and tax regulations. See section 15 of this manual, which outlines Amber's current record retention policies.

Processing of Wire Transfers

Government contracts which execute payments via wire transfer remit a wire transfer advice indicating the date and amount of the funds to be deposited in Amber Charter School's account. This wire transfer advice is processed in the same fashion as a deposit to the bank, with mail opened by the School Administrator and delivery of wire transfer notices to the Chief Financial Officer.

Lunch Program

The Lunch Program at Amber Charter is provided for its students in accordance with the City of New York Child Nutrition Program. Under this program, students are eligible for free or reduced breakfasts and lunches. The process for the lunch program includes three parts:

- Determination of eligibility for free or reduced lunches,
- Daily count of students receiving breakfasts and lunches at Amber, and
- Billing parents and the Department of Education and collecting payments.

Determination of Eligibility for Free or Reduced Lunches

The Amber Charter School's meal coordinator annually distributes Financial Eligibility Forms (Free/Reduced price application form) to parents at the beginning of the fall school term. Parents complete and return the forms to the Meal Coordinator who sends the information the parent's eligibility for Free, Reduced for Full lunches to the NYC Department of Education, which certifies eligibility.

Daily count of students receiving breakfasts and lunches

A designated school employee counts and records the names and number of students receiving breakfast daily. The Teachers take daily attendance of their students. Included in the daily attendance is the student's declaration of whether they have brought their "own lunch" or intend to eat the "school lunch." Teachers send their classroom count of "Own lunch/School Lunch" totals directly to the Meal Coordinator following each morning's attendance. The Meal Coordinator totals how many lunches and breakfasts are needed for each day of a full month and sends information to the vendor. The vendor via e-mail/mail sends a calendar showing what will be delivered on a daily basis. The Meal Coordinator will need to inform the vendor within 48 hours for any changes, daily breakfast and lunch count, or change of food for that day to provide them with the number of lunches to be delivered to Amber Charter.

Billing

The Meal Coordinator keeps daily records on each student, and reports the totals, on a monthly basis to the Chief Financial Officer. The Finance Assistant monthly prepares billing statements to parents for "reduced and full" students. The billing statements are reviewed and initialed by the Chief Financial Officer, prior to being mailed by the Finance Assistant. Parents may make payments for school lunches by cashier's check or money order.

The Finance Assistant monthly prepares documentation on eligible students receiving free and reduced lunches to the Child Nutrition Program, with requests for reimbursement. The Chief Financial Officer reviews and initials the reimbursement request prior to its transmittal to the Child Nutrition Program by the Finance Assistant.

The Chief Financial Officer reviews aged accounts monthly, and follows up with collection issues. On an annual basis, the Board Finance Committee reviews aged receivables for school lunches in excess of 180 days, determining whether to write off the receivable as a bad debt, or to pursue further collection efforts.

Management of Cash

This section outlines the policies and procedures employed in Amber Charter's management of cash:

- Development and update of Amber Charter's cash flow model
- Handling of bank reconciliations

Key School Policies

- The school maintains adequate financial resources to ensure stable operations. Amber Charter School monitors and successfully manages cash flow. Critical financial needs of the school are not dependent on variable income (grants, donations and fundraising);
- The school maintains sufficient cash on hand to pay current bills and those that are due shortly;
- The school prepares and monitors cash flow projections;
- The school provides education services at a level that meets the needs of all students demonstrated by student results and meet or exceed state standards;
- The school accumulates unrestricted net assets that are equal to or exceed two percent of the school's operating budget for the upcoming year;
- The cash flow model is created on an annual basis as part of the annual budget process;
- The cash flow model is updated on a monthly basis given all the information available at that time; and
- Bank accounts must be reconciled on a monthly basis. A copy of the monthly bank reconciliation is provided to the Chief Financial Officer and initialed for approval.

School Procedures to Implement These Policies

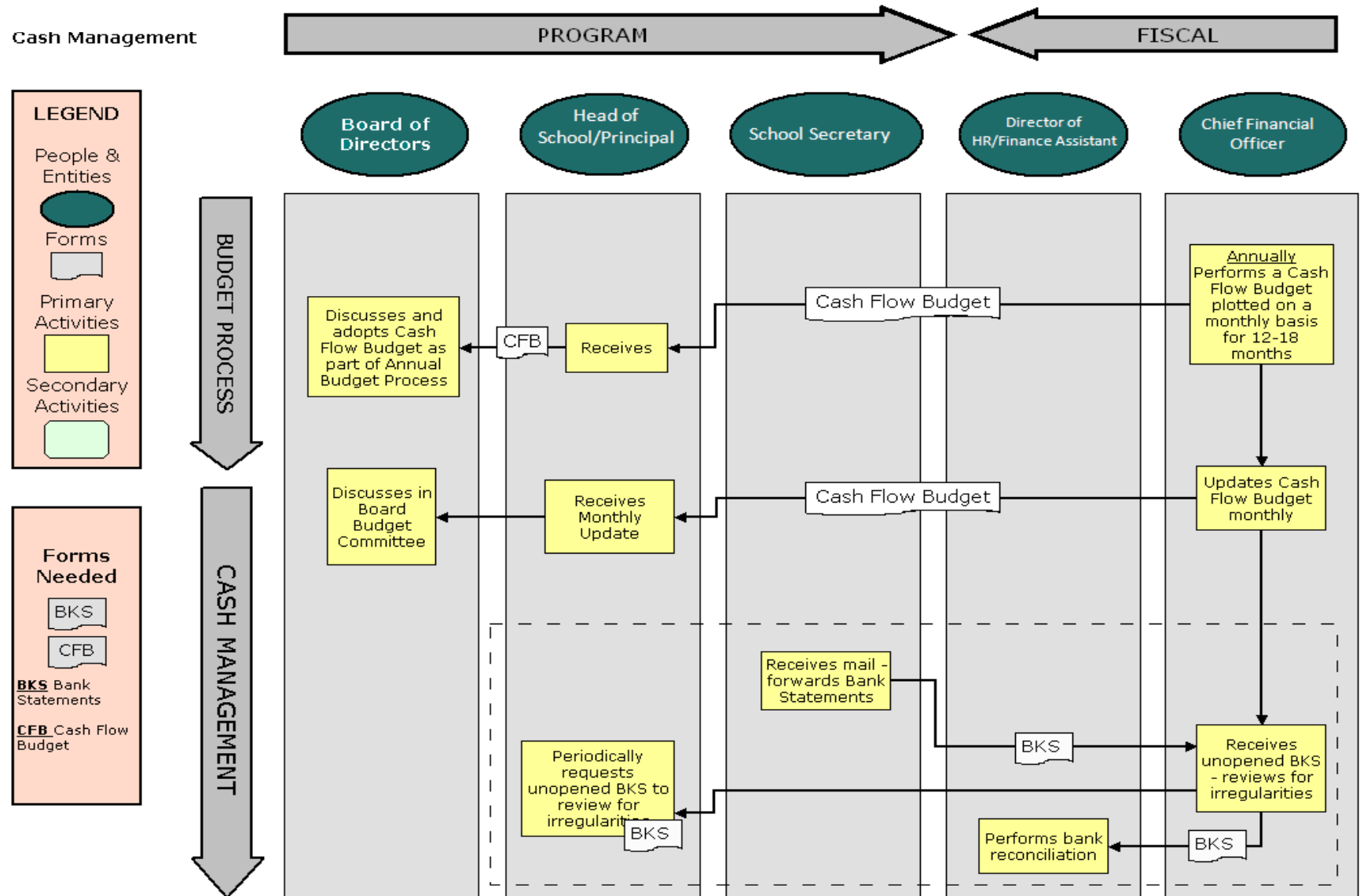
Cash Flow Model

On an annual basis, as part of the budget process, the Chief Financial officer prepares an annual cash flow worksheet where the expenditures for Amber are first plotted on a monthly basis, flowing into a twelve-month model, as needed. Once the expenditures are plotted on this timeline, in conjunction with the Principal, the projected revenue flows are also plotted on a timeline. This cash flow model indicates, at an early point, the months during which Amber Charter School could potentially face constrained cash flow issues.

On a monthly basis, once the accounting close has been completed, the Chief Financial Officer updates the cash flow model given all information available to him/her as of that time, and forwards the model to the Principal for comments/additions. In the event of a critical situation, this will be discussed with the Board Treasurer immediately, and remedies will be pursued. Such circumstances will be addressed at the next scheduled Board meeting.

In conjunction with the Board of Trustees, Amber Charter School will address these cash flow issues and contact banking institutions and current funders, as deemed appropriate.

Cash Management



Bank Reconciliation

All bank statements are mailed directly to the Chief Financial Officer. The statements are opened by him/her and reviewed for unusual activity. Following this review, the bank statement and cancelled checks are forwarded to the Finance Assistant, as soon as possible, for review and reconciliation to the accounting records. The Finance Assistant's review includes:

- Comparison of canceled checks with the disbursement journal as to number, date, payee and amount.
- Accounting for the sequence of checks
- Examines cancelled checks for authorized signatures, irregular endorsements or alterations.
- Reviews voided checks.

Any unusual items or exceptions are investigated and resolved by the Finance Assistant and communicated to the Chief Financial Officer via the reconciliation process.

A copy of the monthly bank reconciliation is provided to the Chief Financial Officer for approval on a monthly basis.

On a periodic, unannounced basis, the School Leader or the Board Treasurer will request to see the bank statement unopened. The School Leader or Board Treasurer will review the statement and cancelled checks in order to identify any irregularities.

Contributions

Pledges from Fundraising

Pledges are recorded in the software the Amber Charter School uses for fundraising, by the Finance Assistant, and are posted to the General Ledger when other gifts are posted. Pledges indicating a date for payment of the pledge are recorded as pledges receivable due in the month the pledges are promised. Pledges for a fiscal year, without stipulation of a payment schedule, are recorded as pledges receivable due at the end of the fiscal year.

The Finance Assistant prepares a monthly cash flow report that shows outstanding pledges for the finance department. Finance uses the report to update the Amber Charter School's monthly cash flow projections.

Finance Assistant generates an aged pledges receivable report monthly and meets with Amber Charter School's Head of School to review pledges receivable, for likelihood of collection. Finance Assistant ensures that appropriate reserves for uncollectible accounts are established and monitored on a quarterly basis with appropriate adjustments made to agency cash flow projections.

Cash Receipts from Fundraising

Cash receipts from fundraising are recorded in the Amber Charter School's fundraising software by the Finance Assistant, or another member of Amber's finance team. Information on donor timing and purpose restrictions is included in the record. The finance department reviews monthly the donor receipts for timing and/or purpose restrictions, and notes how they are to be recorded in Amber Charter School's assets. On a monthly basis, cash receipts from fundraising are compared to pledges receivable to ensure that pledges received are acknowledged.

Substantiation and Disclosure Requirements

Donor Acknowledgement Letters

For each **pledge** received, regardless of amount, Amber Charter School issues an acknowledgement letter to the donor. The acknowledgement includes:

- The amount of the pledge.
- A description of the promised timing for delivery of the pledged amount.
- A description of any timing or purpose restrictions that may be imposed by the donor.

For each **contribution** received, regardless of amount, Amber of Charter School issues an acknowledgement of receipt of the contribution to the donor. The acknowledgement follows these procedures:

At the close of the fiscal year, the Amber Charter School issues an acknowledgement letter to the donor. The acknowledgement includes:

- A description of the original pledge, its term and conditions.
- A record of contributions received to fulfill the pledge for the current fiscal year.
- A record of any outstanding pledge remaining to be fulfilled.

Pro-bono, In-Kind and Donated Services

Pro-bono and in-kind contributions are recorded when the donor's service has been completed or received. In cases in which donated services are provided on an ongoing basis, pro-bono and in-kind contributions are recorded annually.

An acknowledgment letter is issued to the donor for the pro-bono or in-kind contribution. Donated services received by Amber should be recorded at the fair value of the services:

- Create or enhance a fixed asset (such as land, building, equipment, etc), or
- Require specialized skills that the provider possesses and that normally have to be purchased. These services can be lawyers, accountants, architects, teachers, or other professionals.

Donated services meeting none of these two criteria are not recognized.

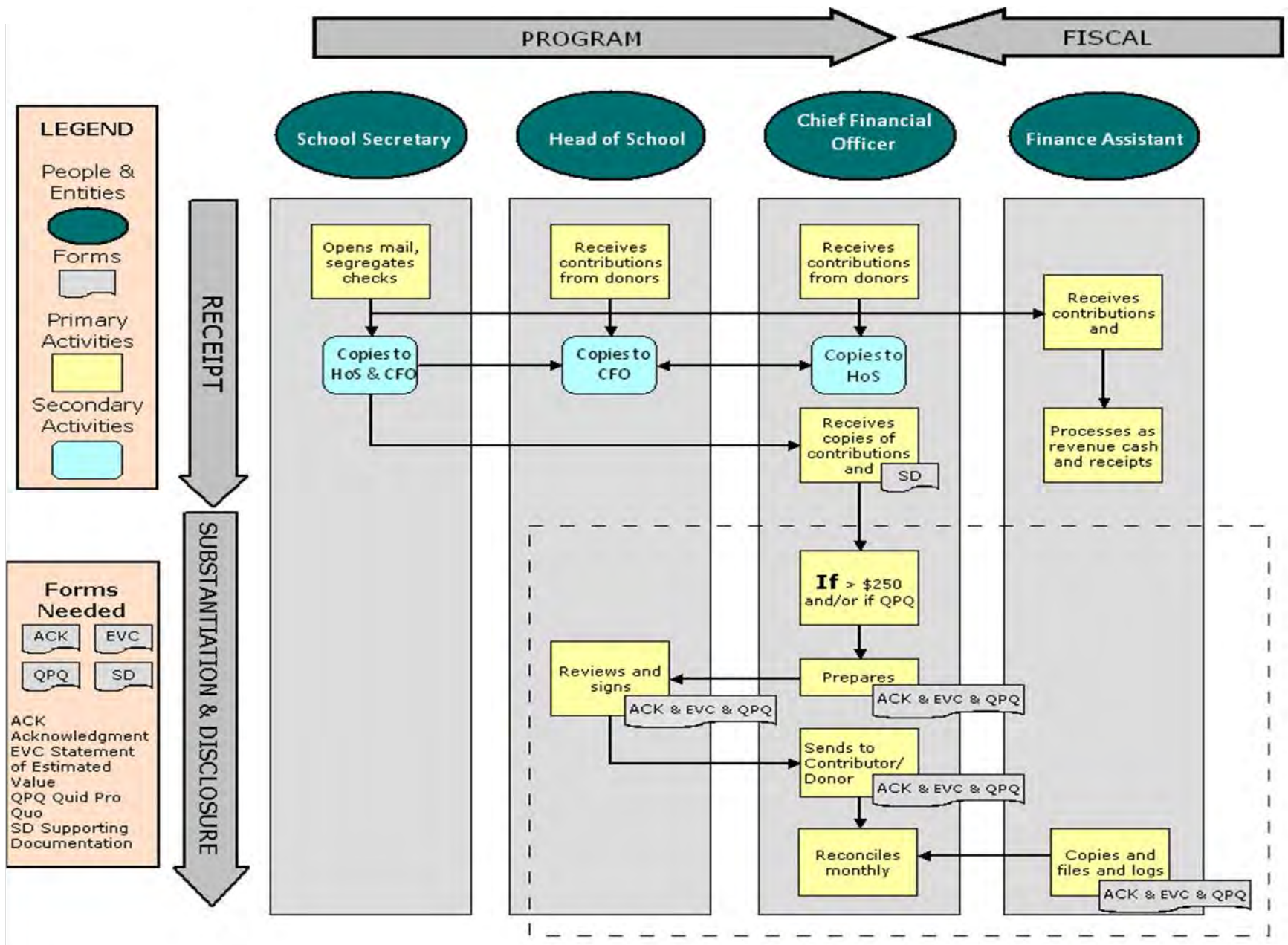
The fair value of donated services can be estimated using hourly rates, costs for similar projects, salary rates, etc. The Amber Charter School works with its external auditors to include the disclosures required in its annual financial statements. Disclosures should include information about the program or activity benefited and the nature and extent of contributed services. The amount recognized in the reporting period also should be disclosed.

Amber Charter works with its external accountants to include the disclosures required in its annual financial statements. Disclosures should include information about the program or activity benefited and the nature and extent of contributed services. The amount recognized in the reporting period also should be disclosed.

Quid Pro Quo Contributions

Some contributions are considered *quid pro quo* contributions since the donor receives something in return. All *quid pro quo* contributions greater than \$75^{*} must be accompanied by a memo which includes both the payment for the items received and an overall estimate of the fair market value of the goods or services received by the donor in return for the contribution. The donor will receive a charitable contribution deduction for the amount in excess of the fair market value of the goods or services received. This disclosure should explain that the amount of the deductible contribution for federal income tax purposes is the excess of the amount of money and/or property contributed over the value of the goods or services provided by the charity. The disclosure will be made in a manner that is reasonably likely to be noticed by the donor.

^{*} Threshold as established by the Internal Revenue Service



3

Chapter 3 PURCHASES AND CASH DISBURSEMENTS

This section outlines the policies and procedures for the following areas in Amber's procurement practices:

- Obtaining bids
- Issuance and monitoring of purchase orders
- Processing receipt of goods and merchandise
- Exemption from sales tax on purchases of goods for Amber Charter's internal use and services

Internal Control Objectives

- Goods or services are purchased only with proper authorization.
- Goods or services purchased represent allowable costs for reimbursement in accordance with the terms of that contract or grant agreement.
- Goods or services received are recorded correctly as to account, amount, and period.
- Recorded acquisitions are for goods and services received.
- Adjustments to vendor accounts are made in accordance with management's authorization.
- Only authorized goods and services are accepted and paid for.
- Access to purchasing, receiving, and accounts payable records is adequately controlled to prevent or detect duplicate or improper payments.

Potential Errors Internal Controls Are Intended to Prevent

- Purchases are incurred without prior authorization.
- Unallowable goods or services are purchased under a contract or grant agreement and will not be reimbursed.
- Purchases are recorded but goods or services are not received.
- Liability is incurred but not recorded.

- Purchase amount is recorded incorrectly.
- Purchase is charged to wrong account or is recorded in the wrong period.
- Purchases at other than favorable terms are made, through lack of bidding.
- Purchase discounts are taken but not recorded.

Key School Policies

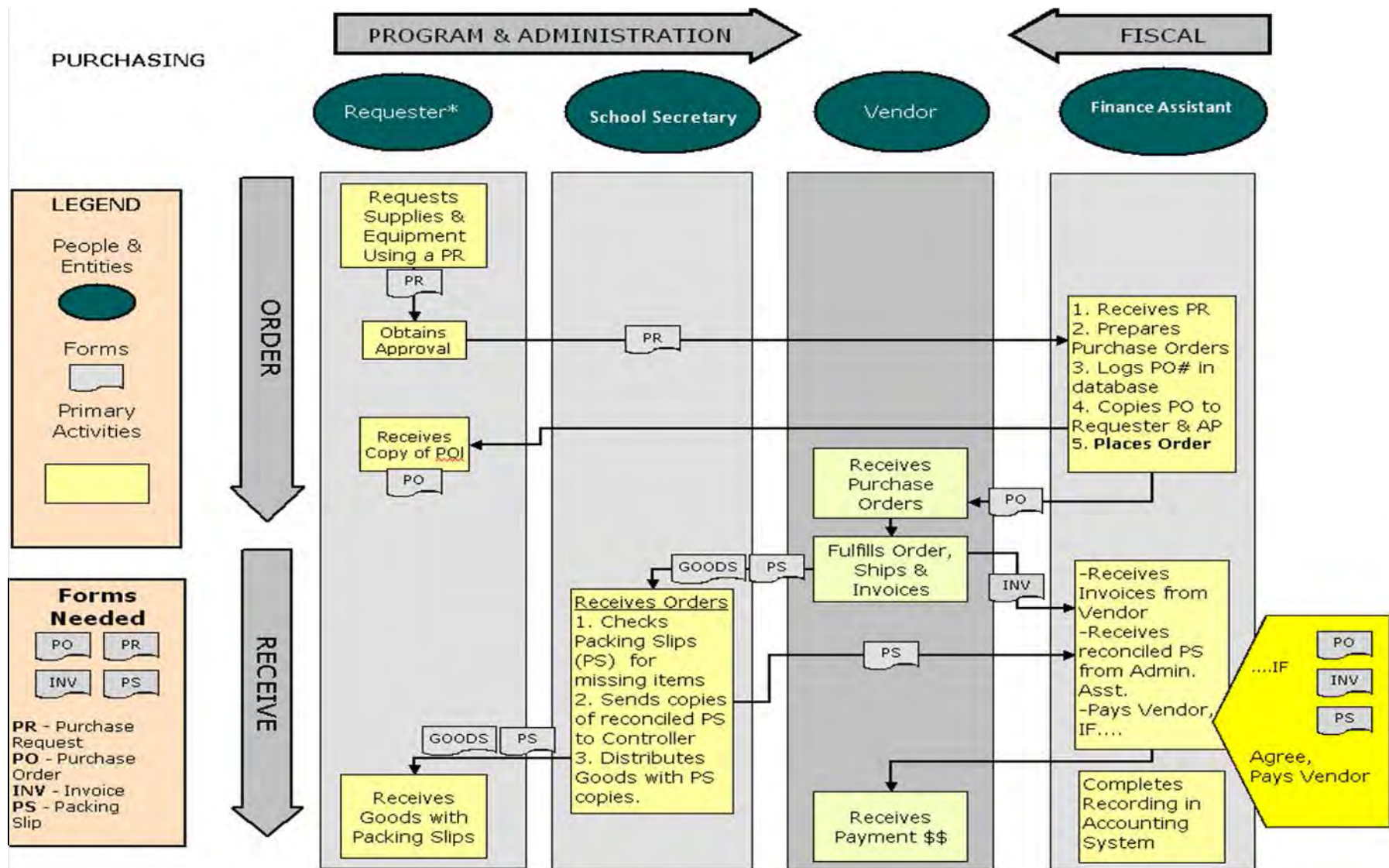
- A purchase request is to be prepared for all purchases of \$500* or more.
- Three written bids must be obtained for procurement of furnishings, equipment, and technology items.
- The receipt of goods by mail shipment or other carrier must be signed for and received by someone who is independent of both the ordering and payment process.
- Amber Charter will present a request for exemption from sales tax on all qualifying purchases.
- Additional procurement requirements for specific contracts are followed and procedures are modified as needed.

Segregation of Duties: Purchasing

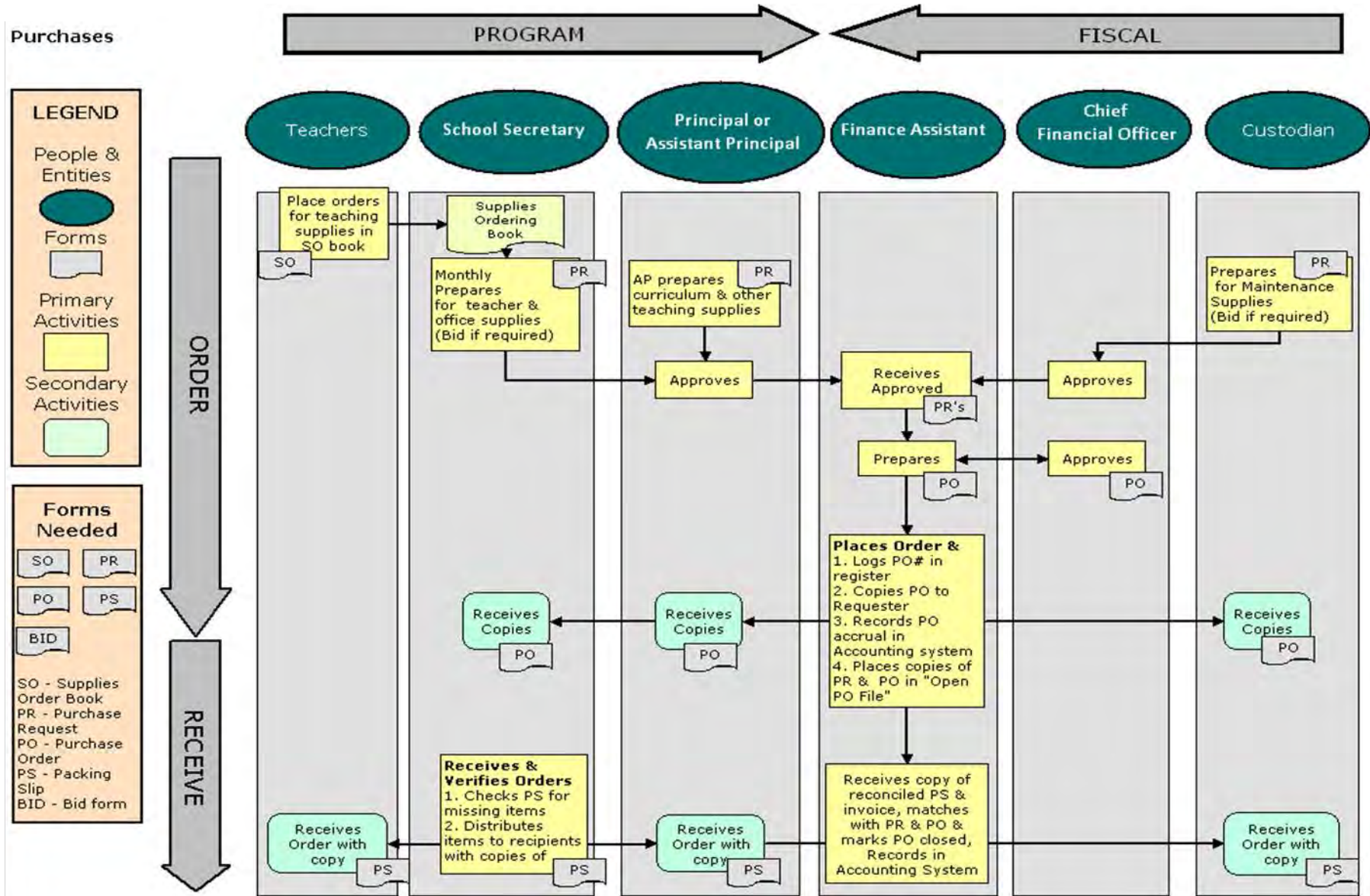
One important preventive control is the segregation of duties. Segregation of duties is primarily designed to prevent fraudulent activity from occurring and remaining undetected.

Management can achieve this control objective by dividing work among two or more people. Under a proper segregation of duties, no one person should control all the key aspects of a transaction or event, and the functions performed by one person may be checked by the functions performed by the other. In general, the transaction approval function, the accounting/reconciliation function and the asset custody function should be separated among employees 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.

* Internally set threshold. Federal procurement guidelines have increased capitalization threshold from \$500 to \$5,000. Funder requirements should also be taken into consideration.



*Requesters include: Principal for Curriculum Orders, Custodian for Maintenance Supplies, Administrative Assistant for Office and Teaching Supplies. Teachers use "Supplies Ordering Book" for special orders, maintained by Administrative Assistant.



School Procedures to Implement These Policies

Procurement Practices

All purchases except professional services, utilities, equipment or property rentals and other similar recurring expenditures should be obtained via a Amber Charter purchase request - purchase order procedures described below. Professional services, due to their nature, are monitored via contract management procedures, not the generation of a purchase order. Procurement selection will give consideration to all relevant factors (i.e., quality, service, cost, etc). Selection will **not** be based solely on cost.

Bids Required for Single Items Costing \$500 or more

A minimum of three bids or price quotes will be obtained for procurement single items having a cost of \$500 or greater. The assigned staff member will secure price quotes or bids and will provide documentation of the bids/quotes. Documentation may include one of the following:

- Published advertisements (including copies of web-based prices) of available product will be deemed acceptable evidence of bid price.
- Written bids, provided by the vendor via email/PDF, FAX, or regular mail.
- Oral quotes will be considered when supported by internal memorandum listing vendor, date, cost, and any other relevant facts.

Providing Rationale for Higher Bids

Whenever the vendor selected is other than the lowest bidder, reasons for the selection will be documented via internal memorandum and attached to the purchase documentation.

Approved Vendor List

The following Department of Education contracts are readily available for the Amber Charter School to use to procure most of its school supplies, technology, and some furniture. These contracts have both been publicly bid, meaning vendors had to compete and offer their lowest prices.

Staples provide a host of office and school supplies to NYC schools. The prices that are listed in a regular Staples catalog are not the prices that Amber will be charged. As part of Amber Charter School's access to this special Staples contract, Amber will receive direct Web access, specifically designed for the school, as well as hard copies of catalogs, which allow Amber Charter to purchase products at substantial discounts. If there are questions pertaining to this account contact Sergio Puentes of Staples Business Advantage at 800.950.1257 (ext. 4699). The Staples line of products can be purchased either by fax or over the Internet, although Staples prefers the Internet. Phone orders are not taken. There are customized pages for the Department of Education on the Staples website (www.stapleslink.com).

School Specialty provides an array of everyday school, art and instructional supplies and is also under contract with the Department of Education. School Specialty's e-commerce ordering site is www.schoolspecialtyonline.com. In order to set up an account with School Specialty, contact a School Specialty representative (contact: Miranda Black at 888.388.3224, ext.1625) to set up an account and fill out an account application form. This will enable the Amber Charter School to be entered into their system so that orders will be properly coded and linked to the Department of Education's regular discount. The NYC Department of Education has recently made other contracts available to NYC charter schools. Contact information is listed below for representatives at Dell and Xerox. Be sure to tell them that Amber Charter School is purchasing items for a New York City charter school. The representatives can provide a list of available items and prices.

DELL Computers: Contact David W. Thompson at Dell at (888) 977-3355 x7235460, David_W_Thompson@Dell.com

XEROX Photocopiers: Contact Doug Dirossi at Xerox at Doug.Dirossi@xerox.com

As public New York State schools, NYC charter schools are also eligible to utilize NYS procurement contracts. These contracts are made available through the NYS Office of General Services. Information can be found at www.ogs.state.ny.us/. A list of items available for purchase can be found at www.ogs.state.ny.us/purchase/pdfdocument/rptMailingListindex.pdf.

The Vendor Guide for New York State Charter Schools (March 2005) lists information for companies that provide a range of products and services, from buying desks and dictionaries, choosing blackboards and books, finding facilities and food services, to contracting for transportation and technology. This is available at the following web address:

www.nycsa.org/Publications/NYCSAPublications/Vendor_Guide_1-3-05.pdf.

The E-Rate Discount

According to the Telecommunications Act of 1996, a Universal Services Order, commonly referred to as “E-Rate” (Education Rate), ensures that eligible and libraries schools have affordable access to modern telecommunications and information services. For more information about applying for discounted services through E-Rate, please visit the website for The New York State Education Department’s E-Rate Resource Center at <http://www.e-ratecentral.com/us/nys/resources/default.asp>.

Purchase Requests and the Issuance and Monitoring of Purchase Orders

Generation of Purchase Request

The purchase request package is to be prepared for all purchases and is to be initiated by the individual requesting the purchase. For example, the purchase requests for books sold by Scholastic Books and other children’s book companies are initiated by teachers, the purchase requests for curriculum, text books, reading materials and testing supplies are initiated by the Assistant Principal, the purchase requests for school maintenance supplies are initiated by the lead custodian, and the purchase requests for supplies related to PTA activities are initiated by the PTA representative.

The employee requesting the purchase prepares a purchase request package including:

- Items requested, listed separately, with description
- Quantity of items requested
- Unit price
- Total cost
- Name and address of vendor
- Programmatic and funder allocation for budgeting purposes

If the purchase requested is greater than \$1,000, documentation of price quotes or bidding is attached.

The individual confirms availability of budgeted funds for the purchase, and for compliance with funder restrictions, and documents these in the purchase request package.

Office and teaching supplies are to be purchased monthly in batch orders by the following procedures.

Under the direction of the Chief Financial Officer and Assistant Principal, the School Secretary checks inventory of general office and teaching supplies on a regular basis and will create purchase requests on a monthly basis to keep regular school

supplies in stock. The Director of Administration and Chief Financial Officer oversee the monthly inventory of school supplies.

Teachers may place requests for special/additional office and teaching supplies by noting them in the School Secretary's **Monthly Supplies Request List** noting the quantity and types of supplies to be ordered date of request and teacher's name. On a monthly basis, the School Secretary will batch these orders and prepare one Purchase Request for monthly office and teaching supplies. The School Secretary will obtain approval from the Chief Financial Officer or Assistant Principal, based on the amount of the purchase request.

Purchases of supplies outside of the monthly procurement cycle may be made using Amber Charter's petty cash and/or cost reimbursement procedures (see appropriate section in this manual).

Purchase Orders

Upon receiving authorization for the purchase, the Finance Assistant assigns the next available purchase order number, completes the three part purchase order according to the instructions on the purchase request, logs all purchase order number in the purchase order register, and does the following:

- Gives approved purchase order to School Secretary to place orders with vendor by on-line ordering, faxing, mailing, or e-mailing (if acceptable) the purchase order.
- Sends a copy of the purchase order to the individual from whom the purchase request originated.
- Retains a copy of the purchase order and a copy of the purchase request in the Fiscal Department.
- The Finance Assistant will use the purchase order to accrue the expense to the appropriate cost center in the accounting system. The purchase order and request will be placed in the accounts payable file to be used as supporting documentation for the payment voucher.
- Places a copy of the purchase order and purchase request in the open purchase order file.

The Finance Assistant periodically researches vendors and requests quotes to ensure best value and avoid conflicts of interest. The Chief Financial Officer annually reviews and recommends for approval a list of approved office suppliers.

Amber Charter School is recognized as a tax-exempt organization under the Federal, New York State and local laws. As such, Amber Charter is exempt from sales taxes on goods purchased for its own internal use and services. To take advantage of this exemption the School Secretary attaches a completed Form ST-119.1 to all purchase orders. Note that this exemption does not cover hotel, airfare, or communication-related taxes such as those on telephone bills.

On a periodic basis, a review of the open purchase order file is performed for any commitments that have not been matched with receiving reports or equivalent records of goods or services received.

A completed purchase order will contain the following:

- Name and address of vendor
- Ship-to information (must be Amber Charter School at all times)
- Date the order was placed
- Date the goods are to be delivered
- Shipping method
- Terms of purchase

- Each item listed separately with description
- Specific quantity and unit of measure
- Unit price
- Programmatic and funder allocation for budgeting purposes signature of authorized buyer, supervisor, and Chief Financial Officer

Receipt of Goods and Merchandise

The receipt of goods by mail, shipment, or other carrier must be signed for and received by the School Secretary or Security that is independent of the payment process.

The School's Secretary or Security that signs for and receives goods also does the following:

- Verifies that each item on the packing slip has been received.
- Compares goods received with purchase order.
- Notes any back orders or discrepancies with quantity and price.
- Makes copies of packing slips and any invoices received.
- Files copies with the appropriate purchase order.
- Forwards original packing slips to the Finance Assistant in the fiscal department for matching against the open purchase order and eventual vendor payment.
- Forwards a copy of the packing slip and the invoices to individual who initiated request, noting any discrepancy from the original order.
- Checks to see that all packing slips have been accounted for.
- Delivers the received goods to the intended recipients, along with copies of the packing slips.

The School's Secretary maintains the office and teaching supplies, while the Custodian(s) maintains the maintenance supplies.

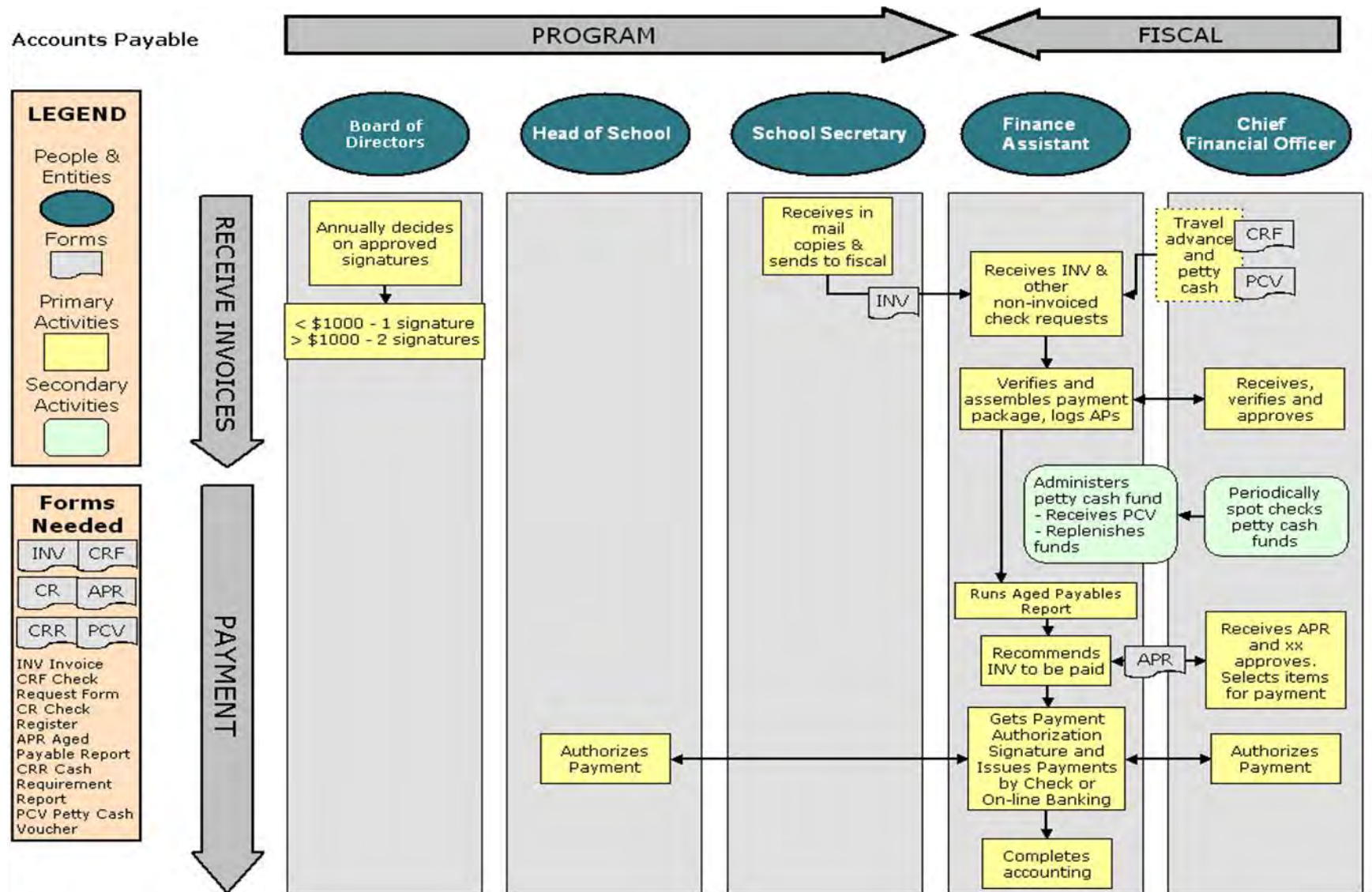
Processing Accounts Payable

This section outlines the policies and procedures for the processing of accounts payable:

- Processing purchase orders and invoices
- Processing check requests where no invoice is available
- School's authorized signatories
- Handling of petty cash

Key School Policies

- All invoices should be stamped with a "Received Date" immediately upon receipt.
- All complete voucher packages should be reviewed and approved by the Chief Financial Officer .
- Checks and wire transfers in any amount require two signatures.
- All invoices should be assigned credit terms of 45 days, unless other arrangements are made in advance.
- Vendor statements should be forwarded to the Finance Assistant for review and reconciliation to the vendor files.
- All blank check stock should be kept under lock and key with access limited to the Finance Assistant and Chief Financial officer only.
- The petty cash fund will start with a \$200 balance and will be replenished on an imprest basis. Imprest refers to an advance or a loan of funds for small goods or services to be purchased and then supported by a receipt so that petty cash can be replenished.



School Procedures to Implement these Policies

Processing Purchase Orders and Invoices

The Finance Assistant examines invoices delivered to the fiscal department. These are stamped with a “Received Date” immediately. This individual is responsible for doing the following:

- Verifying the proper accounting codes are assigned per the approved Chart of Accounts
- Checking the extensions on purchase orders and invoices
- Resolving any discrepancies with extensions or accounting codes
- Accruing the expense to the appropriate expense category and fund/cost center
- Checking for travel authorization where appropriate
- Investigating and resolving any outstanding back order issues
- Filing the purchase request, the purchase order, and the invoices in the accounts payable file

The Finance Assistant is responsible for assembling the payment package. A check request/electronic payment authorization voucher should include the following:

- Date voucher prepared
- Name and address of vendor
- Vendor code
- Amount
- Account number (code)
- Expense allocation when necessary

The Finance Assistant must attach to the payment voucher the following:

- Purchase request and purchase order (if applicable)
- Invoice and packing slip (if applicable)
- Receiving report (if applicable)

Once the voucher package is complete, the Finance Assistant will forward the package to the Chief Financial Officer for review and approval. The Chief Financial Officer reviews the voucher for completeness and verifies that all supporting documentation is attached to the voucher. Additionally, the Chief Financial Officer verifies that account/cost center coding was properly recorded, and authorizes the package for payments. If documentation is incomplete or missing, the voucher is returned to the Finance Assistant for completion.

Requesting Checks When There Are No Invoices

Not all expenditures are supported by an invoice. Travel advances, for example, are not initiated with an invoice. These expenditures are handled via a Check Request Form. The employee or consultant initiating the disbursement request will prepare a Check Request Form, which is submitted to the Chief Financial Officer for approval. The Check Request Form is processed and approved for payment in the same fashion as an invoice.

Authorized Signatures

On an annual basis, the Treasurer submits a list of bank/trust accounts and authorized signers for approval by the Finance Committee.

For the FY Year 2008-2009, the authorized signers are:

<i>Name</i>	<i>Position</i>
Luis Miranda Jr.	Board Chairman
Michael Stolper	Vice Chairman
Vasthi Acosta	Head of School

Checks and wire transfers in any amount require two signatures.

Selecting Invoices to Pay

As determined by the school's timetable, the Finance Assistant runs an Aged Payables Report and forwards this report to the Chief Financial Officer for review and selection of items to be paid. All vendor invoices are assigned a credit term of 30- 45 days, unless other arrangements are made in advance. This report is accompanied with an indication of the available cash balance as of that time, taking into consideration other cash requirements for the two-week period immediately following. The Chief Financial Officer then returns the aged payables report indicating the vendor invoices to be paid, by circling the item on the report. In addition, the Chief Financial Officer initials the report to provide overall approval. If a partial payment is requested, such is noted on the report itself.

Upon receipt of the Aged Invoice Report showing the items to be paid, the Finance Assistant will select each invoice in the Accounts Payable system for payment. This process will allow for the generation of a Cash Requirements Report, which will provide the list of invoices selected for payment and a total of the cash required to meet these selections. This process updates the individual vendor balances and allows for the checks to be printed.

Blank check stock is kept under lock and key with access limited to the Chief Financial Officer and Finance Assistant only. Unopened boxes of checks remain sealed and also under lock and key. Laser checks are placed in the printer, and the system automatically prints the information on the preprinted, pre-numbered checks. Upon completion of the check printing process, a Check Register is prepared, and the total of the check register is compared to the total of the Cash Requirements Report generated prior to the printing of the checks. The physical checks are reviewed for proper printing and confirmation of check numbers against the check register, and if all is acceptable, the Check Register is updated by the computer system. This update process reduces the accounts payable balance and the cash account balance in the general ledger.

Amber Charter School utilizes laser checks that have two stubs attached. The check, along with stub # and any supporting remittance documentation, is mailed to the vendor by the Finance Assistant verifying that the check and stub # properly identifies the invoice number being paid. Stub 2 is stapled to the vendor invoice and filed in the Paid Bills file in alphabetical order by vendor. In addition, the actual invoice are stamped "PAID" with a reference as to date, check number, and amount paid.

As an alternative to mailing physical checks, the Finance Assistant may also use an online/electronic bill payment system to pay vendors. Access to passwords for online bill payment is strictly limited to the Finance Assistant and the Chief Financial Officer. Any online transaction is documented by a printout of the confirmation page and stapled

to the invoice. Copies of online/electronic transactions confirmation pages are filed and reconciled with the check register.

Vendor Statements

Vendor statements are forwarded to the Finance Assistant for review and reconciliation to the vendor files. Any invoices noted on the vendor statement that have not been processed by the accounting system are identified for follow-up with the vendor, if appropriate. In no event will payment be processed without the original vendor invoice.

Petty Cash Account

The Petty Cash Fund is maintained by the Finance Assistant. The Finance Assistant provides the support for each replenishing check, including appropriate budgetary account distribution, and the Chief Financial Officer reviews the documentation and reconciliation before approving the replenishment check.

In processing the petty cash, the procedures are as follows:

Size of Petty Cash Fund

The petty cash fund will start with a \$200 balance (amount to be determined by the Board) funded by a check from the general account for administrative purposes. Each site or grant within Amber may have separate petty cash funds, as required.

Completing the Petty Cash Reimbursement Form

As petty cash is needed, the employee requiring petty cash fills out the Petty Cash Reimbursement Request Form (see a sample copy in Appendices), attaches receipts for purchases and obtains the approval signature of his/her supervisor. The employee then presents the approved petty cash reimbursement form to the Finance Assistant for cash reimbursement. Petty cash can only be used to reimburse individual expenditures of \$50 or less and only in cases where a company check is unacceptable due to timing or other logistics.

Replenishment

When the petty cash fund is running below \$50 the Finance Assistant will add the receipts in the petty cash box and will request a check payable to the Chief Financial Officer or Director of Administrator, as custodian, to replenish the fund. This check may be a manually issued check since system-generated payments may be processed too far in the future, given the needs for petty cash availability. The Chief Financial Officer will review the replenishment check along with all the related receipts.

Proof

The check to replenish petty cash plus the monies left in the fund should equal \$200 or other balance as initially funded. On an unscheduled test basis, the Chief Financial Officer will perform a spot check of the Petty Cash fund to ensure that the total of the cash and receipts on hand is equal to \$200.

Tracking/Processing Manual Checks:

All manually issued checks must be entered into the accounting system no later than Friday of each week.

Use of Amber Charter School Credit Cards

Key School Policies

Amber Charter School credit cards will be issued to staff, only with approval of the Finance Committee of the Board.

Cash advances on credit cards are *not* allowed, and should be reflected in the credit card usage agreement.

Transaction limits will be determined by the Finance Committee of the Board.

Credit cards will only be used for business purposes. Personal purchases of any type are not allowed.

The following purchases are not allowed:

- Alcoholic beverages/tobacco products
- Capital equipment and upgrades over \$2,000
- Construction, renovation/installation
- Items or services on term contracts
- Maintenance agreements
- Personal items or loans
- Rentals (other than short-term autos)
- Telephones, related equipment, or services
- Any other items deemed inconsistent with the values of the Amber Charter School

Cardholders will be required to sign an agreement indicating they accept these terms. Individuals who do not adhere to these policies and procedures risk revocation of their credit card privileges and/or disciplinary action.

Cardholders who use Amber Charter School issued credit cards improperly will be held liable for any and all unapproved purchases.

School Procedures to Implement These Policies

Credit cards may be requested for prospective cardholders by written request to the Chief Financial Officer.

Detailed receipts must be retained and attached to the credit card statements. In the case of meals and entertainment, each receipt must include the names of all persons involved in the purchase, and a brief description of the business purpose of the purchase, in accordance with Internal Revenue Service regulations.

Monthly statements, with attached detailed receipts, must be submitted to the finance department within ten days of receipt of the statement to enable timely payment of amounts due.

All monthly statements submitted for payment must include the initials of the cardholder, the signature of the approving staff member and the date of approval. Each statement must have the approval of the approving staff member in addition to the approval of the cardholder, unless the cardholder is him/herself the staff member.

All monthly statements submitted for payment must have the appropriate account number(s) and the associated amounts clearly written on the statement. Multiple purchases charged to the same account number must be subtotaled. Cards may be designated to have all expenses charged to a specific account number, with exceptions noted on the monthly statement, if desired.

Cardholders should make every effort to ensure that purchases do not include sales tax. Tax-exempt certificates are available through the fiscal department. Sales tax may be paid for minimal expenditures from one-time vendors who refuse the exemption, but sales taxes should not be paid (select another vendor) where the purchases are for more substantial expenditures or are repetitively incurred.

The Chief Financial Officer will perform ongoing review of monthly credit card purchase to ensure compliance with Amber Charter School's outlined policies and procedures.

Amber Charter School

CARDHOLDER AGREEMENT

I, _____, hereby acknowledge receipt of the following

Credit card: _____ / _____ - _____ - _____

(Type of credit card)

(Credit card number)

I understand that improper use of this card may result in disciplinary action, as outlined in the Amber Charter School handbook, as well as personal liability for any improper purchases. As a cardholder, I agree to comply with the terms and conditions of this agreement, including the attached Amber Charter School Credit Card Policies and Procedures agreement.

I acknowledge receipt of said Agreement and Policies/Procedures and confirm that I have read and understand the terms and conditions. I understand that by using this card, I will be making financial commitments on behalf of the Amber Charter School and that Amber Charter will be liable to _____ for all charges made on this card.
(Name of Credit Card Company)

I will strive to obtain the best value for the Amber Charter School when purchasing merchandise and/or services with this card.

As a holder of this Amber Charter School card, I agree to accept the responsibility and accountability for the protection and proper use of the card, as enumerated above. I will return the card to the Chief Financial Officer, upon demand, during the period of my employment. I further agree to return the card upon termination of employment. I understand that the card is not to be used for personal purchases. If the card is used for personal purchases or for purchases for any other entity, the Amber Charter School will be entitled to reimbursement from me of such purchases. The Amber Charter School shall be entitled to pursue legal action, if required, to recover the cost of such purchases, together with costs of collection and reasonable attorney fees.

Signature _____ Date _____

(Cardholder)

Signature _____ Date _____

(Chief Financial Officer)

Use of Amber Charter School Cellular Telephones

Key School Policies

Cellular telephone service is provided to authorize employees of the Amber Charter School for the purpose of conducting legitimate school business. The Amber Charter School provides cell phones to management level employees whose position requires the use of a cell phone to conduct agency business. The Amber Charter School also allows for the reimbursement of business calls made on a personal cell phone for authorized employees whose position requires the use of a cell phone to conduct agency business.

Cellular telephone holders will be required to sign an agreement indicating they accept these terms. Individuals who do not adhere to these policies and procedures risk revocation of their cellular telephone privileges and/or disciplinary action.

Persons who use Amber Charter School issued cellular telephones improperly will be held liable for any and all unapproved purchases.

Justification of Need

In order to be considered to receive an agency issued cell phone or for reimbursement, the duties required of your position must meet at least one of the criteria defined below:

- On-call duties (security, custodian, leadership team)
- Major Job performance and responsibilities are away from assigned work area
- Need to be in contact with office in support of Amber charter school responsibilities
- Transporting children
- Other authorized

Authorization

The Chief Financial Officer is responsible for receiving the approved forms for cellular telephone usage, establishing cellular service for employees, issuing cell phones to employees, maintaining the master account and monitoring the usage on a monthly basis. The Chief Financial Officer is the liaison between the Amber Charter School and the cell service provider. All service issues and changes in plans must be handled by the Chief Financial Officer. Only the Finance Assistant and the Chief Financial Officer has the authority to contact the cellular telephone provider for Amber Charter School service.

Cellular telephones may be requested by written request to the Chief Financial Officer.

Reimbursement of Business Calls

The Amber Charter School will reimburse authorized employees for business calls made on personal cell phones at an approved rate per minute. The approved rate per minute will be established by the Finance Committee. The rate is subject to change. Employees will not be reimbursed at any rate per minute other than the approved rate. One rate will be applied for the reimbursement of all cellular telephone bills.

Appropriate Use

Agency cellular telephones should be used for legitimate Amber Charter School business. Use of agency cell phones for personal reasons is limited according to the Accounting Procedures section of this policy.

Terms and Conditions

If the employee is approved to receive an agency issued cell phone, the employee must agree to abide by the cell phone policy and the fixed assets policy of the Amber Charter School. Employees who are issued agency cell phones will be required to sign the "Cell Phone User Agreement" form indicating agreement to the policy terms and

conditions. If the policies are not followed, the employee will be required to return the cell phone to the Chief Financial Officer. Access privileges may be revoked at any time and for any reason. Abuse of the cell phone policy may result in disciplinary action.

Public Documents

Cell phone statements are public documents and could be disclosed at any time.

School Procedures to Implement these Policies

School Cellular Telephones

There are two categories of accounting procedures established for employees who have been issued School cell phones as follows:

- Employees with a personal cell phone
- Employees without a personal cell phone

Employees with a Personal Cellular Telephone

Since the Amber Charter School pays the full cost of the School issued cell phone bills, if the employee goes over his/her plan minutes or makes long distance calls, the employee will reimburse the Amber Charter School at the established reimbursement rate. Each month upon receipt of the bill, the Fiscal office will forward the employee's portion of the Amber Charter School's bill to him/her for review. Upon receipt of the bill, each employee should complete the following steps:

- Review the bill for accuracy.
- Highlight emergency personal phone calls, if any.
- Calculate the total amount of reimbursement, if applicable, by multiplying the personal minutes times the standard rate established by the Amber Charter School. If roaming charges or long distance charges were incurred, those charges should be reimbursed.
- Complete a "Receipt of Funds" form and attach a check, if necessary, to reimburse the Amber Charter School for personal calls.
- Sign and date the bill in the space stamped, "I certify that this phone is being used for business purposes".
- Return the original bill in its entirety, a requisition and check, if applicable, to fiscal office within five (5) days of receipt of the bill.

Periodic Review

The Finance Assistant will perform ongoing review of monthly cellular telephone bill to ensure compliance with Amber Charter School outlined policies and procedures.

Amber Charter School **CELLPHONE USER AGREEMENT**

I, _____, hereby acknowledge receipt of the following

Cellular telephone: _____ / _____
(Type of phone) (Cellular phone number)

I understand that improper use of this cellular telephone may result in disciplinary action, as outlined in the Amber Charter School handbook, as well as personal liability for any improper purchases. As a cell phone holder, I agree to comply with the terms and conditions of this agreement, including the attached Amber Charter School Cellular Telephone Policies and Procedures agreement.

I acknowledge receipt of said Agreement and Policies/Procedures and confirm that I have read and understand the terms and conditions. I understand that by using this cell phone, I will be making financial commitments on behalf of the Amber Charter School and that the Amber Charter School will be liable to _____ for all charges made on this card.
(Name of Cellular Phone Company)

As a holder of this Amber Charter School cellular telephone, I agree to accept the responsibility and accountability for the protection and proper use of the phone, as enumerated above. I will return the cell phone to the Director of Human Resources, upon demand, during the period of my employment. I further agree to return the cellular telephone upon termination of employment. If the cell phone is used over its plan minutes or being used for long distance usage, the Amber Charter School will be entitled to reimbursement from me of such purchases. The Amber Charter School shall be entitled to pursue legal action, if required, to recover the cost of such purchases, together with costs of collection and reasonable attorney fees.

Signature _____
(Cell phone User)

Date _____

Signature _____
(Chief Financial Officer)

Date _____

Travel and Employee Business Expenses

This section outlines the policies and procedures for handling travel and employee business expenses:

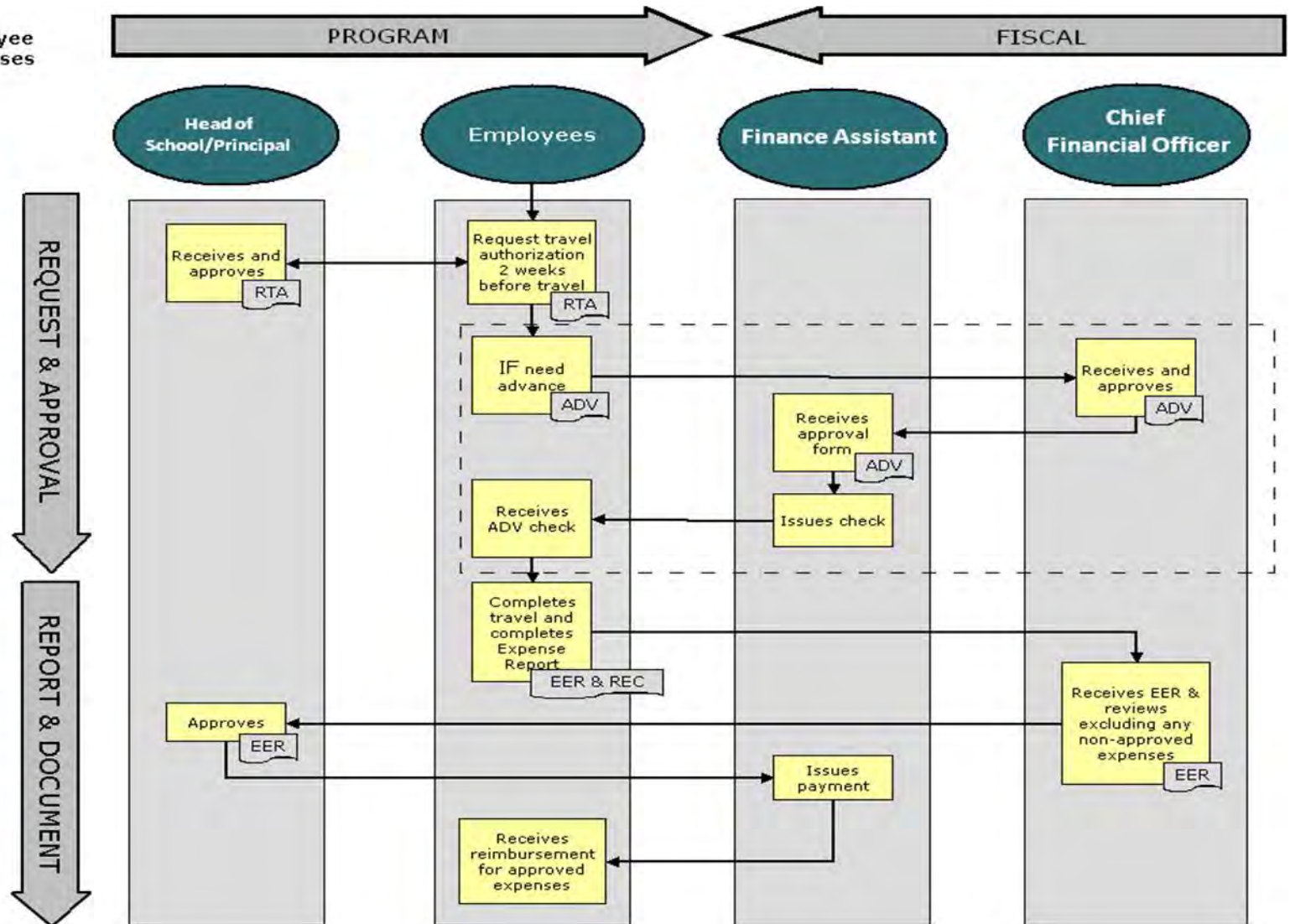
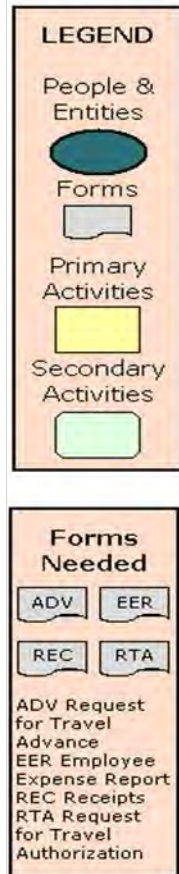
- Submission of Request for Authorization of Travel
- Basis of reimbursement for mileage and other related expenses
- Processing of employee expense reports

Key School Policies

- A Request for Authorization of Travel requiring an overnight stay must be submitted two weeks before the travel date.
- Reimbursement for mileage will be at current IRS allowed rates.
- Receipts evidencing expenses will be required for all amounts in excess of \$25. (This amount is set by the Board. Note, \$75 is the threshold set by the IRS)
- Advances, in amounts not to exceed 75% of expected outlays during the actual travel may be obtained prior to traveling, upon approval of the Chief Financial Officer.
- Employee expense reports are to be completed and submitted once a month.
- All expense reports are to be reviewed and approved by the Chief Financial Officer.
- Amber Charter School will reimburse employees for out of town travel using federally mandated per diem rates * for lodging, meals, and incidentals.

* Threshold established by the Internal Revenue Service and is updated periodically. See later in this section for more information.

Travel & Employee Business Expenses



School Procedures to Implement These Policies

Reasonable travel and business expenses incurred by employees and Directors deemed necessary to Amber Charter School's operations will be reimbursed upon submission of an Employee Expense Report or Petty Cash Reimbursement Request with appropriate supporting documentation that satisfies IRS regulations. Amber Charter School is exempt from state and federal tax, and therefore does not reimburse employees for tax. A copy of the Tax Exempt Certificate may be obtained through the Finance Assistant or on Amber's Public drive (P :).

Request for Authorization of Travel

A Request for Authorization of Travel requiring an overnight stay must be submitted two weeks before the travel date in order to allow appropriate time for review and authorization. If a seminar or meeting requires a registration fee, then a Request for Authorization of Travel Form must be submitted, even if the seminar is being held locally. See [Appendix](#) for a copy of this form or locate it on the public drive (P :) under Fiscal Department.

The Request for Authorization of Travel must be approved by an immediate supervisor with budgetary authorization prior to committing to travel arrangements.

Mileage

Reimbursement for mileage will be at current IRS allowed rates. All other expenses will be reimbursed at actual cost unless otherwise limited by contractual/grant agreement where applicable.

Receipts

Receipts evidencing expenses will be obtained whenever practical, but are required for all amounts in excess of \$25.00 **, as required by the Internal Revenue Service.

Documentation

Documentation of the expenses incurred should comply with IRS requirements and clearly show the following:

- Date
- Names of those attending business meeting
- Meeting location
- Subject discussed and benefit to the school
- Amount

Travel

Any travel and entertainment expenses paid for by using Amber Charter School's credit card must still be included as an expense on the Employee Expense Report since use of the card is considered an advance to the employee.¹

Advances, in amounts not to exceed 75% of expected outlays during the actual travel, may be obtained prior to traveling, upon approval of the Chief Financial Officer .

Travel Expense Reports

Employee Travel Expense Reports are to be completed and submitted once a month, no later than 10 days after the close of the month when expense activity has occurred. All expense reports are to be reviewed and approved by the Chief Financial Officer. The expense report for the Chief Financial Officer must be approved by the Head of School. The expense reports for the Head of School are reviewed and approved by the Chief Financial Officer or Board Treasurer.

Per Diem Allowances

Amber Charter School will reimburse employees for out of town travel following the federally mandated per diem rates for lodging and meals and incidentals.* These rates are specific to the city of destination.

* Per diem rates are provided by the US Federal Register, which is published daily. The document can be retrieved via at www.access.gpo.gov/nara.

4

Chapter 4 Personnel - Employees & Consultants

Employee Payroll

This section outlines the policies and procedures for the processing of payroll within Amber Charter School.

- Establishment and maintenance of personnel files
- Designation of employee status as exempt or nonexempt
- Monitoring of employee time sheets
- Steps to processing payroll
- New York State New Hire Reporting Requirements
- United States work authorization status

Internal Control Objectives

- Salary, wage, and benefit expenses are incurred only for work authorized and performed.
 - Salaries, wages, and benefits are calculated at the proper rate.
 - Salaries, wages, benefits, and related liabilities are recorded correctly as to account, contract or grant agreement, program amount, and period.
 - Allocations of payroll costs to functions, programs, contracts, and grants are supported by adequate documentation.
-

- Employee payroll withholdings and special deductions are based on signed authorizations by employees.

Key School Policies

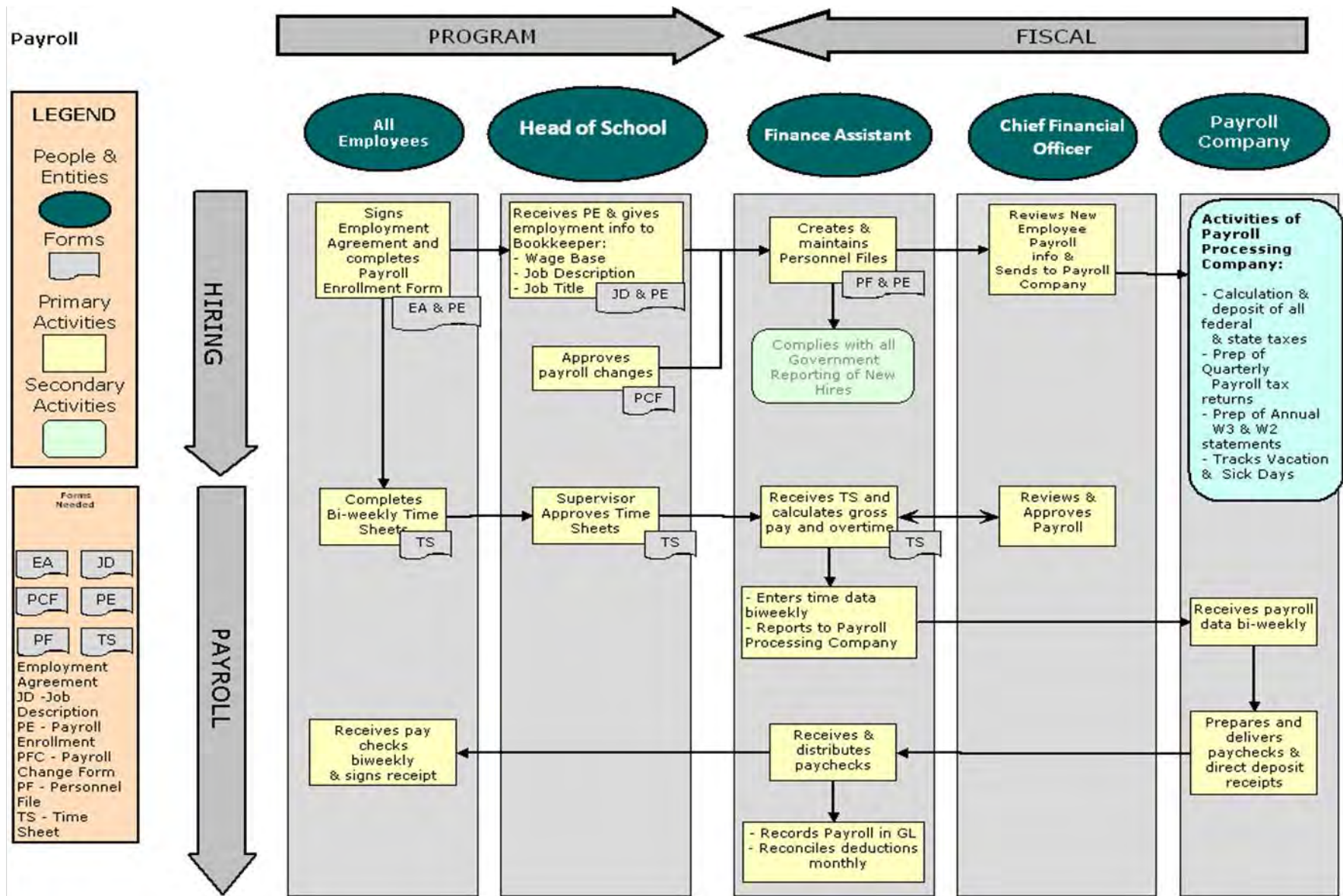
- All personnel files are kept both secure and confidential.
- Every position at Amber Charter School is supported by a job description and, in the case of a full time position, an employment agreement or offer of employment.
- Completed and signed W-4 forms are retained for four years after the annual employment tax returns are filed.
- All deductions from the employees' payroll are supported by appropriate documentation to authorize each deduction.
- Amber Charter School reviews each employee relationship to ensure proper classification under the federal labor laws.
- Upon hiring, the Amber Charter School, or if contracted to do so, the schools' payroll services company examines and maintains all required information verifying the individual's immigration status in the United States.
- All employees of Amber Charter School are required to record their time. Teachers may record their time by logging in and out. All other employees are required to use timesheets.
- Payroll expense per the accounting records is reconciled to payroll as reported on the quarterly payroll tax returns.
- Information regarding newly hired employees is remitted to New York State as required.
- All employees who have access to and interaction with children at Amber Charter School are required to be fingerprinted by the NYC Department of Education, but need to obtain final clearance by the State Education Department to be eligible to work in a charter school.

Payroll Segregation of Duties

Amber Charter School continues to review how it segregates the duties of its staff with fiscal responsibilities.

One important preventive control is segregation of duties. Segregation of duties is primarily designed to prevent fraudulent activity from occurring and remaining undetected.

Management can achieve this control objective by dividing work among two or more people. Under a proper segregation of duties, no one person should control all the key aspects of a transaction or event, and the functions performed by one person may be checked by the functions performed by the other. In general, the transaction approval function, the accounting/reconciliation function and the asset custody function should be separated among employees 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.



School Procedures to Implement These Policies

Establishing a Personnel File for Each Employee

The Finance Assistant gathers employee information required to manage payroll, and files it in an employee personnel file along with pay or job status changes. The personnel file serves as a chronological performance record throughout the employee's tenure with Amber Charter School and, as such is kept both secure and confidential.

Employee Information

To prepare a payroll, the following information must be accumulated for each employee:

Employee Information	Source of Data
Name and address	W-4
Social Security Number (SSN)	W-4
Wage Rate	Employee Agreement/Offer of Employment/ Annual Compensation
Job Title	Job Description
Withholding Status	W-4
Other authorized deductions	Other applicable documentation

Once the employee information is entered into the payroll system, it is modified only after receipt of authorized notification of changes. To ensure that only authorized changes are made, changes to employee payroll information are made only after receiving a Payroll Change Form approved by the appropriate level of management. After entering the changed information into the payroll system, the Finance Assistant verifies that the change was entered and posted correctly. The Payroll Change Form is then filed in the employee's personnel file.

Job Title

Every position at Amber is supported by a job description and, in the case of a full-time position, an employment agreement or offer of employment.

Wage Rate

Amber Charter School's personnel records reflect two components of an employee's wage rate:

- Wage base (how the employee is paid—for example, by the hour, commission, or weekly salary)
- Wage amount (amount paid for each hour, day, week, or month worked)

Withholding Status

The completed W-4 forms serves as a basis for employee withholding.

An employee may amend his/her withholding allowances as needed. Employees are required to file an amended W-4 form within 10 days of an event that *decreases* the number of withholding allowances.

When a W-4 form is received, the Finance Assistant must comply with the withholding instructions within 30 days. Compliance is achieved by submitting the W-4 form information to the Finance Assistant and payroll processing company, who will incorporate into the next payroll processing. The withholding instructions will usually continue to apply until the employee amends the W-4 form.

Although not obligated to evaluate an employee's number of exemptions, Amber Charter School has three duties relating to the contents of Form: W-4:

- Report excessive allowances. Amber Charter School and the school's payroll processing company will send copies of all W-4 forms claiming more than 10 withholding allowances along with the school's payroll processing company as primary with Amber Charter School's Form 941 to the IRS.
- Report full exemptions. Amber Charter School is required to send to the IRS all claims for full exemptions from withholdings by employees with normal weekly wages of more than \$200.

Because of their importance to both the IRS and the employees, Amber Charter School retains signed original W-4 Forms (no copies) for four years after the annual employment tax returns are filed.

Other Authorized Deductions

To accurately compute an employee's net pay, Amber Charter School and the school's payroll processing company accumulates the nature and amount of any other payroll deductions, such as for retirement plans, insurance, or loan repayments. Documentation is maintained authorizing each deduction in the employee's personnel file. The Fair Labor Standards Act (FLSA) requires payroll records to clearly show the date, amount, and description of deductions from wages.

Analyzing Job Information

Employee minimum wage and overtime requirements are set by the FLSA and the State where Amber Charter School operates. Job positions are classified as either exempt or nonexempt from the requirements. These requirements are summarized below and are adhered to by Amber Charter School.

Attribute	Exempt	Nonexempt
Payment amount	The employer pays an exempt employee a fixed salary for any and all work performed during a work week.	The employer may pay a nonexempt employee using an hourly, salary, commission, or any other method. Total compensation must be at least the minimum wage for all hours, plus overtime pay for hours over the maximum
Pay deductions	Generally, deductions for time not worked may not be made from the weekly salary.	The employer pays a nonexempt employee only for the hours worked. Therefore, wage deductions may be made for tardiness, full or partial day absences, and any time the employee does not work.
Time records	Employers are not legally required to record the hours worked, although overall time sheets are encouraged in order to properly allocate salaries and benefits.	Employers must maintain accurate daily and weekly records of all hours worked.

Completing Time Sheets

Salaried and Hourly Employees

It is the employee's responsibility to record time worked during the workweek on his/her time sheet. Teachers record their time by hand scanning in and out of the time clock. At the start and close of each workday, staff visits the general office on the 1st floor, and scan in their start and stop time on a daily basis.

Recording Category of Time Used

The Finance Assistant indicates how time was spent (work, vacation, sick leave, etc.) for each employee with time and attendance software. The primary segregation is whether the time was worked time, paid leave, or unpaid leave. In categorizing time used, Amber Charter School adheres to the following FLSA guidelines:

- Paid or unpaid leave does not count toward overtime.
- Only the excess of 40 hours worked during the workweek is considered overtime.
- Each workweek stands alone.
- Paychecks for payment without proper authorization will not be processed.

Compensation for Travel Time

Start of the Workday

When an employee travels from home to the office before performing any work, the travel time is not compensable. Worked time begins at the office and includes travel from there to the first work site. However, should the employee begin the day receiving instructions at home or traveling to a work site, worked time begins with the receiving of assignments or the start of travel, respectively. In this case, Amber Charter pays the employee for the time spent driving from home to the first work site or from the office to the first work site, whichever is less.

The End of the Workday

When the employee returns to the office at the end of the day and then travels home, the trip back to the office is compensable, but the trip home is not.

Other Travel – Overnight

Travel time as part of an overnight trip is compensable to the extent the worker travels during his/her normal work hours. In addition, travel on what would regularly be a day off for the worker is compensable for all travel during that period of the day that coincides with the worker's normal work hours.

Calculating Gross Pay and other Payroll Items

Exempt Employees

The gross pay of exempt employees is calculated by dividing the annual salary by the number of pay periods during the year. Amber Charter School has 26 pay periods in one year.

Exempt employees receive the same gross pay each pay period regardless of the number of hours worked.

Nonexempt Employees

For nonexempt employees, gross pay is calculated by dividing the annual salary by the number of pay periods during the year. Amber Charter School has 26 pay periods in one year.

Payment of Overtime

Under FLSA guidelines, Amber Charter School must pay overtime to workers in nonexempt positions who work more than 40 hours during the workweek. No overtime pay is required for employees in exempt positions regardless of the hours worked. Overtime pay represents one and one-half times the amount of regular hourly wages paid, applied to the workweek hours worked over 40.

Entering Time Data

Payroll is processed on a biweekly basis.

At the beginning of each payroll-processing week, the Finance Assistant performs the following:

- Reviews that all employee time cards in the system.
- Reviews time cards for proper employee punches.
- Reviews total hours and makes sure gross pay is calculated properly.

When complete, the Finance Assistant gives the payroll report to the Chief Financial Officer to review and approve, and then electronically transmits the employees' hours worked, including other pertinent information such as sick and vacation days taken, to the school's payroll processing company.

The school's payroll processing company calculates gross pay and all withholdings and prints the paychecks or direct deposits funds in bank accounts. Payroll records are automatically posted and relevant tax return data are stored. The school's payroll processing company provides a payroll package, which is delivered to Amber Charter School's office one or two days prior to pay day. The payroll information is received by the Finance Assistant and checked for accuracy and completeness.

In cases of emergencies in which a manual payroll check needs to be issued, the manual check will be issued only after consultation with the Chief Financial Officer and following the school's payroll processing company's recommended breakdown of gross pay and applicable deductions. All manual payroll checks will be submitted to the school's payroll processing company on the very next payroll submission, for purposes of updating the employee payroll records.

Terminations and Resignation

The Finance Assistant ensures that terminated employees are removed from the payroll immediately after their last payment is made.

Distribution of Pay Checks

All payroll checks (non-direct and direct deposit) are distributed to the employees by the Finance Assistant *.

Role of the Payroll Processing Company

The school's payroll processing company services includes the calculation and electronic deposit of all federal and state taxes, preparation of all quarterly payroll tax returns, preparation of the annual Form W-3, and supporting W-2 statements.

Recording Payroll into General Ledger

Based on the school's payroll processing company records, the Finance Assistant records the payroll into the general ledger on a monthly basis.

Reconciling Employee Payroll Deductions

On a monthly basis, the Finance Assistant reconciles deductions made from employees to the payments made to insurers, benefit plan providers, and other payees.

New York State Requirement to Report New Hires

Amber Charter School employs individuals in New York State only. New York's reporting requirements for new hires are as follows:

Chapter 81 of the Laws of 1995 requires that all employers report to the New York State Department of Taxation and Finance certain identifying information about each newly hired employee **within 15 days of the employee being hired**. The purpose of the New Hire Program is to facilitate the accurate and prompt determination of child support obligations so that all children will receive the financial support to which they are entitled. The hiring date is defined as the day that an employee signs the Internal Revenue Service W-4 forms, **Employee's Withholding Allowance Certificate**. The following information **must** be provided for each newly hired employee:

- Employee Name (First, Middle Initial, Last)
- Employee Address (Street, City, State, and Zip Code)
- Employee Social Security Number
- Date W-4 was signed
- Employer Name
- Employer Address (Street, City, State, and Zip Code)
- Employer Identification Number (assigned by Internal Revenue Service)

The above information regarding each newly hired employee is forwarded to:

NEW YORK STATE DEPARTMENT OF TAXATION AND FINANCE
NEW HIRE NOTIFICATION
PO BOX 15119
ALBANY, NEW YORK 12212-5119

Amber Charter School and the school's payroll processing company submits the required information via a complete and legible photocopy of each newly hired employee's Internal Revenue Service W-4 forms, **Employee's Withholding Allowance Certificate**.

The Finance Assistant reviews the form to ensure that the form is signed and dated and that information is complete and legible.

The photocopies can be either mailed to the address noted above or sent via facsimile to (518) 463-4514.

New York City Reporting for New Hires

*Amber Charter requires each employee to sign for his/her live paycheck.

Amber Charter School fulfills the New York City requirements for charter schools by reporting new hire teachers to the New York City Office of New Schools who in turn reports new hires to the State of New York.

All staff members must also be fingerprinted.

Work Authorization Status

In accordance with the Immigration Reform and Control Act (IRCA), between the time Amber Charter School offers employment and the third day after a new employee starts employment, Amber Charter School is required to inspect certain documents (chosen by the employee) proving the employee's identity and authorization to work in the United States and complete INS Form I-9. Failure to properly complete and maintain INS Forms I-9 carries a penalty of \$100 to \$1,000 per employee.

See Forms section Form I-9, with instructions highlighting the documents that are acceptable in fulfilling the evidence requirements of Form I-9.

All Forms I-9 will be retained for the longer of three years or one year after employment termination. Forms I-9 is filed as follows:

- Alphabetically, in one file, all Forms I-9 of current employees except those whose documents are subject to expirations (such as work visas).
- Separately, all Forms I-9 which are subject to expiration, in expiration date order.
- Separately, all Forms I-9 of terminated employees, by termination date.
- The top of the form is marked with the termination date for easy reference and filing.

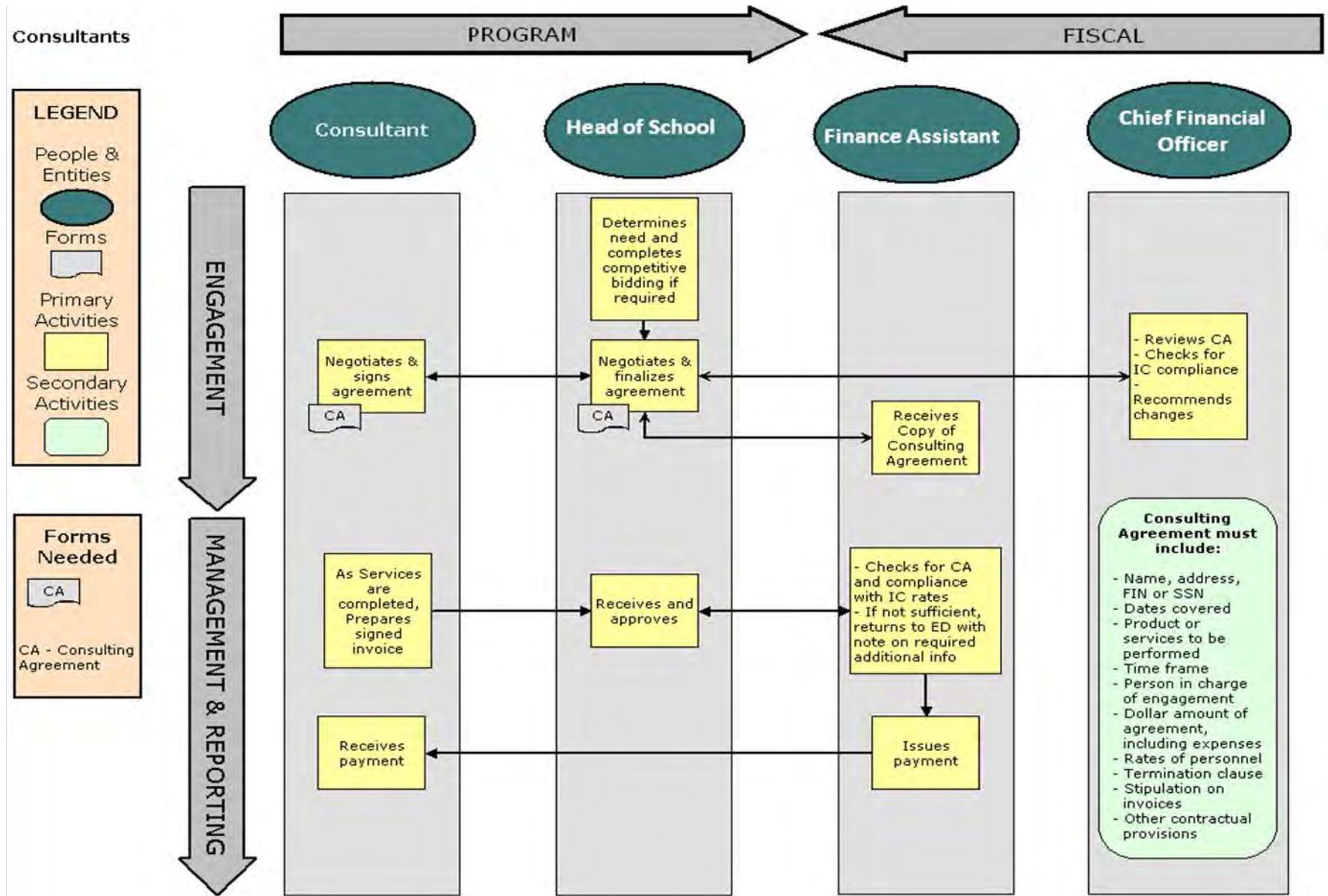
Independent contractors and consultants

This section outlines the policies and procedures for the establishment and evaluation of consulting arrangements:

- Confirming that the relationship qualifies as a consulting relationship
- Drafting and approval of consulting agreements
- Implications of reclassification to employee status

Key School Policies

- Every consultant relationship must be supported by a consultant agreement and a completed W-9 before the first check request or invoice will be honored.
 - The nature and specific details of each consulting relationship will be reviewed to ensure that the individual does not qualify for employee classification. This review will be documented in writing.
 - Three competitive bids are required to retain a consultant. Exceptions are referrals, extensions, or amendments, or when a consultant is a known expert in the field.
-



School Procedures to Implement These Policies

Determination of Need for Consulting Services

Amber Charter School engages consultants to perform professional services, generally including services for testing, professional development, computer services, and extended-day teachers and for accreditation renewal. The Head of School and Assistant Principal receives recommendations from staff and determines if there is a need for consulting services to complete particular projects at Amber Charter School. The Head of School and assistant principal select a consultant or independent contract using a competitive bidding process, unless the particular project is exempt from Amber Charter School competitive bidding requirements.

Competitive Bidding

While a sealed bid may not be required, it is necessary to have three documented bids. A sealed bid results from a pre-circulated request for proposal (RFP) where independent vendors are requested to provide the estimated cost for their services on a predetermined date, in a sealed envelope. This process is intended to ensure confidentiality of information, and this maintains competitiveness on the process.

In certain circumstances, there may be only one potential consultant. Exceptions to the bidding requirement include: referrals, extensions or amendments, or when a consultant/independent contractor is a known expert in the field. In this case, the reason why only one consultant is contacted and a “sole source” agreement is given should be well documented.

The Consulting Agreement

The Head of School negotiates a draft Consulting Agreement with the Consultant or Independent Contractor and forwards it to the Chief Financial Officer who reviews the Consulting Agreement, checks for its compliance with IRS regulations regarding independent contractor agreements and either approves the agreement or recommends changes to bring the agreement into compliance with IRS Publication 15-A. (See the section below called “***Determining if Relationships Qualify as Consultant Arrangement.***”)

All services performed by a consultant should be documented in a written agreement, signed by the Consultant and the School Leader (Head of School or Assistant Principal), including the following:

- Name, address, and Federal Identification Number/Social Security Number of the consultant
- Dates covered by the agreement
- Product or services to be performed
- Time frame for completion of the deliverables
- Person in charge of the engagement
- Dollar amount of the agreement, including expenses for which the consultant will be reimbursed
- Rates of personnel by classification
- Termination clause

Other Special Arrangements

In addition the consulting agreement should:

- Stipulate that Invoices should be on the Independent Contractor's stationery and list services rendered. Avoid statements that look like timesheets. When possible, the Independent Contractor should bill on a flat rate per project, rather than on an hourly rate.
- Include a provision stating that the Independent Contractor is responsible for completing the job, may hire sub-contractors or have employees work on the project, and is liable for contract damages for negligence in the performance of the contract.
- Include contractual provisions requiring that the Independent Contractor cooperates with the organization in any employment tax audit, including presentation of the worker's Schedule C or other tax forms showing that the income was reported as an independent business.
- The Independent Contractor should certify that he/she will never file an unemployment claim listing the organization as an employer. The worker should evidence in writing that he/she understands that the worker must mark down "self-employed."
- All agreements should be submitted to the Chief Financial Officer for review and approval prior to commencing services and the release of funds.
- Note that while it may be necessary to develop and include a line item budget in the consulting agreement, to the extent possible, payment should be made upon a "deliverables" basis.

Invoices

Invoices submitted by the Consultant should be signed by the Consultant and should detail the deliverables completed, and dates of service covered by the invoice presented.

Determining if Relationships Qualify as Consultant Arrangement

Prior to entering into a consultant agreement, Amber Charter School must determine that the relationship meets the criteria outlined by the IRS for consulting relationships. Reclassification as an employee by the IRS can trigger additional payroll taxes and potential penalties to the Amber Charter School. The following represents a general guideline to be considered when making this determination.

The primary method to determine a worker's status is based on **common law** -- a set of twenty factors defined by the IRS².

² The Common Law standards are set forth in IRS Revenue Ruling 87-41. For more information, refer to [Publication 15-A](#) (PDF), *Employer's Supplemental Tax Guide*. If you want the IRS to determine whether a specific individual is an independent contractor or an employee, file [Form SS-8](#) (PDF), *Determination of Worker Status for Purposes of Federal Employment Taxes and Income Tax Withholding*.

In some cases, “common law” determination may not be required if:

- the worker is **defined by statute**³, as a statutory employee, or statutory independent contractor, or
- the worker qualifies for a Federal Exception “Reasonable Basis”⁴ (Section 530).

Common Law Test

The traditional tests to determine whether a worker is an employee or independent contractor involve the concept of control. Are the services of the worker subject to the employer’s will and control over what must be done and how it must be done? Facts that provide evidence of the degree of control and independence fall into three categories: **behavioral control, financial control, and the type of relationship of the parties.**

The table on the following page summarizes these factors. The school’s Chief Financial Officer uses this table to begin his or her analysis of the independence of the contractor.

³ Workers defined by statute do not often apply to not-for-profit operations, but do in some cases. The workers who are statutory employees include certain types of drivers, life insurance sales agents, home workers, and traveling sales persons. Workers who are statutory non-employees include real estate agents and direct sellers.

⁴ Section 530. In 1978, Congress mandated that IRS stop reclassifying workers and employees, provided the company has a “reasonable basis” for treating the worker as an independent contractor. Section 530 is available to companies that treat workers as independent contractors if 1) the company always treated the worker as an independent contractor, 2) the company filed all returns required for worker consistent with independent contractor status, 3) the company has a “reasonable basis” for treating the worker as an independent contractor determined by either a) judicial precedent; b) prior IRS audit; c) long standing, recognized industry practice.

Amber Charter School

Employee or Independent Contractor Checklist

[Date]

Amber Charter School CONFIDENTIAL

Identifying Factors	Contractor	Employee
Control factors:		
Employer provides training to worker	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Worker works on-site	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Worker works off-site	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Company supervises worker's job	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Worker has regular work hours	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Worker has irregular work hours	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Employer sets work hours	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Financial factors:		
Worker is salaried	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Employer sets hourly rate	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Employer provides tools/equipment to worker	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Worker invests in tools/equipment for use in job	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Worker receives benefits from employer	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Worker has ability to have profit or loss from job	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Worker pays own expenses	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Relationship factors:		
Worker and employer have contract for services or products	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Worker can hire others to complete a task	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Worker and employer have long-term work relationship	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Work relationship relates only to contract work	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Worker performs similar projects for other companies	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Worker works only for company	<input type="checkbox"/>	<input checked="" type="checkbox"/>



Chapter 5 REPORTING AND FINANCIAL STATEMENTS

Detailed Chart of Accounts

The Chief Financial Officer approves a current chart of accounts listing the funds and accounts authorized for use in Amber Charter School's accounting of its operations.

The chart of accounts is designed to include the following components:

- Fund (represents standard software terminology: "Net Assets" according to current not-for-profit reporting guidelines)
- Unrestricted Fund
- Temporarily Restricted Funds – track revenues and expenses for all grants whose life extends beyond the fiscal year, thus requiring a Statement of Position at the end of the fiscal year
- Permanently Restricted Funds

Accounts Mechanism for tracking expenses on functional basis include:

- Programs
- Support Services
 - Management and General
 - Fund raising

Mechanism for tracking restricted grants:

- The system monitors budgets for each restricted funder and allows comparative reporting on a year-to-date and comparison-to-prior year basis.
- Amber Charter School's currently approved chart of accounts is attached in the [Appendix](#).

Definitions of Account Structure

Assets

- Cash and Cash Equivalents
- Cash on hand and in the bank
- Certificates of deposit
- Money market accounts

Unconditional Promises to Give

Amber Charter School records unconditional promises to give as soon as they are verifiable, even if the use and the restriction will not be met until some future period. These promises to give are recorded at their fair value. If the promise involves the receipt of cash in a future period greater than one year, the fair value is estimated by calculating the present value of future cash flows.

A promise to give may be oral or written, although verifiable documentation must exist before the promise can be recorded. A promise is unconditional or temporarily restricted if its receipt depends on:

- The passage of time (i.e., \$5,000 for Amber Charter School's 2007 [UPDATE] activities)
- Demand by the promisee for performance (e.g., \$10,000 for the purchase of computer equipment)

Conditional Promises to Give

A conditional promise to give may depend on some future event occurring before the promisee is bound to make the contribution, as with matching grants where other donations must be received to obtain the matching grant. This type of promise also allows for a right of return of the assets donated depending on some future event. Conditional promises to give are not recorded until the conditions on which they depend are substantially met.

Other Receivables

Include amounts due Amber Charter School from providing program services, sale of publications and materials, etc. These are recorded when the services have been provided.

Prepaid Assets

Payments made for goods and services whose benefit exceeds the annual operating cycle of the school. Common examples are payments for insurance policies whose expiration date exceeds the end of the current fiscal year.

Inventories

Inventories are composed of purchased or donated supplies, materials, publications, and other items in Amber Charter School's programs or sold to the public.

Property and Equipment

Property and equipment includes the assets used in Amber Charter School's activities and programs that have an estimated useful life longer than one year. They include:

- Land
- Buildings
- Leasehold improvements
- Automobile and other transportation vehicles
- Office furniture and administrative equipment
- Computer hardware and software
- Items leased from others under capital leases

Purchased property and equipment is recorded at cost, and donated property and equipment is recorded at fair market value at the date of donation. Acquisition costs include all costs necessary to bring the asset to its location in working condition, as follows:

- Sales tax, if any
- Freight
- Installation costs
- Direct and indirect costs, including interest, incurred in construction.

Liabilities

Accounts Payable

Accounts payable includes costs and expenses that are billed through a vendor invoice and are recorded at the invoice amount.

Accrued Liabilities

Accrued liabilities are estimates of the obligation for expenses that have been incurred for which no billing has been received. Some common accrued liabilities are:

Accrued Payroll

These include gross compensation for one period, not paid until the next pay period; bonuses earned and not yet paid, and employer taxes on all compensation.

Accrued Vacation and Sick Leave

Liability for future absences is recorded if the obligation is attributed to services already rendered.

Deferred Revenue

Collections received in advance of the delivery of goods or services or performance of services. The primary source of deferred revenues is the advances on government grants.

Debt

Debt obligations may be short term or long term. These include notes and capital lease obligations.

Net Assets

Classes of Net Assets

Amber Charter School classifies net assets by nature and is segregated among:

Unrestricted – Unrestricted contributions are those contributions that are free of donor restrictions on their usage.

Temporarily Restricted – Temporarily restricted contributions have donor-imposed restrictions that may be removed by the passage of time or an act of Amber Charter School.

Permanently Restricted – Permanently restricted contributions are those contributions with restrictions that can never be removed.

Designations

A designation is a voluntary Board-approved segregation of unrestricted net assets for a specific purpose or project. These are provided for the Board of Trustees and can be reversed by the Board at any time. Although a component of Unrestricted Net Assets, Board designated net assets are shown as a separate classification on the financial statements.

Net Assets Internal Control Objectives

Net asset transactions are authorized and recorded correctly as to account, net asset classification, amount, and period.

Recorded net asset transactions and reclassifications comply with donor imposed restrictions or Board designations and are valid and properly authorized.

Revenue

Types of Support

Contributions

A contribution represents a voluntary, non-reciprocal transfer of assets that is unconditional. In exchange for the contribution made, the grantor receives nothing. Contributions are segregated into:

Unrestricted Support - No restrictions imposed by donor.

Temporarily Restricted - Donor imposed restrictions such as passage of time, or specific use. When the restrictions are met, the contribution is reclassified from temporarily restricted to unrestricted.

Permanently Restricted - Endowment: Principal must remain intact but income can be used. Income can be restricted or unrestricted, depending on donor.

Grants-The revenue from government grants and contracts is recognized when the related services are rendered. In these cases, the grant agreement specifies how the grant support is to be recognized as income and specifies that unused grant funds must be returned. Amounts received from the grantor that have not been earned are deferred until they are earned and remain as a liability on the balance sheet.

Types of Revenue

The revenue Amber Charter School earns from sales, services, investments, and rental activities.

Fees for Performance of Services - Program Service Fees

Service fees are exchange transactions, with revenues being recognized when the services are rendered.

Sales Revenue

Sales revenues include sales of publications, periodicals, and other similar items. Revenue from these sources is recognized when the product is sold.

Donated Goods

Donated goods can include food, clothing, furniture and equipment, or bargain purchases of materials at prices significantly less than fair value. In addition, volunteers can provide significant amounts of free services, including administrative services, participation in fundraising events, and program services. Amber Charter School can also receive free use of facilities such as office space.

Donated materials are recorded as contributions and as inventory or expensed in the period received, and recorded at their fair market value at date of receipt. Donated materials *are not* recorded when Amber Charter School serves only as an agent for the donors and the donated materials pass through Amber Charter School to its beneficiaries; for example, food or clothing donated for distribution to the needy. If materials are donated for a specific use, they should be considered temporarily restricted contributions.

Donated Property and Equipment

Property donations received without donor-imposed stipulations as to their use are recorded as unrestricted contributions.

Donated Services

Donated services are recorded only in cases where they relate to specialized skills that would have to be purchased if not donated and be provided by someone having those skills.

Expenses

Types of Expenses

Expenses are classified into two types: Natural (Object) Classification and Functional Classification.

Natural (Object) Classification

This classification is based on nature of expense such as salaries and benefits, professional fees, rent, etc.

Functional Classification

This classification is based on the purpose for which they are incurred. This often requires the allocation of natural expenses to the proper functions. The functional classification of expenses assists the reader in assessing Amber Charter School's service efforts. The expenses should be segregated into the following:

- **Program Service Expense** - the direct and indirect costs related to providing a nonprofit school's programs or social services.
- **Supporting Service Expenses** - expenses for activities not directly related to the purpose for which Amber Charter School exists. These are broadly categorized as:
- **Management and General Expenses** - relate to the overall direction of Amber Charter School and include expenses for the activities of the governing board, business management, general record keeping, and budgeting.
- **Fundraising Expenses** - costs of all activities that constitute appeal for financial support and include costs of personnel, professional consultants, rent, printing, postage, telephone, etc.
- **Membership Development Expenses** Membership development expenses should include any expenses relating to the solicitation of new members and membership dues, membership relations, and similar expenses.

Budgeting

Amber Charter School developed a five-year budget plan as part of the application process when the school received its charter. On each subsequent renewal of its charter, the school develops a new five year budget.

Budgeting Planning Evaluation by Charter authorizer (SUNY, DOE, SED)

The school's budgeting and long range planning is reviewed periodically by its charter authorizer (SUNY, DOE, SED) and will be more thoroughly reviewed when Amber Charter School comes up for renewal of its charter.

Key Budgeting Policies

- The school's goal is to operate pursuant to its long-range financial plan. The school creates realistic budgets that are monitored and adjusted when appropriate. Actual expenses should be equal to or less than actual revenue with no material exceptions.
- An annual budget, prepared by the organization, is reviewed and approved by the Finance Committee and the Board of Trustees prior to the start of the fiscal year.
- The budget process starts early and input from the Board Members, school administration and staff is solicited and considered in developing the budget.
- Budget variances are analyzed routinely and material variances are discussed and addressed at the Board level including any necessary budget revisions.
- If there are significant material changes in the school's financial spending or revenue projections, the changes to the operating budget are reviewed by the Finance Committee and approved by the Board of Trustees at the half-year/third quarter meeting.
- The school's long-range fiscal plan is compared frequently to actual progress and adjusted to meet changing conditions.

School Procedures to Implement these Policies:

Amber Charter School develops an annual budget and budget monitoring process and documents the process in writing. The table on the following page is a sample of the school's process. The budget team consists of the Board Chairman, Board Treasurer, Head of School, Chief Financial Officer, and other Staff/Board Members as deemed necessary.

FY July 1- June 30	Budget Development
Time Line	Activities/ Steps
Sept	Strategic Planning – Annual Update of Strategic Budget
January	Define Budget Goals
January	Create Budget Assumptions
February- March	Assemble Supporting Information: Expenses: # of employees, positions, salaries, benefits, cost of leases, etc. Income: per-pupil allocation and other revenue expectations
April	Create/Update Budget Templates: Multi-page spreadsheet with worksheets for staff salaries and allocations, revenues & contracts, expenses by site/ grade level/or day vs after-school programs, admin expenses, full budget
April-May	Budget Expenses -- By Program/Site and Contract
April-May	Forecast Revenues --By Program Site and Contract
April-May	Finalize Draft Budget
May	Draft is presented and refined by management and board
May- June	Final Budget Adopted by Board of Trustees
FY July 1- June 30	Budget Monitoring
Time Line	Activities/ Steps
July	Budget Team Adopts Annual Monitoring Process/Schedule
August	First Monthly Report Prepared for Budget Team, Reviewed
January	Internal Accounting System Annual Review and Update
October	First Quarterly Package Prepared & Discussed by Board
August-June	Monthly Budget Monitoring
January	Semi-Annual Budget Package Prepared -- Based on 6 mo actual
February	Budget Revisions Proposed
Feb-March	Year-End budget projections and revised budget prepared & discussed.
March	Revised Budget and Final Budget Package Prepared, Reviewed and Adopted by Board of Trustees

Closing the Books and Records

Monthly Accounting Close

Amber Charter School must complete its preliminary monthly accounting close on the 15th of the month, for the previous month. On this date, all bank reconciliations are completed, and appropriate month-end adjustments are recorded. This preliminary process generates the following reports:

- For Amber Charter School as a whole
- Statement of Financial Position ("Balance Sheet")
- Statement of Activities for the month to date and year to date
- Statement of Revenues and Expenses
- Budget Comparison Report for the month-to-date and year-to-date
- For each Restricted Fund/Grant

These reports provide the basis for the Chief Financial Officer to request that the Finance Assistant perform certain account analyses in areas where variances seem inappropriate or where additional information is needed. Upon completion of these account analyses and recording of additional adjustments as deemed necessary, the final month-end closing package is prepared and circulated as follows:

- Head of School receives all reports listed above, after revisions.
- The Board Treasurer receives the same reports as the Head of School, with a cover memo highlighting the significant activity for the month.

Financial Package for Meeting of Board of Trustees

On a quarterly basis, after discussion with the Treasurer, the Chief Financial Officer will circulate the following information to the Board of Trustees one week(s) prior to the scheduled Board meeting:

- Statement of Financial Position
- Statement of Activities for the month to date and year to date
- Budget Comparison Report for the month to date and year to date, incorporating a variance analysis explaining variances in excess of 10% from the actual to the originally approved budget
- Updated cash flow model for the coming eighteen months, highlighting any periods of difficult cash flows

In addition to this package, the Executive Director provides a fundraising status update indicating the status of Amber Charter School's fundraising efforts, open proposals, etc.

Monthly Close for Not-for-Profits (including Charter Schools)

A typical monthly close in Amber Charter School is described below. If the school has outsourced its fiscal management, by contract, to a CMO or other fiscal outsourcing firm, this activity may be managed by Amber Charter School's fiscal outsourcing management firm. If the school manages its fiscal activities in house at Amber Charter School will develop closing procedures based on an adaptation of the procedures below.

Monthly Accounting Close – the school completes its monthly accounting close on the 15th of the month, for the previous month.

1. Expense recognition activities	Due date	Staff responsible
a. Payroll Expense Activities		
Print and review monthly payroll summary report, generated by combining the payroll reports completed during the current month.		
Prepare accruals for salaries, wages & benefits to month end (if your organization has a bi-weekly payroll).		
Review accruals and post to the general ledger (GL).		
Payroll is recorded on a cash basis -- payroll checks are recorded on the check date, regardless of when the employee worked for the paycheck. If the school's payroll is semi-monthly, the last pay date of each month produces a monthly payroll summary report. If the school's payroll is 26 times per year, payroll to the end of the year must be accrued. Personnel costs are allocated to the appropriate department (including administration), program and contract using a reasonable and consistent allocation methodology. Allocations are required for revenue recognition of foundation grants and cost-reimbursement government contracts. For payroll, the grant/program fixed allocation is the method used for recording time spent on each program.		
b. Accounts Payable - Purchases – OTPS (other than personal services/expenses)		
Review credit card statements, and other reimbursement expense reports, matching to supporting documentation for approved travel and other reimbursement expenses.		
Close purchases and post to the GL at month-end plus 3-5 days.		
Review purchases for possible accruals and post to GL.		
Update fixed-asset ledger and accrue depreciation expense on fixed asset (see below)		
Accrue pre-paid expenses (insurances, real-estate taxes, interest expenses, etc.) to match expenses to current month.		
Purchases are recorded when invoices are received from vendors and contractors, they must be matched to supporting documentation. Purchases are closed a few days after the month-end to allow for receipt and matching of invoices - a firm closing date should be enforced. Invoices received after the close date are posted in the subsequent period, with the exception that some invoices may be appropriate for accrual, such as multi-month contracts. Prepaid expenses should be matched to the time period in which they were expended with an appropriate general journal entry (GJE). OTPS (other than personnel expenses) must also be allocated to department (including administration), program and contract.		
c. Accounts Payable - Cash Disbursements		
Print checks register report at end of month.		
Close cash disbursements on the last day of the month.		

Cash disbursements are recorded on the same day the check is written, thus cash disbursements can be closed at the end of the last day of the month.		
2. Revenue recognition activities	Due Date	Staff Responsible
a. Accounts Receivable - Vouchering & Billing		
Bill recurring invoices, prior to month end.		
Complete all billing and government contract vouchers by last day of month.		
Print month end billing summary report and close billing.		
Receive fundraising report from Development department, updating grants and pledges receivable.		
Accrue grants and pledges receivable and post to GL.		
Accrue interest income and post to GL.		
The billing sub-system generates bills for services. A significant portion of many organization's revenues are for services provided under government contracts. Vouchering for government contracts may be based on: 1) Personnel and OTPS costs incurred to fulfill cost-reimbursement contracts -dependent on timely reporting of correctly allocated program expenses, or 2) service milestones achieved for performance-based government contracts - dependent on systems to record performance milestones, such as client tracking software, or 3) satisfaction of other timing and/or purpose restrictions associated with certain contracts and grants - requires contract management tracking system.		
b. Accounts Receivable - Cash Receipts		
Print cash receipts summary reports after final day's receipts are recorded.		
Close cash receipts and post to GL.		
The cash receipts summary report records payments received by all methods (check, wire transfer, cash, credit card) to the organization's bank accounts. When cash receipts are closed, the general ledger (book balance) will be compared to the bank statement balance in the bank reconciliation process.		
3. Account analysis activities to ensure the general ledger balance is correct.	Due Date	Staff Responsible
a. Cash Accounts - Bank Reconciliation		
Complete bank reconciliations for each cash account. On-line bank reconciliation is increasingly used by organizations to reconcile bank accounts daily or weekly, shortening the month-end bank reconciliation process and eliminating the necessity to wait for the printed bank statements to arrive by mail to begin bank reconciliations.		
Bank reconciliations are an important control that can be used to verify the accuracy of the cash balance recorded in the accounting records and on the bank statements. The reconciliation must be prepared in a timely manner by an individual who is not involved in the handling or recording of cash receipts or disbursements, and must be reviewed by someone independent of the preparer. This separation of duties helps provide accountability over funds and disclose errors and irregularities. The individual performing the reconciliation and the individual reviewing it should be identified on the document. Once cash receipts are closed, the general ledger (book balance) is compared to the bank statement balance in the bank reconciliation process. This is the account analysis process for cash accounts. Check differences are often timing related. Aging of uncleared checks should be analyzed to clear stale checks. Checks that clear bank but not recorded in register indicate a major accounting procedural problem.		
b. Marketable Securities		

Update marketable securities to fair market value, recording an increase or decrease in net assets. FASB 124 requires equity securities to be listed at fair market value.		
c. Accounts Receivable Control Account		
After billings and cash receipts are closed, print the preliminary aged accounts receivable report, sometimes called the A/R open item report.		
Review, analyze & make any necessary adjusting entries to GL.		
Compare open item balance report to general ledger balance.		
The A/R control account is credited by the cash receipts sub-system when payments are received from grantors or contractors, and debited by the billing sub-system when a bill or voucher is generated. The A/R open item report is a list of all amounts due the organization for revenue earned but not yet received. The first step in account analysis compares open item reports to the GL.		
d. Prepaid Expenses		
Review prepaid expense accruals and make any adjusting entries to GL, if required.		
An underlying concept of accrual accounting is matching revenues to expenses. Prepaids are accrued to match expenses to revenue for the same monthly time period. Vendor invoices for some services (such as insurance, real estate taxes, etc) arrive according to the vendor's schedule, covering expenses for multiple months and up to a year.		
e. Fixed Assets		
Review depreciation expenses and update fixed asset ledger.		
Account analysis of fixed assets required the creation and maintenance of an asset ledger, something often required by grant guidelines.		
f. Accounts Payable Control Account		
After purchases and disbursements are closed, print preliminary aged accounts payable report, sometimes called A/P open item report.		
Review, analyze & make any necessary adjusting entries to GL.		
Compare open item balance report to general ledger balance.		
The A/P control account is credited by the purchases sub-system when each vendor invoice is posted and debited by the cash disbursements sub-system when each invoice is paid. A/P open item report is a list of every unpaid vendor invoice and equals the A/P account in the GL. This first step in account analysis compares open item reports to GL.		
f. Accrued Expenses		
Analyze and update accrued expenses.		
Possible accrued expenses: payroll, audit and professional fees, real estate taxes, payroll taxes, interest expense.		
g. Notes Payable		
Analyze notes payable accounts to ensure interest and principal was recorded accurately. For example, notes payable for mortgages or lines of credit.		
h. Net Assets		
Analyze classification of net asset accounts to ensure net assets are appropriately classified as unrestricted, temporarily restricted or permanently restricted.		
Unrestricted net assets (UR) come from support sources that place no conditions or stipulation on the use of funds.		

Temporarily restricted net assets (TRA's) are conditional, limited by timing or purpose as specified in contracts or grant agreements. When conditions have been met, TRAs are reclassified as UR's. Closing journal entries are not made monthly, but a year end. Interim reporting and analysis is performed monthly or quarterly for management and other purposes.

4. Financial Reporting Activities	Due Date	Staff Responsible
Run preliminary budget-to-actual reports by department, program and contract & send to managers for variance explanations.		
Work with program managers to refine variance analysis report and finalize report.		
Review final financial package and complete month-end financial statements formatted for appropriate levels of management responsibility at board, senior management and program levels.		
Account analysis is now complete, and the generation of monthly financial report package begins.		
<p>Final report package includes: Budget-to-actuals (organization wide, department, program and contract), Balance Sheet (Statement of Financial Position), Aged A/R and A/P reports, 12-18 month cash flow forecast updated to current month.</p> <p>The final month-end closing package is circulated as follows:</p> <p>The School Leader (School Leader (Executive Director or Principal)/Principal) receives all reports listed above, after revisions.</p> <p>Treasurer and Finance Committee receive the same reports as the School Leader, with a narrative highlighting the significant activity for the month.</p>		

Audit(s)

Amber Charter School must follow the accounting standards set forth by the Financial Accounting Standards Board (FASB), as well as certain standards set forth by the American Institute of Certified Public Accounts (AICPA).

The financial records of Amber Charter School are audited annually by an independent, external auditor in accordance with FASB 116 & 117 regulations Amber Charter School. In addition, at a point in time when Amber Charter School has federal contracts that exceed \$500,000 per year it will be required to be audited under the terms of the Office of Management and Budget (OMB) Circular A-133.

The audit provides the highest level of assurance that the financial records are an accurate representation of the organization's financial position. It is based on the auditor's testing and analysis of transactions according to professional guidelines.

Annually, the Finance Committee of the Board, reviews and approves the contract with the external auditor. Under the provisions of Sarbanes-Oxley anti-fraud legislation, Amber Charter School follows the practice of issuing a formal RFP and conducting a competitive bidding process for external auditors once every five years.

The audit must be completed in timely manner, generally not to exceed four months after the close of the fiscal year. The Chief Financial Officer works with the external auditor to contract for an audit timeline and deliverables and due dates for the annual audit.

The audit produces financial statements in the format required by FASB 116 & 117, including:

Statement of Financial Position

Statement of Revenues and Expenses

Statement of Cash Flows

Statement of Functional Expenses

Federal Contracts: A-133 Audit Compliance

In the future it is likely that Amber Charter School will become a nonprofit organization that expends \$500,000 or more a year in federal financial assistance. When that occurs, it must arrange for and participate in a single audit. This mandate is in accordance with the Single Audit Act Amendments of 1996 and the Office of Management and Budget Circular A-133, Audits of States, Local Governments and Nonprofit Organizations.

Purpose of a Single Audit

Single Audits performed under the A-133 Circular are slated to cover the entire operation of Amber Charter School or at a minimum, the departments and/or units that receive and expend federal financial assistance. The purpose of the audit is threefold:

To determine if Amber Charter School financial statements accurately reflect its true financial position and picture of operations, in accordance with Generally Accepted Accounting Principles.

To determine if Amber Charter School has internal accounting and control systems that provide a reasonable assurance that it administers federal awards in compliance with relevant laws and regulations.

To determine if Amber Charter School is in compliance with the laws, regulations, and agreements that may have a material effect on its financial statements and each major federal assistance program, as defined in the Act and revised A-133 Circular.

Arranging for an Audit

The Chief Financial Officer is responsible for arranging for the performance of a required annual independent audit. Amber Charter School adheres to a policy of soliciting competitive bids for auditors once every five years.

Following the selection of an appropriate bidder, Amber Charter School mandates receipt of an audit engagement letter to identify the services, terms, and delegation of roles and responsibilities of the school and the auditor.

The Chief Financial Officer negotiates an audit timeline with the external auditor and coordinates with Amber Charter School staff who may be involved in the audit to schedule their roles in the audit.

Audit Submission, Follow-up, and Resolution

Although Amber Charter School does not currently apply, when its federal expenditures exceed \$500,000 per year, it will become an organization mandated to comply with the A-133 Circular. When Amber Charter School meets this standard, it will be required to submit a copy of its completed audit reporting package along with a Data Collection Form to the Single Audit Clearinghouse. The clearinghouse will retain a copy of the report and issue copies of the report to all federal awarding agencies identified on the Data Collection Form.

Amber Charter School's staff must understand that the results from reviews of publicly funded programs have implications on the organization's ability to retain and secure funding. In accordance, Amber Charter School staff actively undertakes any corrective actions needed to resolve deficiencies or discrepancies uncovered by all A-133 audit findings.

Form 990 Dissemination

Amber Charter School is required to annually report to the IRS utilizing the Form 990. The Form 990 is a public document, and is made available to the public on websites such as: Guidestar, www.guidestar.org.

The Form 990 statement is prepared by the external auditor as one of the financial statements prepared in the course of the annual financial audit.

As required by the IRS, hard copies of Amber Charter School 990's are available to the public upon request, and may be obtained from the Amber Charter School at its school location.

Special Audit Requirements for Charter Schools

As a charter school, Amber Charter is subject to several types of audits and must comply with auditing standards or guidelines set forth by legislation and regulatory agencies. These include:

Annual Audits of Financial Statements by an external auditor, with special guidelines as laid out by the State Education Department (SED) and its charter authorizer (SUNY, DOE, and SED).

A-133 Audits, for schools spending federal funds in excess of \$500,000

Internal Control Audits by the New York State Comptroller Office in accordance with the School District Accountability Act of 2004.

New York State Education Department Audit Guidelines

Amber Charter School follows the guidelines for annual audits of the financial statements of charter schools as set forth by the New York State Department of Education, quoted below. The school completes and sends copies of its audited financial statements to the State Board of Education by **November 1st** of each year, as required by charter school legislation.

If the school's charter authorizer is NYC DOE, four copies are due to DOE a minimum of three business days before November 1st.

Guidelines for Audits of the Financial Statements of Charter Schools⁵

"The New York charter schools act of nineteen hundred ninety-eight requires that a charter school "shall be subject to the financial audits, the audit procedures, and the audit requirements set forth in the charter. Such procedures and standards shall be applied consistent with generally accepted accounting and audit standards. Independent fiscal audits shall be required at least once annually."

These guidelines are provided to assist charter schools in New York State and their auditors through the annual audit process. The guidelines are also intended to provide some uniformity in the reporting by charter schools and to assist the

⁵ State Department of Education, copies are available through their website.

www.emsc.nysed.gov/psc/GuidelinesforAudits.htm

Board of Regents in meeting its responsibilities for ensuring accountability over public funds and for reporting annually to the Governor and Legislature on the status of charter schools.

Each audit should meet the following minimum standards:

Audit Requirements

- An independent and licensed Certified Public Accountant or Public Accountant should perform the audit.
- The audits should be conducted in accordance with generally accepted auditing standards and Government Auditing Standards, issued by the Comptroller General of the United States.
- If the charter school spends \$500,000 or more in federal awards during the fiscal year, an independent audit as prescribed in the federal Office of [XXXX].
- Management and Budget Circular A-133 must also be completed and filed with the federal government and the State Education Department.

Reporting Requirements

- The sample format for the financial statements is provided in accordance with Section 2851 of the Education Law.
- The financial statements should be prepared on the accrual basis of accounting in accordance with generally accepted accounting principles for Amber Charter School.
- All statements required by Financial Accounting Standards Board (FASB) .
- Statement No. 117, Financial Statements of Amber Charter School, should be presented including a Statement of Financial Position, Statement of Activities and Statement of Cash Flows. Required note disclosures and others that are deemed appropriate should be included.
- A supplemental schedule of functional expenses, in a format consistent with the attached, should be included and subject to the auditing procedures applied in the audit of the general purpose financial statements. Such supplemental schedule is not a required part of the general purpose financial statements and should be included for the purposes of additional analysis.
- When applicable, the auditor should prepare and submit a management letter. A copy of the management letter should be submitted with the financial statements along with the school's corrective action plan to address any weaknesses identified in the report or the management letter.

Reports (the independent auditor's report on the financial statements, report on compliance, report on internal control over financial reporting, management letter, and federal Single Audit, if applicable) must be submitted within 120 days of the end of the charter school fiscal year to the following addresses:

Public School Choice Programs - Room 462 EBA
New York State Education Department
89 Washington Avenue
Albany, NY

Charter Authorizer (SUNY, DOE, and SED) Audit Guidelines

Amber Charter School also follows the audit guidelines set forth by its charter authorizer (SUNY, DOE, SED). Audit guidelines for each authorizer can be found at:

SUNY, as described in the Reference Guide for Audits of Charter Schools Authorized by the State University of New York (SUNY), 2nd Edition, July 2006, available through www.newyorkcharter.org

SED, NY State Department of Education's guidelines. Consult t NYC DOE's website @ www.emsc.nysed.gov/psc/GuidelinesforAudits.htm

NYC DOE, consult the NYC office of Charter Schools website at <http://schools.nyc.gov/OurSchools/Region84>

Internal Control Audits by the Office of the State Comptroller

In June 2005 the New York State legislature passed the School District Accountability Act⁶ to improve the internal control structures of school districts and *charter schools* and to increase the effectiveness of oversight mechanisms.

The legislation requires the Office of the State Comptroller (Comptroller) to audit each school district, *charter school* and BOCES by March 31, 2010⁷.

The results of these audits will be reported to the Governor, legislature, media and publicly posted on the Comptroller's website.⁸

The legislation was put in place in response to several high-profile accounting scandals involving public school districts in the State of New York.

Charter Schools are included in the School Accountability Act because they are designated as public schools and fall under the authority of the State Comptroller's Office for Audits.

The Comptroller's office has selected five key areas of fiscal operations to focus their investigations in charter schools.

The areas include:

1. Fiscal oversight of the Board of Trustees
2. Disbursements and expenditures
3. Procurement and contracting
4. Payroll and personnel
5. Fixed assets.

Note: The auditors may expand their review to additional areas, if they discover other weakness they believe require assessment.

⁶ Chapter 263 of the Laws of 2005, New York State Legislature

⁷ Charter Schools Institute, Reference Guide for Audits of Charter Schools Authorized by SUNY, 2nd Edition, July 2006 by Charter Schools Institute State University of New York, 41 State Street, Suite 700, Albany, New York 12207, 518/433-8277, 518/427-6510 (Fax) www.newyorkcharters.org

⁸ See www.osc.state.ny.us, specifically, <http://www.osc.state.ny.us/localgov/audits/2006/schools/index.htm>

Information Technology and Accounting Software Systems

Amber Charter School's current accounting software is MIP Fund Accounting. The Chief Financial Officer annually reviews the school's accounting software and other IT systems to assess the systems' internal controls, operating efficiency and availability of financial information to key decision makers. The Chief Financial Officer reports on his/her review to the Treasurer and Finance Committee of the Board.

Internal Control Objectives of IT/Accounting Software Systems

- Capture, process, and maintain information completely and accurately and provide it to the appropriate personnel to enable them to carry out their responsibilities and to allow the reliable preparation of financial statements.
- Computer operations use correct programs, files, and procedures.
- Program modifications are implemented correctly.
- Access is restricted to authorized personnel.

Potential Errors and Fraud

- Unauthorized access to information and programs.
- Application programs that do not meet management's objectives.
- Processing of unauthorized transactions and omitting of authorized transactions.

Accounting Software Systems:

Features of a good accounting software system include:

Flexible Chart of Accounts (COA). The COA should be segmented to allow for reporting at various levels. To appropriately track income and expenses, the software should allow transactions to be recorded and reported by fund, program, funder, or any combination of the three. Defining your COA should be done as the first step in implementing software.

Records Payables and Receivables on an accrual basis. Accrual accounting means invoices (expenses) are entered when received (incurred), not when the invoices are paid.

Billing. Ability to generate invoices directly from the accounting software.

Purchasing and Receiving processes integrated in the software, including the ability to produce purchase orders.

Flexible Reports. To minimize errors and ensure efficiency by eliminating manual reporting, financial reports should be able to be produced directly from the software. Since funders often specify the format in which expenses are to be reported, the software should allow for easily customized reports.

User Security. The software security plan should tie to the organization's internal controls. For example,

- The system should use assigned user IDs to limit access to adding, changing, or deleting transactions. Users should have access rights, appropriate to their responsibilities.

- Users with access to enter vendors should be different from users with access to enter invoices or cut checks

Budget Module – for tracking of budget and variances. To help track revenue and spending goals throughout the year, the software should allow for entry of the school budget by program and grade level, and report budget-to-actual results at the program, grade and funder levels.

Checks printed directly from software – [XXX]

Automated Allocations – important to ensure consistency. To calculate the true costs of programs, the software should be able to automatically allocate overhead expenses based on a consistent application of the school's cost allocation methodology.

Data integration with donor tracking and payroll data systems - including capacity to download data into the accounting system.

Technology Considerations

If the school's financial department is more than just one person, the accounting software should be 'networked' to provide access to the entire fiscal staff.

Also consider the needs of those outside the fiscal office to 'view' financial results, budgets, etc.

Higher-end software can mean a higher level of technical requirement and therefore higher maintenance and support costs.

Cost Considerations

The price of the software itself is only one component of the total cost of implementing the system.

Yearly maintenance costs and fees for software publishers' version upgrades should also be considered, as well as any increases in technical or hardware capacity that would be required to operate the system.

A software implementation budget should include appropriate staff training to ensure that the system will be used to its full capacity.

Document Retention

The American Competitiveness and Corporate Accountability Act of 2002, also known as the Sarbanes-Oxley Act, was passed in response to the corporate accounting scandals that took place in 2001 and 2002. Although most of the provisions of the act apply only to publicly traded corporations, two provisions of the law apply to nonprofit organizations including provisions for whistleblowers and document retention.

The Sarbanes-Oxley Act makes it a crime to alter, cover up, falsify, or destroy any document (or persuade someone else to do so) to prevent its use in an official proceeding. Like their for-profit counterparts, nonprofits need to maintain appropriate records about their operations. Amber Charter School has adopted a written, mandatory document retention policy:

Amber Charter School's records will be maintained for the periods sufficient to satisfy the Sarbanes-Oxley legislation, IRS regulations, federal grant requirements, OMB A133 audit requirements, if applicable, and other legal needs as may be determined.

Record retention requirements are reviewed annually with legal counsel and independent auditors to determine any necessary changes.

Type of Document	How Long to Retain
Accounting	
Accounts payable ledgers	7 years
Accounts receivable ledgers	7 years
Annual reports	Indefinitely
Annuity gift agreements	Indefinitely
Audited financial statements	Indefinitely
Bank deposit records	3 years
Bank reconciliations	7 years
Bank statements	7 years
Canceled checks (ordinary)	7 years
Canceled checks (taxes, property and important payments)	Indefinitely
Contributions/donations/grants (unrestricted)	7 years
Contributions/donations/grants (temporarily restricted)	Indefinitely
Contributions/donations/grants (perm. restricted/endowment)	Indefinitely
Expense analyses/distribution schedules	7 years

Fixed asset records, appraisals, depreciation schedules	Indefinitely
Internal audit reports	3 years
Invoices (to customers/from vendors)	7 years
Life income agreements	Indefinitely
Physical inventory records	7 years
Purchase orders	3 years
Requisitions	7 years
Shipping and receiving reports	3 years
Subsidiary ledgers	7 years
Tax returns (IRS form 990) and worksheets	Indefinitely
Uncollectible accounts and write-offs	6 years
Vouchers for payment to vendors, employees and others	7 years
Withholding tax statements (W4's)	4 years

Corporate

Charters, constitutions, bylaws	Indefinitely
Contracts, mortgages, notes and leases (expired)	7 years
Contracts still in effect	Indefinitely
Deeds, mortgages, bills of sale	Indefinitely
Incorporation records, 501(c)(3) determination	Indefinitely
Labor contracts	Indefinitely
Loan documents, notes	Indefinitely
Licenses	Indefinitely
Minutes from board meetings	Indefinitely
Patents and related papers	Indefinitely
Trademark registrations and copyrights	Indefinitely

Personnel

Employment applications (not hired)	3 years
Garnishments	7 years
I-9's (after termination)	1 years

Payroll records and summaries	7 years
Personnel files (after termination)	7 years
Retirement and pension records	Indefinitely
Time sheets	7 years
Insurance	
Accident reports and claims	Indefinitely
Fire inspection reports	6 years
Group disability reports	6 years
Insurance records (expired contracts)	4 years
OSHA logs	8 years
Worker's compensation documentation	10 years
Correspondence	
Correspondence (general)	3 years
Correspondence (legal and important matters)	Indefinitely
Email	30 days to 18 months
Records on servers, individual computers and diskettes	Reviewed annually

Financial Reporting

Financial reporting to Board, Management and others

The following reports are prepared on a monthly basis:

- For Amber Charter School as a whole
- Statement of Financial Position (“Balance Sheet”)
- Statement of Activities for the month to date and year to date
- Statement of Revenues and Expenses
- Budget Comparison Report for the month to date and year to date
- For each Restricted Fund/Grant
- Budget Comparison Report for the month to date and year to date

On a quarterly basis, after discussion with the Treasurer, the Chief Financial Officer will circulate the following information to the Board of Trustees one week(s) prior to the scheduled Board meeting:

- Statement of Financial Position
- Statement of Activities for the month to date and year to date.
- Budget Comparison Report for the month to date and year to date, incorporating a variance analysis explaining variances in excess of 10% from the actual to the originally approved budget
- Updated cash flow model for the coming eighteen months, highlighting any periods of difficult cash flows

In addition to this package, the Head of School provides a fundraising status update indicating the status of Amber Charter School’s fundraising efforts, open proposals, etc.

Financial Reporting to Regulating Agencies

Amber Charter School complies with all financial reporting requirements of the agencies that regulate charter schools. See section on Contract Management and Reporting below.

Grants and Contracts Management and Reporting

This section outlines the policies and procedures for the processing of governmental funding within Amber Charter School Financial reporting for evaluation by the Charter authorizer (SUNY)

- Establishment and maintenance of the school's cost allocation plan
- Cost principles and contract management
- Reconciliation of contract reporting to the school's accounting records
- Annual audit requirements
- Advances on government contracts
- Indirect costs

Financial Reporting Evaluation by Charter Authorizer (SUNY, DOE, SED)

The school's financial reporting practices are periodically reviewed by its charter authorizer (SUNY) and will be more thoroughly reviewed when Amber Charter School comes up for renewal of its charter.

Financial Reporting Policies for Regulating Agencies:

The school complies with all financial reporting requirements.

The school provides the charter authorizer (SUNY) and the State Education Department with required financial reports on time and such reports are complete and follow generally accepted accounting principles.

The following reports are filed with its charter authorizer (SUNY) and other regulating agencies in a timely, accurate and complete manner:

- Annual financial statement of audit reports, including federal Single Audit (A-133) if applicable.
- Annual budgets and cash flow statements
- Un-audited quarterly reports of income and expense
- Bi-monthly enrollment reports to the district and State Education Department
- Grant expenditure reports

Key School Policies

Amber Charter School must maintain an annual cost allocation plan, which is reviewed and approved by the Board of Trustees.

- All costs reported to funders are reconciled to the books and records prior to submission.
- Amber Charter School complies with annual regulatory audit and tax filing requirements.

School Procedures to Implement these Policies

Sources of Government Revenues and Reporting Requirements

As a New York State Charter School, Amber Charter School is eligible for many types of government revenue. The New York Center for Charter School Excellence www.nycchartercenter.org is one resource for identifying current government funding sources for which the school may be eligible. Web sites of New York State charter authorizers (SUNY-CSI, SED, and NYC DOE) and the New York State Department of Education are other resources for government revenues.

Charter Schools must comply with government funder, authorizer and other oversight agency reporting requirements. Current reporting requirements for Charter Schools are listed on each of the websites described above.

Primary Funding Source: Adjusted Operating Expense (AOE)

A charter school's primary source of operating funds is the bi-monthly AOE payment, or adjusted operating expense payment. Statute requires that the DOE (as the school district for New York City charter schools) pay charter schools a per-pupil amount "equal to the approved operating expense per pupil of the public school district".

In New York City, the AOE payment not only includes the mandated per-pupil payment (based on enrolled FTEs) but also folds in aid for students with disabilities, including Excess Cost Aid / High Cost Aid (SED), NYC Charter School Financial Enhancement for Special Education (DOE) and IDEA funding (federal).

This NYCDOE-allocated entitlement is responsible for approximately 80% of a charter school's annual general operating revenue. This will be the most important figure to estimate when producing your annual budget projections.

New York State posts preliminary AOE figures in March for the following fiscal year, allowing charter schools to begin their initial budgeting process by multiplying this allotment by their projected FTE enrollment for the upcoming school year. This preliminary number has historically represented the final funding level and charter planners can reasonably assume that this is solid data on which to base budgeting numbers.

AOE Details

Funds Uses/Restrictions: None

Application Process: Schools submit an electronic invoice to the Office of New Schools (ONS) six times annually, one month prior to the scheduled disbursement date. This invoice captures the actual number of FTE students being served at the time the invoice is submitted, broken out by grade level. Schools are advanced two months of AOE at a time – i.e., money received on March 1 is meant to cover March and April. Please note: New charter schools must submit a W-9 form to the NYC DOE's Director of Operations in order to receive timely AOE payments. This form will be provided to school leaders and should be submitted well in advance of the July 1 invoice payment date.

Timing: Funds are disbursed on or about July 1, September 1, November 1, January 1, March 1, and May 1.

Reporting Requirements: Schools must submit an Annual Reconciliation Report in addition to bi-monthly invoices.

Calculating FTEs: FTE (full-time equivalent) calculations are required to produce the student enrollment figures used to allocate general operations funds.

FTE units are based on the dates that a child is enrolled in your school. For example, a student who starts school on the first day and ends on the last day is an FTE = 1, while a student who starts in the middle of year and stays enrolled through the last day is an FTE = .5.

The New York State Education Department provides an FTE calculator on its website:

http://stateaid.nysed.gov/scripts/sa/FTE03_12.idc Use this calculator to produce FTE figures for your bi-monthly charter school invoices.

Note: The state calculator is based on the DOE school year. If your school has an extended year program, you may be required to calculate extra months/weeks. (Amber has extended days on Tuesdays and Thursdays)

Definition of Indirect Cost for Grant Reporting

Indirect costs are those costs incurred for common or joint purposes that cannot be readily assigned to a particular function in Amber Charter School. While it is not possible to specify the types of costs that will always be indirect, the following are often included:

- Depreciation allowance on buildings and equipment
- Cost of operating and maintaining a facility
- General and administrative expenses, such as salaries and benefits of the executive office, personnel administration, and accounting

Indirect costs are allocated in the following manner:

Simplified Allocation Method - Allowed by a federal agency for agencies whose programs benefit from the indirect costs to approximately the same degree and total direct costs do not exceed \$10,000,000. The simplified rate plan means Amber Charter School has one indirect cost rate for the entire organization. The rate is established as follows:

- Separate Amber Charter School's total costs for the period into direct and indirect costs.
- Separate the indirect costs into allowable and unallowable costs.
- Divide the total allowable indirect costs by an equitable cost base. To be equitable, the base must exclude capital expenditures, major subcontracts, or other unallowable costs.

For example, if Amber Charter School has total allowable indirect costs of \$750,000 and allowable direct costs of \$3,000,000, the indirect cost rate is 25%.

School Procedures to Implement Cost Allocation Policies

Annual Cost Allocation Plan

As part of the annual budgetary process, the Head of School/Principal and the Chief Financial Officer review the programs to be delivered in the coming year and determine the costs to deliver each program. These costs are segregated between fixed overhead costs and direct costs of delivering the specific programs. In this effort, the Head of School/Principal and the Chief Financial Officer identify the following:

- Personnel assigned to the program
- Other resources directly assigned to the program other than personnel
- Resources which are shared across all programs, and identify the most appropriate means of allocating these shared costs to each of the programs

The level of personnel assigned to the specific program becomes the basis for allocating the related personnel benefits, as well as all other costs not directly chargeable to a program.

This cost allocation plan provides a total cost for each program and yields allocation percentages to be utilized in costing shared expenses throughout the year. At the end of each quarter, the cost allocation plan is reviewed by the Chief Financial Officer, in light of the actual results to date, funder budget modifications, and any other relevant data. Any adjustments to the allocation plan are then incorporated and budget modifications are prepared as deemed necessary.

Time Clock as a Basis for Allowable Grant Charges

Time clock serves several purposes. They are the means by which Amber Charter School tracks the amount of hours an employee works for payroll purposes. In the case of restricted funding for specific positions, the time clock serve as the method of tracking level of effort for an employee for a given program and as such serve as the basis for a salary charge to be allowable under a restricted grant. Employees do not work on contracts or grants; they work on delivering the mission of Amber Charter School via the specific programs that Amber Charter School offers. Hence, the time clock is not designed to track the individual's time dedicated to a particular grant, but rather the individual's involvement in the specific program.

All employees of Amber Charter School are required to clock-in. On a quarterly basis,* the Chief Financial Officer reviews the time sheets and compares the level of effort of employees to specific programs receiving restricted funding denoted in the financial system. If the level of effort to the program exceeds the funder's contribution to the program for that staff level, no further investigation is deemed necessary. This shortfall in funding will, as a result, be covered by the Unrestricted Fund. If the level of effort is less than that covered by the funder, the Chief Financial Officer will bring this to the attention of the Head of School and the director for that program in order to determine if a budget modification is necessary or what additional steps should be taken to ensure that no unallowable costs have been charged to the specific grant. On a pay period basis, level of effort to a program, in excess of amounts funded, must be absorbed by the Unrestricted Fund.

Segregation of Costs for Grant Reporting

Amber Charter School's accounting system allows for a separate set of books and records for each restricted grant Amber Charter School receives. Hence, each grant has a standalone detailed accounting of revenues and expenditures attributable to it during the life of the grant. This accounting is based on the life of the grant and is irrespective of Amber Charter School's fiscal year. All charges to the grant are based on direct costs incurred or costs allocated on a consistent, verifiable basis following the school's annual cost allocation plan.

Mandated Cost Principles/Contract Management

Governmental funding for Amber Charter School is composed of the following:

- Federal funding (direct, state pass-through, city pass-through)
- State funding
- City funding

Each government grant/contract provides specific contract compliance guidelines to which it is held accountable. Federal funding guidelines are based on the stipulations provided by certain circulars issued by the United States Office of Management and Budget (OMB Circular A-110 and A-122). These circulars outline the basic principles that indicate the allow ability of costs and hence form an integral part of Amber Charter School's reference documents when carrying out programs funded by federal agencies. In certain circumstances, the funders will provide their specific reference guides, which incorporate these federal circulars. In other cases the Chief Financial Officer must refer to these circulars directly in determining the allow ability of certain costs.

* This review should be performed as often as possible to ensure that any potential staff allocation issues are identified on a timely basis.

Certain government funders, even when not including a federal pass-through, will require that Amber Charter School follows the federal costing principles. To ensure compliance with the funder's requirements, the Chief Financial Officer is responsible for reviewing each grant/contract prior to final acceptance by Amber Charter School, and it is his/her responsibility to ensure ultimate compliance therewith.

Monthly Reconciliation to Accounting Records

All government grant contracts in effect for Amber Charter School operate on a cost reimbursement basis. In this method, Amber Charter School must have incurred the expenses before it can request reimbursement from the funding source. In preparing the monthly voucher submitted to the funding source, the Chief Financial Officer is responsible for the reconciliation of the books and records for the particular grant and ensures that only incurred costs are included in the monthly voucher submitted to the funding school.

Annual Audit Requirements

All agencies receiving over \$500,000 in federal funds must undergo an independent audit under the guidance provided by OMB Circular A-133. This audit is to be completed within nine months^{*} of the school's fiscal year-end and must be remitted to the United States Clearinghouse within thirty days of receipt.

Advances on Contracts

Some government contracts will assist Amber Charter School's cash flow by providing up to 25% of the full contract as an advance, to be recouped via reduction to subsequent payments throughout or toward the end of the contract. Amber Charter School recognizes that these advances are a liability to the school and in forecasting cash flows takes into account the timing of recoupment of these amounts by the funding agency.

The school's primary government contract is the Adjusted Operating Expense (AOE), and it is paid bi-monthly on the basis of a charter school's projected per-pupil full time equivalent (FTE) enrollment. An annual reconciliation is performed, and should the school's projected enrollment be found to be higher than reported enrollment, funds advanced by the funder for projected FTE will be due the funder.

*Prior regulations allowed thirteen months

**Specific funding sources may have specific allocation methods. For example, any New York school that has to report its costs on the CFR. OMRDD, OMH agencies must use the Ratio Value Method, a variation of Direct Cost.

6

Chapter 6 ASSETS AND LIABILITIES

Capital Assets and Depreciation

This section outlines the policies and procedures employed in Amber Charter School's handling of capital assets:

- Categories of property, plant and equipment
- Capital budgeting
- Option to purchase or lease equipment
- Keeping accurate records of capital assets
- Assets purchased with government funds
- Calculation and recording of depreciation expense
- Disposal of capital assets
- Annual physical inventory

Internal Control Objectives

- Property, plant, and equipment are purchased only with proper authorization.
- Property, plant, and equipment purchases are recorded correctly as to account, net asset classification amount, and period.
- Disposals, retirements, trade-ins, and write-offs are identified promptly and recorded correctly as to account, amount, and period.
- Property, plant, and equipment are adequately safeguarded and insured.
- Depreciation is calculated correctly using proper lives and methods and is recorded in a timely manner.

Key School Policies

- Amber Charter School prepares an annual capital budget.
- Acquisitions that materially add to the value of the property and prolong the useful life are deemed to be capital assets.
- All capital acquisitions must be initialed by an approved appropriation request.
- All assets are to be identified, tagged, and entered into the detailed fixed asset ledger.
- On an annual basis, Amber Charter School must perform a physical inventory of all capital assets, and the books and records are reconciled to the results of the physical inventory.
- Leases meeting the criteria for capitalization are capitalized and depreciated on an annual basis.
- Depreciable assets are carried at the original net acquisition cost. Non-depreciable capital assets (e.g., land) are carried at the original net cost.
- Depreciation guidelines are based on the expected useful life of the asset.
- Disposal of capital assets occurs only after proper authorization has been given by the School Leader (Head of School/Principal) and funding agency, if applicable.
- Fully depreciated assets remain on the property records with the related accumulated depreciation as long as the property is still in use.

School Procedures to Implement These Policies

General

Property, plant, and equipment are generally categorized by the following broad asset types:

- Land
- Buildings and facilities
- Machinery and equipment
- Furniture, fixtures, and office equipment
- Leasehold improvements
- Computer equipment, including software
- Construction in progress
- Automobiles and transportation equipment
- Equipment leased under terms that meet criteria for capital leases

Capital Budgeting

In addition to the annual operating budget, the Chief Financial Officer is responsible for preparing an annual capital budget. The capital budget represents an ongoing five year capital requirements analysis whereby the school reviews its existing capital assets, compares these to the outlined needs for the upcoming five years, and provides a time line for meeting these needs.

Once a capital asset is included in the school's approved capital budget, the actual acquisition can only take place only after the completion of an appropriation request.

Approval of Appropriation Requests

Appropriation requests are to be submitted in writing and approved by appropriate levels of management as determined by the dollar magnitude of the acquisition, before funds are committed for capital expenditures.

Appropriation requests are required for all capital asset expenditures for which the cost exceeds \$1,000^{*}.

The request will specify the reason for the request and the estimated costs.

In some instances, capital items will need to be purchased that were not included in the budget. The appropriations request form is completed for these types of purchases also.

Long-Term Lease or Purchase

Obtaining the use of property, plant, and equipment through long-term leases is an alternative to outright purchase. Leases vary in term, assumption of expenses, and many other details. The purchase-versus-lease decision is incorporated into the annual capital budget and is based upon the basis of net cost considering cash-flow as well as type of asset being purchased.

If a lease meets certain requirements, it is capitalized, with an offsetting capital lease obligation. A lease meets the requirements of a capital lease if it is non-cancelable and has at least one of the following characteristics:

- It passes title to the lessee.
- It contains a bargain purchase option.
- Its lease term is at least 75% of the asset's estimated life.
- The present value of the minimum lease payments equals 90% of the asset's fair value.

On an interim basis throughout the year, lease payments are deemed to be equipment rental expense. If the terms of the lease satisfy the requirement for treatment as a capital lease, the appropriate adjustments are recorded at year-end and incorporated in the year-end closing process.

^{*} Federal guidelines have increased the threshold for capitalization from \$500 to \$5,000.

Keeping Accurate Records of Capital Assets

Identification and Record of Assets

At the time of acquisition, all assets are identified, tagged, and entered into the detailed fixed asset ledger. The tags are placed in a visible area and provide a clear method of tracing the asset on the floor to the fixed asset ledger. The following is recorded:

- Name and description
- Serial number, model number, or other identification
- Vendor name, acquisition date and cost
- Location and condition of equipment
- Ultimate disposition data, including date of disposal
- On an annual basis, Amber Charter School takes a physical inventory of all capital assets to ensure the completeness and accuracy of the school's records.
- Management employees who are not responsible for the custody or record keeping of the assets oversee the inventory process.
- All assets are examined to determine that they are currently being used.

Maintenance of Detailed Fixed Asset Ledgers

Detailed fixed asset ledgers are maintained for the following classifications:

- Land
- Buildings and facilities
- Machinery and equipment
- Furniture, fixtures, and office equipment
- Leasehold improvements
- Computer equipment, including purchased software
- Construction in progress
- Automobiles and transportation equipment
- Equipment leased under terms that meet criteria for capital leases
- Comparison to Detailed Records
- The inventory of the assets on hand is compared to the detailed records.

Resolution of Differences

All differences are resolved by a responsible management employee in conjunction with the Chief Financial Officer. Adjustments to the school's records can be made only by the Chief Financial Officer after appropriate approval has been received.

Classification of Repair Expense vs. Capitalization of Expenditures

Repair expense is distinguished from expenditures for improvements, additions, renovations, alterations, and replacements. Amber Charter School follows the following guidelines in classifying these expenditures:

- Expenditures are repair expenses if they do not materially add to the value of the property and do not materially prolong the life of the property. Examples of repair expenses:
- Replacing loose or damaged shingles
- Replacing broken glass
- Painting and decorating the facility
- Resurfacing a parking lot
- Making temporary repairs to last less than one year
- Making minor repairs to fully depreciated assets

Repair costs that increase the value of property, prolong its life, or adapt it to a new or different use are capital expenditures. If the life of the asset has been significantly extended, the remaining original costs and the repair cost are depreciated over the new life. Examples of repair expenditures that are capital expenditures:

- Replacing floors
- Replacing a roof, thereby substantially prolonging its life
- Reconditioning equipment or machinery, thereby extending its life
- Installing a new heating system

Other expenditures that may be capitalized:

- Structural changes or alterations to school-owned buildings, which become a part of a building and increase their life or value.
- Significant improvements to property leased by the school, improvements that add value to the leasehold (e.g., permanent office partitions).

Assets Purchased with Government Funds – Interim Reporting

Assets purchased with government funds are tracked and monitored in the manner outlined above. However, on an interim basis, these acquisitions will be expensed as part of the program costs reportable under the grant. At the end of the year, the full cost is capitalized and depreciated over the assigned asset life, in accordance with generally accepted accounting principles.

Title Remains with Funder

Title to certain assets purchased with governmental funds may at times remain with the funder until the expiration of the grant, at which time the asset reverts back to Amber Charter School unless the funder assigns the asset to another organization. Since these assets are critical to the presentation of a complete Statement of Financial Position, Amber Charter School has opted to capitalize them and provide proper disclosure in the footnotes to the annual financial statements.

Depreciation

Basis for Cost

Depreciable assets are carried in the accounting records at the original net acquisition cost. Non-depreciable capital assets (e.g., land) are carried in the records at the original net cost. Purchased items of property, plant, and equipment that meet the capitalization requirements are to be capitalized at the invoice price plus all charges incurred to prepare the asset for operations.

Cost of acquisition includes not only the contract or invoice price, but also such costs as preliminary engineering studies and surveys, legal fees to establish title, installation costs, freight, and labor and material used in construction or installation.

Capitalization during a Construction Project

Expenditures such as those for materials, labor, engineering, supervision, salaries and expenses, legal expenses, insurance, overhead, and interest are capitalized as “construction in progress” until the project is completed and placed in service. No depreciation is taken on construction in progress.

Upon completion of construction and placement in service, the asset is removed from construction in progress and entered into the detailed fixed asset ledger under the appropriate classification. Depreciation on the asset begins on the date the asset is placed in service.

Determination of Useful Life

The useful life is determined when a capital asset is acquired. The useful life may be expressed in terms of time, units of production, or hours of service.

The cost of an asset is allocated over a useful life via depreciation or depletion.

When a useful life is not determinable, such as for land, no depreciation is taken.

If there is a change in the estimate of the remaining useful life after the asset is placed into service, the remaining cost to be depreciated is spread over the revised remaining life.

The estimated useful life is assigned by the Chief Financial Officer and the Board Treasurer as part of the overall approval process.

Determination of Depreciation Method

The Chief Financial Officer and the Board Treasurer are responsible for determining the method of depreciation to be used for each category of capital assets. The justification for the method selected is well documented and maintained. Accelerated methods are used in situations where an asset’s physical usefulness or value declines quickly in the earlier years (e.g. computers).

Once a depreciation method has been selected, it is applied consistently until conditions change to such a degree that its application no longer produces reasonable results.

Circumstances may arise which make it appropriate to accelerate or decelerate depreciation charges, such as:

- A change in the estimate of the useful life.
- A change in the estimated salvage value. (This is a change in accounting estimate that is accounted for prospectively, not retroactively, by depreciating the remaining balance over the remaining useful life).
- A change in depreciation method.

The estimated useful lives of the various asset categories over which the assets of Amber Charter School are depreciated, are as follows:

Descriptions	Years	Rate Per Year
Building and Improvements, Leasehold and Improvements	33 ½	3%
Equipment, Furniture and Fittings, including General Office Equipment	5	20%
Computer Equipment* and Software	3	33%
Capitalized Leased Equipment	The Shorter of Lease Term or the Life of Equipment	

One half year of depreciation will be taken in the year of acquisition.

* With respect to computer equipment, current technological changes indicate an average life of approximately eighteen months. The assigned life should be reflective of the expected use of the asset.

Disposal of Assets

Documentation of Disposal

Disposal of capital assets occurs only after proper authorization has been given by the Head of School and funding agency, if applicable.

Control over the disposition of property is maintained not only to preserve the accuracy of the records but also to ensure that assets are safeguarded, improper disposal is prevented, and the best possible terms are received for disposal.

The following procedures apply to the retirement and disposal of Amber Charter School's assets:

A disposal form is completed for all disposals.

This disposal form is reviewed and approved by a responsible employee who is knowledgeable and not directly responsible for the asset, with ultimate approval by the Chief Financial Officer.

No item of property, plant, and equipment is removed from the premises without a properly approved disposal form.

Recording Disposal

Once the retirement has been properly approved and documented, the following procedures apply to the recording of the transaction:

At the time the property is retired, the cost is removed from the appropriate asset account; the related accumulated depreciation, including depreciation to date of disposal, is removed from the allowance for depreciation account, and the profit or loss, adjusted for the cost of removal, is recorded as an income (gain) or expense (loss) item.

When the disposal is via a trade-in of a similar asset, the acquired asset is recorded at the book value of the trade-in asset plus any additional cash paid. In no instance should such cost exceed the fair market value for the new asset.

Fully Depreciated Assets

Fully depreciated assets remain on the property records with the related accumulated depreciation as long as the property is still in use.

Annual Physical Inventory

Under the direction of the Chief Financial Officer, a physical inventory is performed annually, preferably on the last day of Amber Charter School's fiscal year. This physical inventory entails ensuring that all fixed assets are properly tagged as being the property of Amber Charter School, and the assets are reconciled to the accounting records. Any discrepancies are resolved as part of the year-end closing procedures.

Insurance Coverage

Key School Policies

- Insurance coverage will be maintained in adequate amounts whenever Amber Charter School operations warrant such insurance.
- Coverage is maintained at levels recommended by the Treasurer and approved by the Board of Trustees but at no less than the amount stipulated in funding agreements.
- Coverage for Amber Charter School is reviewed by the Board of Trustees on a biannual basis.

School Procedures to Implement These Policies

Areas of Coverage

Annually, the Head of School and the Chief Financial Officer review with the Treasurer the need for the following types of insurance coverage:

- Director's and Officer's liability
- General liability
- Business travel
- Fire/theft
- Employee fidelity bond
- Hired and non-owned auto
- Professional liability
- Employment practices
- Business interruption insurance

In performing this review, the Chief Financial Officer reviews governmental grants and contracts in effect to ensure compliance with any limits stipulated.

Recommendations for Revisions

Recommendations developed in the annual review are discussed with the Treasurer, and a decision is made jointly as to the need and amount of insurance. These are then passed on to the Board or Finance Committee (if applicable) for approval. The Chief Financial Officer implements the joint decision.

Amber Charter School Insurance Coverage Policies	
The Board of Trustees has determined, given the nature of Amber Charter School's operations, that the following coverage is warranted:	
Directors' and Officers' liability	\$ 1,000,000
General liability	\$ 3,000,000
Excess liability	\$ 10,000,000
Property insurance	\$ 7,600,000
Accidental death & dismemberment	\$ 25,000
Catastrophe Accident Coverage	\$ 1,000,000
Professional liability	\$ 1,000,000
Auto, hired or non-owned	\$ 1,000,000
Employee bonding	As required.
Worker's compensation	Covered at state mandated levels.
Disability insurance	Covered at state mandated levels.
Health insurance	All salaried employees receive health insurance on first day of hire.

Coverage has been obtained in the amounts indicated and will be reviewed on a biannual basis.

Assumption and Authorization of Debt

Key School Policies

All debt must be approved by the Board of Trustees, and the authorization must be documented in the minutes of the meeting of the Board, as well as a Board resolution to be presented to the third party with whom the debt is being established.

School Procedures to Implement These Policies

Board of Trustees Resolution

The Board of Trustees prepares a resolution to document the Board's approval of the issuance of the debt.

Debt Approval and Agreement

A copy of the resolution approving the issuance of the debt is maintained with the executed copy of the debt agreement.

Records and Collateralization of Debt

A record is maintained of the assets collateralizing the debt, if any.

The assets are specifically identified.

The record is updated periodically (e.g., depreciation noted) to reflect the current book value of the assets.

Amber Charter School ensures that an asset does not have funder-imposed restrictions prior to pledging such asset as collateral for a debt.

Investment of Funds

This section outlines the policies and procedures employed in Amber Charter School's investment of available funds:

- Authorization of investment vehicles
- Tracking and recording investment purchases and sales
- Reconciliation of investment accounts

Key School Policies

- The investment policies are set by the Board of Trustees and are carried out by the Treasurer of Amber Charter School.
- Decisions to dispose of investments are approved only after an evaluation of the impact of sale has been performed and properly documented.
- Investment statements are reconciled to the supporting books and records on a monthly basis and the reconciliation is reviewed by the Chief Financial Officer.

School Procedures to Implement These Policies

Setting the School Policy

The Board of Trustees sets the investment policy for Amber Charter School. The investment policy provides general guidelines regarding the type of investments deemed appropriate and the objectives of each investment (e.g., overnight deposits for excess cash, 90 day Treasury notes for excess working capital, etc.). The Treasurer has been designated to implement the Board's investment policy. The Chief Financial Officer has been granted authority to:

- Purchase and sell investments
- Have access to investment certificates
- Keep records of investments and investment earnings
- Review and approve investment accounting, bank and broker statement reconciliations, adjustments to the carrying value of investments, and other decisions regarding investments

Authorization of Investment Vehicles

Annually, the school's Board of Trustees authorizes use of specific depository and investment banks and brokerage firms. This authorization is documented in the minutes of the applicable board meeting. The Chief Financial Officer communicates the authorization and a list of those personnel designated as authorized agents for the school to the appropriate banks and firms. As a part of the annual authorization process, the Board Treasurer, in consultation with the Chief Financial Officer, evaluates the school's prior relationship with banks and brokerage firms to determine suitability for renewal. Such evaluation considers service responsiveness, types of investments offered, quality of investment advice, service and transaction charges, and any other relevant criteria.

Authorization of Investments and other Procedures

All transactions regarding investments must be properly authorized by the Board's Treasurer and properly communicated to the Board of Trustees. Such transactions include:

- Purchases
- Sales
- Movement to and from safekeeping (the physical safeguarding of assets through use of a vault, safe deposit box, or independent custodian)

Investment Purchases

Investment purchases are made by check or bank transfer after compliance with the following procedures:

- A determination that the purchase transaction is properly authorized in accordance with school policy
- Preparation of a check requisition or a bank transfer request to accompany the investment purchase/sale authorization form

Investment Sales

Investment sales are transacted after compliance with the following procedures:

- A determination that the sale transaction is properly authorized
- The sales authorization is sent to the agent handling the sale transaction for investments held on the premises. Authorization to the agent is communicated in writing. If investments are kept off site, authorization to release the document from safekeeping is provided to the custodian. The custodian provides the school with a receipt documenting the release from safekeeping. The receipt should be filed in the investment files.

Investment Sales Gain or Loss

The Chief Financial Officer calculates the expected gain or loss upon sale or other disposition of an investment, before a decision regarding the sale is finalized. The calculation is updated/finalized subsequent to the sale and documented in the investment file.

Investment Sales Proceeds

Proceeds from the sale of investments are received either by check or bank transfer, to the attention of the Chief Financial Officer. A copy of the receipt or deposit ticket is included in the investment file.

Investment Results Reports

Monthly reports detailing the earnings and activity in all investment accounts are prepared by the Chief Financial Officer and distributed to appropriate management and board personnel.

The summary of all transactions for the month is recorded in the general ledger through the use of a journal entry. Journal entries are reviewed by the Chief Financial Officer.

Reconciliation of Investment Accounts

Investment account balances are reconciled with the general ledger balance, by the Finance Assistant on a quarterly basis. Such reconciliation is reviewed and approved by the Chief Financial Officer.

Investment Account Balances Agreed to Third Party Statements

Amounts recorded on the general ledger and supporting schedules are reconciled to third-party statements at least quarterly and preferably monthly, if possible. For those investments held on the school's premises or at a safe deposit vault, quarterly physical inventories are performed and reconciled to the supporting schedules. The Chief Financial Officer reviews and initials these reconciliations.



Chapter 7 GOVERNANCE

Fiscal Coordination and Oversight of Board of Trustees of a Charter School

The Board of Trustees of Charter Schools in New York State is required to provide effective financial oversight, including having made financial decisions that furthered the school's mission, program and goals. The Board of Trustees of Amber Charter School exercises its financial oversight to fulfill the following duties:

- The Board adopts and implements a Conflict of Interest Policy for Board members and school employees. A conflict of interest disclosure statement is completed by each Board member and school employee on an annual basis, at the beginning of each Fiscal Year.
- The Board adopts and implements a Code of Ethics Policy, and renews its adoption on an annual basis at the beginning of each Fiscal Year.
- The Board adopts and implements a Whistleblower Policy and renews its adoption on an annual basis at the beginning of each Fiscal Year.
- The Board adopts an Finance Committee charter, and updates it annually at the beginning of the fiscal year.
- The Board is responsible for the implementation and oversight of sound internal controls. The Board approves the fiscal policies of the school. A fiscal policies and procedures manual is adopted by the Board and annually updated.
- The Board is aware and knowledgeable of its fiscal responsibilities. The Board receives regular training in key areas of its fiscal responsibilities. Knowledge of its fiscal responsibilities allows the Board to provide more effective financial oversight.
- The Board reviews and approves the school's annual budget. The Board reviews and approves operating, cash, and capital budgets for the school annually. Participation in the budgeting process enhances the Board's ability to effectively guide a school.
- The Board monitors the financial condition of the school. As part of this responsibility, the Board monitors the school's expenses through the regular review of financial reports on key variances between the school's budget and the current financial reports on a regular basis. The Finance Committee receives and reviews variance

reports monthly, and reports to the Board quarterly. If budget-to-actual are monitored frequently, revenue shortfalls can be better anticipated and planned for.

- The Board establishes and monitors policies on school investments, authorization of debt, maintenance of adequate insurance coverage and additional policies to protect the school's assets.
- The Board must keep minutes of its meetings in accordance with the Open Meetings Law?⁹ The Board Secretary (or another appointed record-keeper) is responsible for taking minutes so that every meeting has a corresponding set of minutes. Minutes serve as a record of Board meetings and can document compliance with regulatory issues as well as be a crucial record in the event of future legal matters.

⁹ Meetings of the school board of trustees must conform to the Open Meetings Law. Minutes must be created within 2 weeks of the meeting (Public Officers Law § 106) and one week for executive session minutes consisting of any vote matters and recordation.

Conflict of Interest Policy

Preamble

The Directors, Officers and staff members of the Amber Charter School (the “Organization”) owe a duty of loyalty to the Organization, which requires that in their positions, they act in the interest of the Organization and not in their personal interests. Directors, Officers and staff members may not use their positions or information they have about the Organization or the Organization’s property or information obtained through their positions in a manner that allows them to secure a significant economic benefit, either directly or indirectly, for themselves or their relatives. In sum, it is the policy of the Organization that no transaction between it and its Directors, Officers or staff members be tainted with an actual or perceived conflict of interest.

Disclosure

(a) Prior to election to the Board or as an Officer, and annually thereafter, all Directors and Officers shall disclose in writing, to the best of their knowledge, any Interest (as defined below) in any Organization or other organization which provides goods or professional or other services to the Organization for a fee or other compensation. A copy of each disclosure statement shall be available to any Director of the Organization on request.

(b) If at any time during his or her term of service a Director or Officer has any Interest which may pose a conflict of interest at any time during that Director’s or Officer’s service, he or she shall promptly disclose the material facts of that Interest in writing to the Chairperson of the Board and Chair of the board committee, if any, functioning as the Finance Committee (“the Committee”) of the Board.

(c) When any matter in which a Director or Officer has an Interest comes before the Board or any committee of the Board for decision or approval, that Interest shall be immediately disclosed to the Board or the Committee by that Director or Officer.

Definition of “Interest”

Whether a Director or Officer has an Interest in a matter shall be determined by whether that Director or Officer or a relative (or a concern with which such persons are associated) would have a significant economic interest, either directly or indirectly, in a decision on the matter by the Board or Committee. A person is associated with a concern if he or she participates in (including participating as an owner) or is affiliated with any organization or other organization with which the Organization deals. An interest is not intended to include positions on legislative matters of general impact.

Voting

No Director shall vote on any matter in which he or she has an Interest.

Non-Participation

The Board or members of a committee may, by majority vote, ask any Director or Officer who has an Interest in a matter not to participate, or to leave the room at the board meeting or committee meeting in which discussion regarding that matter is carried on; provided, however, that the interested Director or Officer may participate in any discussion regarding his or her exclusion.

Attempts to Influence

Directors and Officers shall not attempt to influence other Directors or Officers regarding matters in which they have an Interest, without first disclosing that Interest.

Contract Review Committee

If a contract is proposed for approval by the Board in which a Director, Officer, staff member or their relatives or an organization with which such persons are associated (as defined above) is a potential contractor, regardless of amount (an “Interested Party Contract”), the Board or a committee designated by the Board shall review the contract and shall

recommend that the Organization execute or not execute the contract. If a Board committee reviews an Interested Party Contract and recommends that the Organization not execute the Interested Party Contract, the Board subsequently may review the Interested Party Contract and may, by a majority vote of the disinterested Directors entitled to vote on the matter, decide that the Organization shall or shall not execute the Interested Party Contract. In reaching its decision, the Board or Committee shall adhere to the legal requirements applicable to approval of Interested Party Contracts. The crux of those requirements is that taking into account the terms of possible alternatives, the proposed contract is fair, reasonable and in the best interest of the Organization. All action regarding Interested Party Contracts shall be recorded in the minutes of the Board or the Board committee that reviewed the contract.

Staff

The School Leader (Head of School/Principal) of the Organization is directed to apply to the staff rules and procedures consistent with the rules and procedures outlined above for Directors and Officers. For purposes of this policy, the term Officer shall include the School Leader (Head of School/Principal) of the Organization.

Conflict of Interest Disclosure Statement Amber Charter School

I have read the Conflict of Interest Policy of Amber Charter School. To the best of my knowledge, except as disclosed in the attached statement, I do not have an Interest, as defined in the policy, requiring disclosure under the Policy.

Further, to the best of my knowledge, except as disclosed, I do not intend to acquire an Interest, as defined in the policy.

(A) Without exception /___/

(B) Except as described in the attached statement /___/

If any situation should arise in the future which I think may involve me in a conflict of interest, I will promptly disclose the conflict in writing to the Chairperson of the Board or Finance Committee.

Date: _____

Signature: _____

Accountability – Code of Ethics for Board Members

The goal of the code of ethics is to establish a set of principles and practices of the Amber Charter School's Board of Trustees that will set parameters and provide guidance and direction for the Board conduct and decision-making.

Members of the Board of Trustees of the Amber Charter School are committed to observing and promoting the highest standards of ethical conduct in the performance of their responsibilities on the board of Amber Charter School. Board members pledge to accept this code as a minimum guideline for ethical conduct and shall:

- Faithfully abide by the Articles of Incorporation, by-laws and policies of Amber Charter School.
- Exercise reasonable care, good faith and due diligence in organizational affairs.
- Fully disclose, at the earliest opportunity, information that may result in a perceived or actual conflict of interest.
- Fully disclose, at the earliest opportunity, information of fact that would have significance in the Board's decision-making.

Professional Excellence

Maintain a professional level of courtesy, respect, and objectivity in all Amber Charter School activities.

Strive to uphold those practices and assist other members of the Board in upholding the highest standards of conduct.

Personal Gain

Exercise the powers invested for the good of all members of the organization rather than for his or her personal benefit, or that of the nonprofit they represent.

Equal Opportunity

Ensure the right of all association members to appropriate and effective services without discrimination on the basis of geography, political, religious, or socio-economical characteristics of the state or region represented.

Ensure the right of all association members to appropriate and effective services without discrimination on the basis of the Organization's volunteer or staff make-up in respect to gender, sexual orientation, national origin, race, religion, age, political affiliation or disability, in accordance with all applicable legal and regulatory requirements.

Confidential Information

Respect the confidentiality of sensitive information known due to Board service.

Collaboration and Cooperation

Respect the diversity of opinions as expressed or acted upon by the Amber Charter School's Board, committees and membership, and formally register dissent as appropriate.

Promote collaboration, cooperation, and partnership among association members.

Approved: Amber Charter School Board of Trustees

[Date]

Whistleblower Policy

In the Sarbanes-Oxley Act of 2002 (SOX), Section 1107, Retaliation Against Informants, applies to all companies, public or private. SOX states that it is illegal to retaliate against a “whistleblower.” While SOX does not require an organization to have a whistleblower policy, it is in an organization’s best interest to do so because such a policy provides clear procedures for handling whistleblower complaints. Proper handling of such complaints will help protect organizations from being accused of retaliation against whistleblowers. Such a policy, to be effective, must be circulated to all employees and board members. It is recommended the Board reviews and adopts a Whistleblower Policy.

General

Amber Charter School’s Code of Ethics and Conduct (“Code”) requires directors, officers and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of the Amber Charter School, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

Reporting Responsibility

It is the responsibility of all directors, officers and employees to comply with the Code and to report violations or suspected violations in accordance with this Whistleblower Policy.

No Retaliation

No director, officer or employee who in good faith reports a violation of the Code shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within the Amber Charter School prior to seeking resolution outside the organization.

Reporting Violations

The Code addresses Amber Charter School’s open door policy and suggests that employees share their questions, concerns, suggestions or complaints with someone who can address them properly. In most cases, an employee’s supervisor is in the best position to address an area of concern. However, if the employee is not comfortable speaking with his\her supervisor or he\she is not satisfied with his\her supervisor’s response, he\she is encouraged to speak with someone in the Human Resources Department or anyone in management whom he\she is comfortable in approaching. Supervisors and managers are required to report suspected violations of the Code of Conduct to Amber Charter School’s Compliance Officer, who has specific and exclusive responsibility to investigate all reported violations. For suspected fraud, or when the employee is not satisfied or uncomfortable with following Amber Charter School’s open door policy, individuals should contact the organization’s Compliance Officer directly.

Accounting and Auditing Matters

The audit committee of the Board of Trustees shall address all reported concerns or complaints regarding accounting practices, internal controls or auditing. The Compliance Officer shall immediately notify the finance committee of any such complaint and work with the committee until the matter is resolved.

Acting in Good Faith

Anyone filing a complaint concerning a violation or suspected violation of the Code must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of the Code. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

Confidentiality

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Handling of Reported Violations

The Compliance Officer will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Elements of a Finance Committee Charter

The Finance Committee of Amber Charter School's Board of Trustees carries the responsibilities as outlined below:

- Each member of the Finance Committee shall be a member of the Board of Trustees, in good standing, and shall be independent in order to serve on this committee.
- At least one member of the Finance Committee shall be designated as a financial expert.
- Review the Committee's charter annually, reassess the adequacy of this charter, and recommend any proposed changes to the Board of Trustees. Consider changes that are necessary as a result of new laws or regulations.
- Meet at least times per year. The Finance Committee may ask members of management or others to attend the meetings and provide pertinent information as necessary.
- Conduct executive sessions with the outside auditors, HoS (Head of School), CFO (chief financial officer), general counsel, outside counsel and anyone else as desired by the committee.
- Authorize to hire outside counsel or other consultants as necessary.
- Appoint the independent auditors to be engaged by the company, establish the audit fees, and pre-approve any non-audit services before the services are rendered. Review and evaluate the performance of the independent auditors and review with the full Board of Trustees any proposed discharge of the independent auditors.
- Review policies and procedures with respect to officers' expense accounts.
- Inquire about significant risks or exposures facing the organization; assess the steps management has taken or proposes to take to minimize such risks, and periodically review compliance with such steps.
- Review the audit scope and plan of the internal auditor (which will have to be the CFO) and independent auditors.
- Review significant findings on internal audits, management's responses thereto, any difficulties the internal audit team encountered, and any changes required in the scope of their internal audit.
- Review the adequacy of the organization's internal controls including computerized information system controls and security.
- Review all material written communications between the independent auditors and management, such as the management letter.
- Review the financial statements, audit of the financial statements, judgments about the quality (not just acceptability) of the organization's accounting principles, significant changes required in the audit plan, and serious difficulties with management during the audit.
- Review legal and regulatory matters that may have a material impact on the financial statements.
- Review procedures for receipt, retention and treatment of complaints regarding accounting, internal controls, or auditing matters by any party internal or external to the organization.
- Reviews its own effectiveness with a self-assessment evaluation of all members.

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**AMBER CHARTER SCHOOL
PERSONNEL POLICY AND PROCEDURES
EMPLOYEE MANUAL**

Amber Charter School
Personnel Policy and Procedures
Employee Manual

I. Introduction

By joining the Amber Charter School, you have made a commitment to excellence.

This Manual is intended to provide you with a convenient summary of Amber Charter School's policies, benefit programs and certain operating procedures. While it is not possible to put everything in writing, we anticipate that this Manual will provide you with **general** information concerning your employment.

We recommend that you consult this Manual whenever you have a question regarding your employment. If you do not find the answer here, **please** contact the Head of School. Of course, we welcome your comments and suggestions for improving all aspects of Amber Charter School's operation.

It must be emphasized that no statements made in the Manual are intended or written as contractual commitments or obligations of Amber Charter School to any individual employee or group of employees. This Manual is not a contract, express or implied, or a guarantee of continued employment for any employee. Although we hope your employment relationship with Amber Charter School will be long-term, that relationship is "at will," meaning that either you or Amber Charter School may terminate this relationship at any time, for any reason, with or without cause or notice, subject only to any collective bargaining agreement or other employment agreement to which Amber Charter School and you may be a party. To the extent that this Manual is inconsistent with the terms of any such agreement, that agreement shall control.

Amber Charter School retains the right to make reasonable rules and regulations regarding employee conduct and to establish and modify policies and procedures regarding educational matters and the operation of the School. Amber Charter School will consult with an advisory committee of teachers, staff and parents for suggestions on establishing and modifying policies and procedures. Accordingly, this Policy Manual will be updated as necessary to reflect such modifications.

II. Equal Employment Opportunity

It is the policy of Amber Charter School to provide equal employment and educational opportunities for all persons without regard to race, color, religion, national origin, citizenship, marital status, gender, age, veteran status, disability, political affiliation, or sexual orientation. An integral part of this policy is to administer recruiting, hiring, working conditions, benefits,

compensation, training, and termination of employment for all employees without discrimination.

III. Communications

Amber Charter School strives to communicate with all its employees through staff meetings, postings, memoranda and as necessary, through one-on-one meetings. We expect and anticipate that all communications will be delivered in a professional manner. Professionalism is demonstrated by courtesy and respect. Should you have any questions regarding a particular policy, procedure, or issue, please consult with the Head of School.

Memos, announcements, job postings, and other important information are either posted on Amber Charter School's bulletin board or distributed to each employee. Review these frequently to ensure that you are current on Amber Charter School information. Employees are encouraged to use the bulletin boards, interoffice mail and email to communicate with coworkers; however, prior approval must be obtained from the Head of School or a designee.

IV. Hiring

It is Amber Charter School's policy to hire the best and most qualified candidate for any vacancy. Amber Charter School, where practicable, also seeks to provide career advancement opportunities to current employees.

The Board of Trustees hires the Head of School. The Head of School hires all other staff members. To fill vacant positions, the Head of School, or someone designated by the Head of School, advertises vacancies, screens and interviews candidates in conjunction with the School Planning Council personnel subcommittee and consults with teachers, other staff members, parents and the Board of Trustees, as deemed appropriate by the Head of School or the designee.

V. Probationary Period

Each new employee shall be on probation for three months. This period enables Amber Charter School to evaluate the employee's performance and suitability for the specific type of work assigned to the employee. At the discretion of the Head of School, an employee on probation may be terminated at any time without cause, and the probationary period may be extended beyond the initial three month period up to an additional three months.

VI. Hours of Work

a. Attendance

As important as it is to maintain a good attendance record at work, there will most likely be times when you cannot avoid being absent or late. If you know in advance that you will be late or absent, it is your responsibility to notify your supervisor.

You may not always be able to plan in advance when you will be late or absent. In such instances, you must inform your supervisor as soon as possible on that day that you are late or absent. Whenever possible, absence or lateness should be reported prior to your usual starting

time. Failure to report your absences or excessive occasions of tardiness, absence, or early departure from work may result in disciplinary action, including termination.

Any employee who is absent three (3) or more consecutive work days without notice to his or her supervisor may be deemed to have voluntarily resigned and may be terminated from Amber Charter School on the close of business of the third day.

In addition, any employee who is absent more than the specified number of paid personal leave days other than for medical reasons without written permission from the Head of School and is not subject to any of the leave provisions set forth herein, may be deemed to have voluntarily resigned. At the discretion of the Head of School, if termination is not in the best interest of the school, an employee who is excessively absent without permission from the Head of School, may be docked at the rate of two days pay for each day of absence.

b. Holidays

Amber Charter School follows its yearly-published calendar and will be closed for holidays and vacation breaks noted on the yearly School schedule. It is noted that Amber Charter School provides a four-day weekend for Presidents' Day and is open for the remainder of Presidents' week.

An employee absent on the day before or after a holiday or vacation break without written prior permission from the Head of School, for any reason other than unplanned sickness or emergency affecting the employee or a family member, will not be paid for the holiday or vacation at the rate of one unpaid day per day of absence.

c. Inclement Weather

Decisions to close Amber Charter School will be made by the Head of School or a designee. In the event that Amber Charter School is closed prior to the beginning of the workday, you should stay home and will be paid. Should Amber Charter School close during the workday, you may receive permission to leave from your supervisor and will be paid for the day. If you wish to remain working, you must first obtain supervisory approval.

Consult with the Head of School to learn which radio and television stations to monitor to ascertain if Amber Charter School will be open or closed in the event of inclement weather. Notification may also be made via email.

Amber Charter School will be closed on days that the New York City Board of Education schools are closed for weather or other emergency conditions.

d. Work Week

Normal work hours for teachers, teacher assistants, aides and related service personnel are from Monday through Friday, unless otherwise approved in writing by the Head of School or a designee. Staff may be required to attend weekly meetings with the Head of School once a week on a regular weekday to be determined by the Head of School before the beginning of each school year and announced at the start of the school year.

At the end of each pay period you will complete and sign your time sheet verifying all hours worked or charged to leave. It is your responsibility to ensure that all hours are correctly totaled. Falsification of your time sheet information is grounds for immediate disciplinary action.

VII. Pay Information

a. Direct Deposit

You may elect to participate in Amber Charter School's direct deposit program. This program provides for your paycheck to be automatically deposited into the financial institution of your choice. On each payday you will receive your pay advice (information about your paycheck), but not your actual paycheck. Participation in direct deposit begins by completing the necessary paperwork available from the fiscal office.

b. Pay Schedule

Paychecks are issued every two weeks. Should that day fall on a holiday or vacation day, every effort will be made to pay on the previous business day. Contact the fiscal officer for specific information on payroll distribution. Direct deposit is encouraged to avoid delays.

VIII. Reimbursements

Employees are eligible for reimbursement from Amber Charter School for reasonable business expenses paid with their personal funds. Whenever possible, approval for reimbursement must be obtained in advance from the Head of School or a designee. To obtain reimbursement, employees must submit an itemized list of each expense and receipts (or copies) for each item to the Head of School or a designee.

The final decision on whether to reimburse an employee for any such expenses is vested with the Head of School or the designee.

IX. Leaves of Absence

a. Administrative Leave

If you are called to serve on jury duty, or appear as a witness in response to a subpoena, and can provide proof of jury service or the subpoena, you will be paid your regular wages. Any jury duty leave beyond two weeks shall be unpaid. Any amount you are paid by the government for serving on jury duty or as a witness, during the period for which you receive salary must be turned over to Amber. This provision will not apply during summer or vacation periods.

Because of the disruption to children's education, jury duty should be scheduled, to the extent possible, during times when school is not in session (e.g., Summer).

b. Family and Medical Leave

While Amber Charter School is not a covered employer under the Family and Medical Leave Act of 1993, Amber Charter School recognizes the importance of providing family and medical

leave to its employees and embraces the principles of the Act. Accordingly, Amber Charter School has adopted the following family and medical leave policy that gives eligible employees job-protected leave for the birth, adoption, or foster care of a child, or the serious health condition of an eligible employee or an immediate family member (child, spouse, domestic partner or parent). This policy applies to all employees who (1) have been employed by Amber Charter School for a total of at least twelve (12) months prior to the date on which the leave is to commence, and (2) have worked at least 1,250 hours in the twelve (12) months preceding the leave. Eligible staff is entitled to 12 weeks of unpaid leave beginning with the birth, adoption or placement with you of a child in foster care. This leave can be taken during any 12-month period if any of the above-listed circumstances are demonstrated; the 12-month period is calculated starting from the date you begin an approved leave. **Insurance** benefits will continue for the duration of the leave at the same level and conditions as if you had continued to work.

You must give 30 days advance notice in writing to the Head of School of the need to take leave when it is foreseeable for the birth or placement of a child for adoption or foster care, or for planned medical treatment. When it is not possible to provide advance notice, you must notify the Head of School as soon as practicable. Under certain circumstances, Amber Charter School may request a certification of the need for such absence by the employee's medical provider.

This policy is voluntarily adopted by Amber Charter School. It is not intended to create and does not create any enforceable rights under the Family and Medical Leave Act.

c. Military Leave

If you are a member of a military unit, the National Guard, Naval Militia, or Armed Forces Reserves, you are entitled to 15 work days of paid leave per federal fiscal year for federally funded military duty. Regardless of whether the duty is fragmented you are still entitled to 15 work days of leave per federal fiscal year. You must include a copy of your military orders or other official documentation with your request for military leave.

If you are ordered to duty because of an emergency, you must supply supporting documentation upon your return to work to verify the use of military leave.

d. Personal Leave

You are eligible for twelve days of paid personal leave each year, which is to be used for personal reasons or illness. You must request approval from the Head of School or a designee prior to utilizing any personal leave, unless such leave is due to unanticipated illness. Your request (if not due to illness) may be denied based on operational needs. Personal leave is credited at the end of each month or monthly anniversary date. Newly hired employees must work one month prior to earning personal leave credits.

Up to 10 days of unused personal leave in any school year (July 1 to June 30) may accrue up to the end of the following school year. At the end of the following school year, all unused personal leave accrued during the prior school year shall expire. Further, carried-over personal leave days may be used only: (i) for illness of the employee or immediate family member with a doctor's note demonstrating such illness; and (ii) after the 12 personal leave days in that given year have already been used.

By way of example, if an employee uses only one personal day in his first year of work, 10 out of his 11 unused personal leave days shall accrue to his second year. In that second year, should he use the 12 personal days earned in that year, the employee can then utilize his 10 days of accrued personal leave but only in the event of his illness.

The accrual policy is designed to protect against any extended illness of an employee that is not otherwise covered by disability insurance.

X. Employee Insurance Benefits

a. Generally

Amber Charter School's comprehensive insurance benefits program is available for full time employees, and for part-time workers who work more than a designated number of hours with a pro-rated employee contribution. Brochures with more detailed information are available from the human resources office. You are responsible for reviewing the information in order to select the package which best meets your needs. You have an opportunity to reevaluate health care options each year according to schedules set by health agency providers. Plan changes may be made during the annual enrollment period. In the case of a qualifying event, you may add or delete dependents, and cancel or pick up coverage. Consult with the Head of School or a designee for additional information.

b. Medical Insurance

The Head of School or a designee will select a medical insurance plan, which may include more than one option of provider or provider networks, which Amber Charter School will provide to each full-time employee and to eligible part-time employees.

Amber Charter School will pay a specified amount in premiums for each available plan, and will pass on any excess costs. Employee co-payment for health care coverage will vary depending upon the level of coverage selected by the employee. Employee contributions for health care coverage will be automatically withheld from employee paychecks, in an amount in accordance with a schedule maintained by the Head of School or a designee.

Any employee who wishes not to accept any of the insurance benefits offered by Amber Charter School is required to submit such a request in writing to the Head of School or a designee.

c. Deferred Compensation/Retirement Plan

Amber Charter School participates in a pension and deferred compensation plan with TIAA/CREF. For 2007-2008 Amber Charter School contributes 2% of earnings to the pension plan of each employee. This amount is subject to change, based on the financial condition of Amber Charter School or the requirements of a collective bargaining agreement for bargaining unit members.

Eligibility for pension begins after one year of employment, according to the conditions set by the TIAA/CREF contract, except that new employees covered by a pension plan according to terms of the TIAA/CREF contract may be eligible immediately.

In accordance with federal guidelines, employees are subject to a maximum limit per year on deferred compensation. Employees shall take every reasonable precaution to ensure that the per-paycheck amount of income requested to be deferred will not cause such limits to be exceeded in any given year.

d. Disability Insurance

Amber Charter School carries short and long-term disability insurance (the former as required by New York State law). Such insurance allows payment in the event of certain injuries, illnesses or other disabilities occurring outside of the workplace, including pregnancy. Any employee wishing to claim disability pay must file appropriate reports and forms with the Head of School or a designee. Such employee also is responsible for filing any other necessary forms, applications, or other information as required by applicable government policies.

e. Workers' Compensation

Injury resulting from accidents that occur while performing official duties on behalf of Amber Charter School are covered by workers' compensation insurance.

Any employee who suffers an injury as a result of such an accident must file a report with the Head of School or a designee as soon as possible. Such employee is responsible for filing any other necessary forms or applications. Failure to properly report an accident may preclude entitlement to Workers' Compensation.

XI. Health and Safety

The workplace shall be maintained in a safe and healthy condition, and in accordance with all applicable health and safety laws. It is essential that you perform your duties in a safe manner and follow all established safety rules.

You should discuss with the Head of School or a designee any hazards of your job and make sure you are familiar with any equipment you operate. Amber Charter School will conduct training as needed for employees who work with hazardous materials. Should you have any questions about proper procedure, please seek guidance from the Head of School or a designee prior to handling hazardous materials.

XII. Smoking Policy

Smoking is prohibited on all Amber Charter School grounds, in front of Amber Charter School, within close enough proximity of Amber Charter School as to risk being seen by a student, or in the presence of any Amber Charter School student. It is our intent to discourage emulation by students. Failure to comply with this policy will lead to disciplinary action.

Amber Charter School grounds consist of any Amber Charter School owned or leased property or any site where official duties are being performed by Amber Charter School employees.

XIII. Amber Charter School Drug/Alcohol Policy

The possession, use, distribution, sale, or manufacturing of illicit drugs and alcohol on Amber Charter School grounds is strictly prohibited. Any violation of this policy will result in immediate disciplinary action. Drugs prescribed by a medical professional and taken for legitimate medical reasons are excluded from this policy.

XIV. Harassment/Discrimination

Amber Charter School is committed to creating and maintaining a work environment free of conduct and/or communication that is objectionable or disrespectful. Amber Charter School strictly prohibits harassment that is perpetrated by and against its employees and students. Conduct which creates an intimidating, hostile, or offensive work environment will not be tolerated.

Amber Charter School prohibits discrimination on the basis gender, age, race, color, creed, ancestry, national origin, religion, marital status, sexual orientation, gender identity or expression, physical or mental disability, medical condition or any other characteristic that is protected by law.

The purpose of this policy is not to regulate personal morality, or to encroach on employees' personal lives, but to demonstrate this organization's commitment to maintaining a workplace environment that is free of harassment of and by its employees and students.

It is the responsibility of all management and all employees to assure that this policy is understood, implemented, and adhered to without exception.

a. Defining Sexual Harassment

Unwelcome sexual advances, requests for sexual favors, and other verbal, physical, or visual conduct of a sexual nature constitute harassment when:

- Submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual's employment with Amber Charter School;
- Submission to or rejection of such conduct by an employee is used as the basis for an employment decision affecting that employee; or,
- Such conduct has the purpose or the effect of unreasonably interfering with an employee's work performance, or of creating an intimidating, hostile, or offensive work environment.

Sexual harassment may include such actions as: repeated offensive or unwelcome sexual flirtations and advances: verbal comments, jokes, or innuendo of a sexual nature; words or gestures of a sexual nature used to describe a person or depict a situation; or the display of sexually suggestive or explicit objects or pictures by another employee or parent.

b. Investigation and Remediation

If an employee believes that he or she has experienced harassment or discrimination, or believes that he or she has witnessed harassment or discrimination, that employee should immediately notify the Head of School, a designee, or any other officer, manager or Trustee with whom that employee feels comfortable. Employees should report such incidents as quickly as possible after such an occurrence.

All reports of harassment or discrimination will be promptly investigated by the Head of School or a designee, and will be kept confidential to the extent possible.

If a thorough investigation confirms that harassment or discrimination has occurred, the Head of School shall take appropriate corrective action against the offending employee. Corrective action against the offending employee may include, but not be limited to: an official memorandum in employee's personnel file, salary adjustment, or termination.

No employee shall be subject to employment-based retaliation, intimidation, or discipline as a result of making a complaint of harassment or discrimination. However, disciplinary action up to and including termination may be taken against anyone who, following investigation, is determined to have knowingly made a false, meritless, or malicious claim of harassment or discrimination.

XV. Solicitation and Distribution

In order to avoid unnecessary annoyances and interruptions, solicitation for commercial purposes by any employee of another employee is prohibited while either person is on working time.

Employee distribution of commercial literature, including handbills, in work areas is prohibited at all times.

Trespassing, soliciting or distribution of commercial literature by non-employees on Amber Charter School premises is prohibited at all times.

XVI. Ban on Acceptance of Gifts

Employees are not permitted to accept gifts of any kind of a value exceeding fifteen dollars, including but not limited to money, goods, food, entertainment, or services, from: (a) individuals, organizations, or companies serving as vendors or potential vendors for this organization; (b) elected officials or their representatives; (c) candidates for public office or their representatives; (d) party officials or their representatives; or (e) lobbyists. Exceptions may be made by the Head of School.

Offers of such gifts in excess of \$15.00, even when refused, must be communicated immediately by the employee receiving such an offer to the Head of School.

XVII. Phone Use

The telephones at Amber Charter School are for business use. Personal calls should not be made from telephones in Amber Charter School unless it is an absolute necessity.

If it is an absolute necessity that you make a personal phone call from Amber Charter School, this call should be made while you are on your break. **Please** limit the call to no more than five (5) minutes. Long distance calls should be recorded in the log book available for this purpose. Employees are responsible for the costs of any personal phone calls he or she may make which are billed to the organization.

Family and friends should NOT call employees at work unless there is an absolute necessity.

XVIII. Work Made for Hire

Amber Charter School has developed and remains committed to developing an innovative and effective learning environment. Accordingly, you will likely be asked to participate in developing lesson plans and educational materials. All materials intended to be included in the Amber Scope and Sequence Curriculum that were or shall be written, prepared or developed by you in connection with your work for Amber Charter School or as a result of your services to it, including without limitation all educational materials and/or curriculum work (including curriculum units), and except for personal lesson plans and notes, are prepared within the scope of your employment and shall be deemed a “work made for hire” within the copyright laws of the United States or any similar jurisdiction. Accordingly, Amber Charter School shall be the sole and exclusive owner for all purposes of such materials and further shall have the exclusive right to register copyright in all such materials in its name as owner and author.

You agree to assist Amber Charter School, or its designee, at its expense, in every way to secure Amber Charter School's, or its designee's, rights in any copyrights or other intellectual property rights developed by you in connection with your work for Amber Charter School, as described in the preceding paragraph. Additionally, To the extent that any of the materials described before are ever determined by the laws of any jurisdiction not to be a “work made for hire,” vesting exclusive ownership of all aspects of copyright in Amber, you agree to irrevocably and exclusively assign to Amber Charter School all right, title and interest thereto, including but not limited to all copyright and associated rights.

Disclosure of any part of said materials which is deemed by Amber Charter School to be confidential, to any third party, without the prior written consent of Amber Charter School, may result in disciplinary action, including termination and legal proceedings.

XIX. Conflict of Interest

All Amber Charter School employees should demonstrate the highest standard of ethics during the performance of their assigned duties. Employees should ensure that any external activity does not conflict with their Amber Charter School duties nor give the appearance of same. Employees should disclose any potential conflict of interest as soon as it becomes known to them to the Head of School.

XX. Dress Code

Every employee contributes to Amber Charter School's image. Normally, employees have the right to select personal dress. Your overall appearance must be professional and appropriate for your particular assigned function. Amber Charter School reserves the right to restrict an employee's dress if that employee fails to dress in a professional manner.

XXI. Performance Evaluation and Discipline Policy

The Head of School is responsible for employees' performance evaluations. Each staff member will undergo a thorough annual performance review with the Head of School, at which the employee will receive formal written feedback on his or her performance. He or she will also be encouraged to provide honest feedback to Amber Charter School on its management and expectations of employees. Such feedback may be provided through both confidential and face-to-face mechanisms. All employees are requested to complete the confidential staff survey circulated at the end of each year as part of Amber Charter School's Accountability Plan, which shall be collected in a manner which preserves confidentiality.

At any time during the school year, Amber Charter School may issue formal commendations to teachers and staff members whose performance has been exemplary. Amber Charter School will also use the following kinds of mechanisms if an employee's performance is below expectations: oral and written warnings, disciplinary probation, suspension and termination of employment.

When an aspect of an employee's behavior or performance has become unacceptable or unsatisfactory, the Head of School may in appropriate circumstances and at the School's sole discretion, utilize the following process to correct the problem. As a function of the incident involved, one or more of the following steps may be used as corrective discipline.

Step 1

The Head of School will conduct an informal counseling session with the employee. The Head of School will identify the area(s) of concern (e.g., unsatisfactory behavior or performance). The Head of School will identify why the behavior or performance is unsatisfactory. The Head of School will seek employee input relative to issue. The Head of School will record the notes from the meeting and maintain a copy. In closing the meeting, the Head of School will establish a time frame within which performance/ behavior is expected to improve and will note to the employee that continuation of said unacceptable behavior or unsatisfactory performance may lead to further discipline. The Head of School may choose a designee to conduct this process.

Step 2

If performance/behavior remains at an unacceptable level following step 1, the Head of School will meet with the employee to issue a written warning. Such warning will identify the unacceptable behavior/performance and reference the meeting conducted at step 1. The Head of School will again solicit employee input relative to the unsatisfactory behavior/performance. The Head of School will instruct and include in the written warning that further discipline up to and including termination may follow unless the employee's behavior/performance improves. A copy of this warning will be placed in the employee's personnel file. The employee will be asked

to sign the warning and be provided with a copy. The employee may note his or her response or objection to the warning on the form.

Step 3

If the employee's behavior/performance remains at an unacceptable level, the Head of School may either suspend the employee without pay, or implement further discipline, including termination. A notice that sets forth the disciplinary action to be taken shall be issued to the employee.

The employee will be asked to sign a copy of the notice. The employee may note his or her response or objection in writing. A copy of the notice will be placed in the employee's personnel file.

Certain actions may result in the immediate suspension or termination of the employee. These include, but are not limited to:

- Abusive action to a child or Amber Charter School employee, or any other person on CS premises;
- Physical or verbal abuse of a student;
- Insubordination or disobedience of an order relating to the safety of children;
- Theft, attempted theft, or misappropriation of Amber Charter School property or funds;
- Possession of or being under the influence of drugs or alcohol on school premises or during school functions;
- Falsification of documents or records or falsification of benefit claims;
- Possession of a weapon on Amber Charter School property;
- Gambling on Amber Charter School property;
- Leaving work without supervisory approval;
- Failure to maintain confidentiality; and
- Destruction of Amber Charter School property, materials, or equipment.

Bargaining Unit employees shall be notified of their right to union representation at interviews with Head of School or Trustees that may result in discipline.

XXII. Problem Solving Procedures

Any employee wishing to formally complain about a procedure, action, or directive of another employee or supervisor should notify the Head of School, at the employee's discretion, as soon as possible after such procedure, action or directive has occurred, but no later than two weeks from the occurrence. Failure to formally complain within two weeks will be deemed a waiver of

that complaint. Bargaining Unit employees have the right to union representation during any problem solving procedures set forth herein. The Head of School or a designee shall be the investigator and arbiter of all such grievances. If you believe that the matter is not satisfactorily resolved, the grievance may be appealed to the Board of Trustees in writing within 10 working days from the date you receive notice of the Head of School's decision. **A committee consisting of the Chairperson of the Board of Trustees, the teacher representative on the Board of Trustees (or his/her designee) and a third trustee jointly selected by the other two committee members** shall be the final arbiter of such grievances.

In the event that the complaint involves a procedure, action, or directive of the Head of School, an employee may file a complaint with the Board of Trustees. In such instances, the Board of Trustees will be the investigator and final arbiter of the complaint.

You are encouraged to discuss your problems or complaints with the Head of School. Amber Charter School will make a good faith effort to achieve a satisfactory resolution of the problem at the earliest time possible.

XXIII. Layoffs due to reduction-in-force

Layoffs of any Bargaining Unit employee shall be made in accordance with the procedures set forth in the Collective Bargaining Agreement. In case of a layoff, the employee shall be given one month's notice if possible, but no salary in lieu thereof.

XXIV. Leaving Amber Charter School

For the benefit of the children, employees who voluntarily resign from Amber Charter School are requested to provide at least one month's notice and to time such resignation, where practical, for the end of the school year.

Employees who leave the service of Amber Charter School for any reason shall be entitled to all pay that may be due them, with the following qualifications:

1. Employees will not receive financial compensation for unused vacation/leave time.
2. Employees will be advised of their rights under the Consolidated Omnibus Budget Reconciliation Act of 1986 (COBRA), including the right to continue health care coverage for themselves and their dependents at group rates, but at their own expense, for up to 18 months.
3. An employee who is terminated or who resigns must return to the Head of School or a designee all office keys, identification, security cards and codes, and office materials, properties and supplies in such employee's possession. Failure to return Amber Charter School's items will result in delay in payment of final pay until all of the School's property is returned.
4. No information or copies of information, including but in no way limited to files, memos, computer-stored items, lists, or other similar information,

may be taken by such employee without the express permission of the Head of School.

5. The final date of employment is the final date on which the employee serves his or her duties at Amber Charter School. It shall never be construed as the date upon which the employee receives his or her final pay.

a. Severance Pay

Employees shall not be entitled to severance pay.

b. Exit Interview

An exit interview will be arranged to explain the impact of separation on your benefits and to discuss your employment experience. All exit interview information is used to improve employment at Amber Charter School.

XXV. Key Control

Employees who are issued keys are expected to keep them in a secure area. They may not be copied, loaned, or otherwise misused. Where electronic codes are utilized, such codes shall be treated with confidentiality and not revealed to anyone other than a current Amber Charter School employee. All issued keys must be returned to the Head of School or a designee at the time of separation.

XXVI. Confidentiality

By virtue of employment at Amber Charter School, you may have access to information regarding children's education and development, medical records, and administrative statistics such as payroll and budget data. All such information is confidential and if you breach such confidentiality, you will be subject to discipline up to and including termination

XXVII. Personnel Inquiries

All inquiries regarding personnel issues must be directed to the Head of School, Board of Trustees or their designee. No one in this organization other than the Board of Trustees, Head of School, or a designee, is authorized to respond either verbally or in writing to personnel inquiries of any type about any current or former employee of this organization.

XXVIII. Personnel Files

Amber Charter School will keep a confidential file on each employee that may contain the following items: personal contact information, application materials and resume, letters of appointment and acceptance, a signed job description, copies of certificates and licenses, performance evaluations, letters of commendation and/or warning letters regarding job performance, records of all disciplinary actions, a signed code of ethics, and documentation required by state or other regulatory agencies.

Employees have the right to review their personnel files but only in the presence of the Head of School or a designee. You must notify your supervisor, the Head of School or a designee of your desire to review your file. You will be provided access to your file within a reasonable time from the time of your request. The file will be made available in Amber Charter School's Office. No personnel file is to be copied or removed from the office unless expressly provided for by the Head of School.

When you change your home address, phone number, emergency contact, marital status, number of dependents, beneficiary, or similar information, you should notify the office's Administrative Assistant so your personnel records and benefit coverage can remain as current and accurate as possible.

XXIX. Freedom Of Information Law

In accordance with the Freedom of Information Law, all school records will be available for public review except for any records that:

- Are specifically exempted from disclosure by state or federal statute;
- If disclosed would constitute an unwarranted invasion of personal privacy;
- If disclosed would impair present or imminent contract awards or collective bargaining negotiations;
- Are compiled for law enforcement purposes and which, if disclosed, would:
 1. Interfere with law enforcement investigations or judicial proceedings;
 2. Deprive a person of a right to a fair trial or impartial adjudication;
 3. Identify a confidential source or disclose confidential information relating to a criminal investigation; or
 4. Reveal criminal investigative techniques or procedures, except routine techniques and procedures.
- If disclosed would endanger the life or safety of any person;
- Are examination questions or answer which are requested prior to the final administration of such questions; or
- Are computer access codes.

These exceptions are lifted directly from the Freedom of Information Law. However, the public including and especially parents have access to school records, as the school is a public institution. These records include:

- The minutes and agenda of Board of Trustees meetings;
- Names of staff and faculty, as well as contact information;
- Salaries of each position at the school, unattached to specific names;
- Test scores and evaluations of the school; and
- Administrative or staff manuals, as well as other internal policy documents.

Records for public view will have student names blocked out to protect the privacy of minors. In addition, whenever a record names specific individuals and such document is believed to contain confidential information, such document will not be available for public view or in the case that it falls in the public domain according to the law, the name(s) will be blocked out.

Public documents will be available for view during business hours, Monday through Friday, from 9:00 am to 5:00 pm. Documents viewed will not be taken out of the administrative offices, unless they have been copied for the viewer. Copies may be taken outside of the school. The school may charge the viewer a cost of twenty-five cents per page copied. Documents that include the names of specific individuals require one day to be properly prepared for viewing. It is advised that whoever wants to view these documents make the school aware of such intention twenty-four hours in advance to allow for sufficient time. The administrative assistant of the school or such other staff as designated by the Head of School will oversee the distribution and viewing of public documents.

In the case that an individual feels he or she has been denied access to a public document, that individual should speak to the Head of School first about the matter within thirty days of the denial. The Head of School will respond to the appeal in writing within ten days of the meeting with the grievant. That individual may then opt to engage in the school's formal grievance procedures. In addition, the individual may appeal in writing such denial to formal civil proceedings pursuant to article seventy-eight of the civil practice law and rules.

XXX. Employee Acknowledgment Form

I have received a copy of Amber Charter School's Personnel Policy and Procedures Employee Manual. I recognize and accept my responsibility to read and become familiar with its contents. I acknowledge that it is designed to provide **general** information relative to various policies and procedures. I also understand that the contents of the Manual may change. Further, I understand that Amber Charter School reserves the right to add, delete, or modify the contents of the Manual at any time and for any reason.

I also acknowledge that:

1. I accept the contents of the Manual and agree to abide by the information set forth.
2. I understand that the information in the Manual does not create, nor is it intended to create, a promise or contract of continued employment.
3. [For non-Bargaining Unit employees] I understand that my employment is "at will" and that I or Amber Charter School may terminate the employment relationship at any time with or without cause or notice, unless otherwise indicated in my employment contract.

Employee signature

Date

Exhibit A

Work Made for Hire (employees)

a. All materials intended to be included in the Amber Scope and Sequence Curriculum written, prepared or developed by me in connection with my work for Amber Charter School ("Amber") or as a result of my services to Amber, whether prior to or following the date hereof, including without limitation all educational materials and/or curriculum work (including curriculum units) except my personal lesson plans and notes shall be or has been prepared within the scope of my employment and shall be deemed a "work made for hire" for Amber within the meaning of the copyright laws of the United States or any similar law or statute of any other jurisdiction. Accordingly, Amber shall be the sole and exclusive owner for all purposes of such materials and further shall have the exclusive right to register copyright in all such materials in its name as owner and author.

b. I agree to assist Amber, or its designee, at its expense, in every way to secure Amber's or its designee's, rights in any copyrights or other intellectual property rights developed by me in connection with my work for Amber described in the preceding paragraph. If Amber or its designee is unable for any reason to secure my signature to apply for or to pursue any application for any United States or foreign copyright or other registrations covered by this agreement, then I hereby irrevocably designate and appoint Amber and its duly authorized officers and agents as my agent and attorney in fact, to act for and in my behalf to execute and file any such applications. Additionally, to the extent that any materials described in the preceding paragraph are ever determined by the laws of any jurisdiction not to be a "work made for hire," vesting exclusive ownership of all aspects of copyright in Amber, I shall irrevocably and exclusively assign to Amber all right, title and interest thereto, including but not limited to all copyright and associated rights.

c. I will not disclose any of the materials described in paragraph a to any third party without the prior written consent of Amber.

In consideration of compensation received by me for participating in the development of the Scope and Sequence Curriculum by Amber Charter School, I hereby agree to the terms set forth above in paragraphs a, b and c.

(Signature)

Print Name

Date

Exhibit B

Work Made for Hire (consultants)

- a. All materials written, prepared or developed by me in connection with my work for Amber Charter School (“Amber”) or as a result of my services to Amber, whether prior to or following the date hereof, including without limitation all educational materials and/or curriculum work (including curriculum units) shall be or has been prepared within the scope of my employment and shall be deemed a “work made for hire” for Amber within the meaning of the copyright laws of the United States or any similar law or statute of any other jurisdiction. Accordingly, Amber shall be the sole and exclusive owner for all purposes of such materials and further shall have the exclusive right to register copyright in all such materials in its name as owner and author.
- b. To the extent that such materials or proceeds of my services to Amber are ever determined by the laws of any jurisdiction not to be a “work made for hire,” I hereby irrevocably and exclusively assign to Amber Charter School all right, title and interest thereto, including but not limited to all copyright and associated rights therein and all extensions and renewals thereof, throughout the universe in perpetuity.
- c. I agree to assist Amber, or its designee, at its expense, in every way to secure Amber’s, or its designee’s, rights in any copyrights or other intellectual property rights developed by me in connection with my work for Amber. If Amber or its designee is unable for any reason to secure my signature to apply for or to pursue any application for any United States or foreign copyright or other registrations covered by this agreement, then I hereby irrevocably designate and appoint Amber and its duly authorized officers and agents as my agent and attorney in fact, to act for and in my behalf to execute and file any such applications.
- d. I agree that “work made for hire,” including the Amber Scope and Sequence Curriculum is the confidential and proprietary information of Amber and I agree not to disclose it to any third party without Amber’s prior written consent. I agree that any such disclosure may cause Amber substantial damages and that remedies at law may be inadequate, accordingly Amber shall be entitled to injunctive relief in addition to all other applicable rights and remedies.

In consideration of my contract for consultation with Amber Charter School, I hereby agree to the terms set forth above in paragraphs a, b, c and d:

[Signature]

Print Name

Date

Elementary Academic Assessment Calendar Map

[illegible]

Date	Grade	Exam	Type	Done	Location
09/10/13	0	Journeys Benchmark Unit 5	Diagnostic	X	Journeys Benchmark & Unit Tests p59-74
09/10/13	1	Journeys Benchmark Unit 5	Diagnostic	X	Journeys Benchmark & Unit Tests p81-108
09/10/13	2	Journeys Benchmark Unit 5	Diagnostic	X	Journeys Benchmark & Unit Tests p133-168
09/10/13	3	Journeys Benchmark Unit 5	Diagnostic	X	Journeys Benchmark & Unit Tests p145-184
09/10/13	4	Journeys Benchmark Unit 5	Diagnostic	X	Journeys Benchmark & Unit Tests p147-187
09/10/13	5	Journeys Benchmark Unit 5	Diagnostic	X	Journeys Benchmark & Unit Tests p151-200
09/12/13	0	GoMath Baseline End	Diagnostic	X	GoMath Assessment Guide K p27-34
09/12/13	1	GoMath Baseline End	Diagnostic	X	GoMath Assessment Guide 1 p27-36
09/12/13	2	GoMath Baseline End	Diagnostic	X	GoMath Assessment Guide 2 p27-36
09/12/13	3	GoMath Baseline End	Diagnostic	X	GoMath Assessment Guide 3 p27-36
09/12/13	4	GoMath Baseline End	Diagnostic	X	GoMath Assessment Guide 4 p27-36
09/12/13	5	GoMath Baseline End	Diagnostic	X	GoMath Assessment Guide 5 p27-36
09/13/13	1	Journeys Weekly 1	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 1
09/13/13	2	Journeys Weekly 1	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 1
09/13/13	3	Journeys Weekly 1	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 1
09/13/13	4	Journeys Weekly 1	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 1
09/13/13	5	Journeys Weekly 1	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 1
09/20/13	1	Journeys Weekly 2	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 2
09/20/13	2	Journeys Weekly 2	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 2
09/20/13	3	Journeys Weekly 2	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 2
09/20/13	4	Journeys Weekly 2	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 2
09/20/13	5	Journeys Weekly 2	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 2
09/27/13	1	Journeys Weekly 3	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 3
09/27/13	2	Journeys Weekly 3	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 3
09/27/13	3	Journeys Weekly 3	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 3
09/27/13	4	Journeys Weekly 3	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 3
09/27/13	5	Journeys Weekly 3	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 3
09/30/13	1	GoMath Chapter 1	Formative	X	GoMath Assessment Guide 1 p43-49

Date	Grade	Exam	Type	Done	Location
10/01/13	2	GoMath Chapter 1	Formative	X	GoMath Assessment Guide 2 p43-49
10/03/13	0	GoMath Chapter 1	Formative	X	GoMath Assessment Guide 0 p39-43
10/04/13	4	GoMath Chapter 1	Formative	X	GoMath Assessment Guide 4 p43-49
10/04/13	1	Journeys Weekly 4	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 4
10/04/13	2	Journeys Weekly 4	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 4
10/04/13	3	Journeys Weekly 4	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 4
10/04/13	4	Journeys Weekly 4	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 4
10/04/13	5	Journeys Weekly 4	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 4
10/04/13	5	GoMath Chapter 1	Formative	X	GoMath Assessment Guide 5 p43-49
10/07/13	3	GoMath Chapter 1	Formative	X	GoMath Assessment Guide 3 p43-49
10/11/13	1	Journeys Weekly 5	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 5
10/11/13	2	Journeys Weekly 5	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 5
10/11/13	3	Journeys Weekly 5	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 5
10/11/13	4	Journeys Weekly 5	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 5
10/11/13	5	Journeys Weekly 5	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 5
10/16/13	1	Journeys Unit 1	Formative	X	Journeys Benchmark & Unit Tests p1-16
10/16/13	2	Journeys Unit 1	Formative	X	Journeys Benchmark & Unit Tests p1-34
10/16/13	3	Journeys Unit 1	Formative	X	Journeys Benchmark & Unit Tests p1-40
10/16/13	4	Journeys Unit 1	Formative	X	Journeys Benchmark & Unit Tests p1-37
10/16/13	5	Journeys Unit 1	Formative	X	Journeys Benchmark & Unit Tests p1-39
10/17/13	1	GoMath Chapter 2	Formative	X	GoMath Assessment Guide 1 p43-49
10/17/13	0	GoMath Chapter 2	Formative	X	GoMath Assessment Guide 0 p49-53
10/23/13	0	Journeys Unit 1	Formative	X	Journeys Benchmark & Unit Tests p1-11
10/23/13	2	GoMath Chapter 2	Formative	X	GoMath Assessment Guide 2 p43-49
10/23/13	3	GoMath Chapter 2	Formative	X	GoMath Assessment Guide 3 p43-49
10/23/13	5	GoMath Chapter 2	Formative	X	GoMath Assessment Guide 5 p43-49
10/24/13	4	GoMath Chapter 2	Formative	X	GoMath Assessment Guide 4 p43-49
10/25/13	1	Journeys Weekly 6	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 6
10/25/13	2	Journeys Weekly 6	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 6
10/25/13	3	Journeys Weekly 6	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 6
10/25/13	4	Journeys Weekly 6	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 6
10/25/13	5	Journeys Weekly 6	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 6

Date	Grade	Exam	Type	Done	Location
11/01/13	1	Journeys Weekly 7	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 7
11/01/13	2	Journeys Weekly 7	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 7
11/01/13	3	Journeys Weekly 7	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 7
11/01/13	4	Journeys Weekly 7	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 7
11/01/13	5	Journeys Weekly 7	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 7
11/04/13	0	GoMath Chapter 3	Formative	X	GoMath Assessment Guide K p59-63
11/07/13	3	GoMath Chapter 3	Formative	X	GoMath Assessment Guide 3 p71-77
11/08/13	3	GoMath Quarter 1 - Begin	Formative	X	GoMath Assessment Guide 3 p7-16
11/08/13	1	Journeys Weekly 8	Formative	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 8
11/08/13	1	GoMath Chapter 3	Formative	X	GoMath Assessment Guide 1 p71-77
11/08/13	2	Journeys Weekly 8	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 8
11/08/13	3	Journeys Weekly 8	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 8
11/08/13	4	Journeys Weekly 8	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 8
11/08/13	5	Journeys Weekly 8	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 8
11/12/13	2	SRI	Formative	X	SRI Form B
11/12/13	3	SRI	Formative	X	SRI Form B
11/12/13	4	SRI	Formative	X	SRI Form B
11/12/13	5	SRI	Formative	X	SRI Form B
11/12/13	4	GoMath Chapter 3	Formative	X	GoMath Assessment Guide 4 p71-77
11/13/13	2	GoMath Chapter 3	Formative	X	GoMath Assessment Guide 2 p71-77
11/14/13	5	GoMath Chapter 3	Formative	X	GoMath Assessment Guide 5 p71-77
11/15/13	4	GoMath Quarter 1 - Begin	Formative	X	GoMath Assessment Guide 4 p7-16
11/18/13	2	GoMath Quarter 1 - Begin	Formative	X	GoMath Assessment Guide 2 p7-16
11/18/13	1	Journeys Weekly 9	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 9
11/19/13	5	GoMath Quarter 1 - Begin	Formative	X	GoMath Assessment Guide 5 p7-16
11/19/13	0	GoMath Chapter 4	Formative	X	GoMath Assessment Guide K p69-73
11/21/13	1	Journeys Unit 2	Formative	X	Journeys Benchmark & Unit Tests p17-34
11/22/13	1	GoMath Chapter 4	Formative	X	GoMath Assessment Guide 1 p85-91
11/22/13	2	Journeys Weekly 9	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 9
11/22/13	3	Journeys Weekly 9	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 9
11/22/13	4	Journeys Weekly 9	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 9
11/22/13	5	Journeys Weekly 9	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 9
11/25/13	2	Journeys Unit 2	Formative	X	Journeys Benchmark & Unit Tests p35-64
11/25/13	3	Journeys Unit 2	Formative	X	Journeys Benchmark & Unit Tests p41-74
11/25/13	4	Journeys Unit 2	Formative	X	Journeys Benchmark & Unit Tests p39-71
11/25/13	5	Journeys Unit 2	Formative	X	Journeys Benchmark & Unit Tests p41-73
11/25/13	1	GoMath Quarter 1 - Begin	Formative	X	GoMath Assessment Guide 1 p7-16
11/25/13	0	GoMath Quarter 1 - Begin	Formative	X	GoMath Assessment Guide K p11-18

Date	Grade	Exam	Type	Done	Location
12/03/13	3	GoMath Chapter 4	Formative	X	GoMath Assessment Guide 3 p85-91
12/06/13	1	Journeys Weekly 10	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 10
12/06/13	2	Journeys Weekly 10	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 10
12/06/13	3	Journeys Weekly 10	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 10
12/06/13	4	Journeys Weekly 10	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 10
12/06/13	5	Journeys Weekly 10	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 10
12/10/13	0	Journeys Unit 2	Formative	X	Journeys Benchmark & Unit Tests p13-25
12/10/13	5	GoMath Chapter 4	Formative	X	GoMath Assessment Guide 5 p85-91
12/12/13	4	GoMath Chapter 4	Formative	X	GoMath Assessment Guide 4 p85-91
12/13/13	1	Journeys Weekly 11	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 11
12/13/13	2	Journeys Weekly 11	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 11
12/13/13	3	Journeys Weekly 11	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 11
12/13/13	3	GoMath Chapter 5	Formative	X	GoMath Assessment Guide 3 p99-105
12/13/13	4	Journeys Weekly 11	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 11
12/13/13	5	Journeys Weekly 11	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 11
12/16/13	2	GoMath Chapter 4	Formative	X	GoMath Assessment Guide 2 p99-105
12/16/13	0	GoMath Chapter 5	Formative	X	GoMath Assessment Guide K p79-83
12/18/13	1	GoMath Chapter 5	Formative	X	GoMath Assessment Guide 1 p99-105
12/20/13	2	Journeys Weekly 12	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 12
12/20/13	1	Journeys Weekly 12	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 12
12/20/13	3	Journeys Weekly 12	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 12
12/20/13	4	Journeys Weekly 12	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 12
12/20/13	5	Journeys Weekly 12	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 12

Date	Grade	Exam	Type	Done	Location
01/07/14	4	GoMath Chapter 5	Formative	X	GoMath Assessment Guide 4 p99-105
01/08/14	5	GoMath Chapter 5	Formative	X	GoMath Assessment Guide 5 p99-105
01/10/14	1	Journeys Weekly 13	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 13
01/10/14	2	Journeys Weekly 13	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 13
01/10/14	3	Journeys Weekly 13	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 13
01/10/14	4	Journeys Weekly 13	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 13
01/10/14	5	Journeys Weekly 13	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 13
01/13/14	2	GoMath Quarter 2 - Mid	Formative	X	GoMath Assessment Guide 2 p17-26
01/14/14	0	GoMath Chapter 6	Formative	X	GoMath Assessment Guide K p89-93
01/15/14	3	GoMath Chapter 11	Formative	X	GoMath Assessment Guide 3 p183-189
01/16/14	0	GoMath Quarter 2 - Mid	Formative	X	GoMath Assessment Guide K p19-26
01/17/14	1	Journeys Weekly 14	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 14
01/17/14	2	Journeys Weekly 14	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 14
01/17/14	3	Journeys Weekly 14	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 14
01/17/14	4	Journeys Weekly 14	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 14
01/17/14	5	Journeys Weekly 14	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 14
01/21/14	1	GoMath Chapter 6	Formative	X	GoMath Assessment Guide 1 p113-119
01/22/14	5	GoMath Quarter 2 - Ready	Formative	X	Ready NY CCLS Math 5 Test 2 (2014) p43-79
01/22/14	3	GoMath Quarter 2 - Ready	Formative	X	Ready NY CCLS Math 3 Test 2 (2014) p40-75
01/22/14	2	GoMath Chapter 5	Formative	X	GoMath Assessment Guide 2 p99-105
01/22/14	4	GoMath Quarter 2 - Ready	Formative	X	Ready NY CCLS Math 4 Test 2 (2014) p42-87
01/23/14	1	GoMath Quarter 2 - Mid	Formative	X	GoMath Assessment Guide 1 p17-26
01/25/14	4	GoMath Chapter 6	Formative	X	GoMath Assessment Guide 4 p113-119
01/27/14	1	Journeys Weekly 15	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 15
01/27/14	2	Journeys Weekly 15	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 15
01/27/14	3	Journeys Weekly 15	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 15
01/27/14	4	Journeys Weekly 15	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 15
01/27/14	5	Journeys Weekly 15	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 15
01/29/14	1	Journeys Unit 3	Formative	X	Journeys Benchmark & Unit Tests p35-52
01/29/14	2	Journeys Unit 3	Formative	X	Journeys Benchmark & Unit Tests p65-102
01/29/14	3	Journeys Unit 3 - Ready	Formative	X	Ready NY CCLS Math 3 Test 2 (2014) p41-83
01/29/14	4	Journeys Unit 3 - Ready	Formative	X	Ready NY CCLS Math 4 Test 2 (2014) p42-79
01/29/14	5	Journeys Unit 3 - Ready	Formative	X	Ready NY CCLS Math 5 Test 2 (2014) p53-109
01/30/14	0	DRA	Formative	X	DRA 2nd Edition
01/30/14	1	DRA	Formative	X	DRA 2nd Edition
01/31/14	5	GoMath Chapter 6	Formative	X	GoMath Assessment Guide 5 p113-119

Date	Grade	Exam	Type	Done	Location
02/03/14	3	GoMath Chapter 6	Formative	X	GoMath Assessment Guide 3 p113-119
02/04/14	0	Journeys Unit 3	Formative	X	Journeys Benchmark & Unit Tests p27-41
02/05/14	1	GoMath Chapter 7	Formative	X	GoMath Assessment Guide 1 p127-133
02/05/14	0	GoMath Chapter 7	Formative	X	GoMath Assessment Guide K p99-103
02/07/14	1	Journeys Weekly 16	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 16
02/07/14	2	Journeys Weekly 16	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 16
02/07/14	3	Journeys Weekly 16	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 16
02/07/14	4	Journeys Weekly 16	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 16
02/07/14	5	Journeys Weekly 16	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 16
02/10/14	2	GoMath Chapter 6	Formative	X	GoMath Assessment Guide 2 p113-119
02/14/14	1	Journeys Weekly 17	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 17
02/14/14	2	Journeys Weekly 17	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 17
02/14/14	3	Journeys Weekly 17	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 17
02/14/14	4	Journeys Weekly 17	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 17
02/14/14	5	Journeys Weekly 17	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 17
02/18/14	2	SRI	Summative	X	SRI Form A
02/18/14	3	SRI	Summative	X	SRI Form A
02/18/14	4	SRI	Summative	X	SRI Form A
02/18/14	5	SRI	Summative	X	SRI Form A
02/19/14	4	GoMath Chapter 7	Formative	X	GoMath Assessment Guide 4 p127-133
02/25/14	1	Journeys Weekly 18	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 18
02/25/14	3	GoMath Chapter 7	Formative	X	GoMath Assessment Guide 3 p127-133
02/26/14	0	GoMath Chapter 8	Formative	X	GoMath Assessment Guide K p109-113
02/28/14	1	GoMath Chapter 8	Formative	X	GoMath Assessment Guide 1 p141-147
02/28/14	2	Journeys Weekly 18	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 18
02/28/14	2	GoMath Chapter 8	Formative	X	GoMath Assessment Guide 2 p141-147
02/28/14	3	Journeys Weekly 18	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 18
02/28/14	4	Journeys Weekly 18	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 18
02/28/14	5	Journeys Weekly 18	Diagnostic	X	Journeys Grab-n-Go Weekly Lesson Resources Lesson 18
02/28/14	5	GoMath Chapter 7	Formative		GoMath Assessment Guide 5 p127-133

Date	Grade	Exam	Type	Done	Location
03/03/14	1	GoMath Quarter 3 - Begin	Formative	GoMath Assessment Guide 1 p7-16	
03/04/14	1	Journeys Weekly 19	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 19	
03/05/14	4	GoMath Chapter 8	Formative	GoMath Assessment Guide 4 p141-147	
03/05/14	5	GoMath Chapter 8	Formative	GoMath Assessment Guide 5 p141-147	
03/06/14	2	GoMath Quarter 3 - Begin	Formative	GoMath Assessment Guide 2 p7-16	
03/06/14	5	GoMath Quarter 3 - Begin	Formative	GoMath Assessment Guide 5 p7-16	
03/07/14	2	Journeys Weekly 19	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 19	
03/07/14	3	Journeys Weekly 19	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 19	
03/07/14	4	Journeys Weekly 19	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 19	
03/07/14	5	Journeys Weekly 19	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 19	
03/11/14	1	Journeys Weekly 20	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 20	
03/13/14	1	Journeys Unit 4	Formative	Journeys Benchmark & Unit Tests p53-80	
03/14/14	2	Journeys Weekly 20	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 20	
03/14/14	3	Journeys Weekly 20	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 20	
03/14/14	3	GoMath Chapter 8	Formative	GoMath Assessment Guide 3 p141-147	
03/14/14	4	Journeys Weekly 20	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 20	
03/14/14	5	Journeys Weekly 20	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 20	
03/17/14	2	Journeys Unit 4	Formative	Journeys Benchmark & Unit Tests p103-132	
03/17/14	3	Journeys Unit 4	Formative	Journeys Benchmark & Unit Tests p113-143	
03/17/14	4	Journeys Unit 4	Formative	Journeys Benchmark & Unit Tests p113-146	
03/17/14	5	Journeys Unit 4	Formative	Journeys Benchmark & Unit Tests p119-150	
03/17/14	2	GoMath Chapter 9	Formative	GoMath Assessment Guide 2 p155-161	
03/17/14	3	GoMath Quarter 3 - Mid	Formative	GoMath Assessment Guide 3 p7-16	
03/19/14	0	GoMath Chapter 9	Formative	GoMath Assessment Guide K p119-123	
03/20/14	4	GoMath Chapter 9	Formative	GoMath Assessment Guide 4 p155-161	
03/21/14	1	Journeys Weekly 21	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 21	

Date	Grade	Exam	Type	Done	Location
03/24/14	0	Journeys Unit 4	Formative	Journeys Benchmark & Unit Tests p43-58	
03/24/14	4	GoMath Quarter 3 - Mid	Formative	GoMath Assessment Guide 4 p7-16	
03/27/14	1	GoMath Chapter 11	Formative	GoMath Assessment Guide 1 p183-189	
03/28/14	1	Journeys Weekly 22	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 22	
03/28/14	5	GoMath Chapter 11	Formative	GoMath Assessment Guide 5 p183-189	
04/01/14	3	NYS ELA	Summative	NY State Provided	
04/01/14	4	NYS ELA	Summative	NY State Provided	
04/01/14	5	NYS ELA	Summative	NY State Provided	
04/04/14	1	Journeys Weekly 23	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 23	
04/04/14	2	GoMath Chapter 11	Formative	GoMath Assessment Guide 2 p183-189	
04/07/14	3	GoMath Chapter 9	Formative	GoMath Assessment Guide 3 p155-161	
04/08/14	0	GoMath Chapter 10	Formative	GoMath Assessment Guide K p129-133	
04/09/14	0	NYSESLAT	Summative	NY State Provided	
04/09/14	1	NYSESLAT	Summative	NY State Provided	
04/09/14	2	NYSESLAT	Summative	NY State Provided	
04/09/14	3	NYSESLAT	Summative	NY State Provided	
04/09/14	4	NYSESLAT	Summative	NY State Provided	
04/09/14	5	NYSESLAT	Summative	NY State Provided	
04/11/14	1	Journeys Weekly 24	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 24	
04/11/14	2	Journeys Weekly 21	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 21	
04/11/14	3	Journeys Weekly 21	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 21	
04/11/14	4	Journeys Weekly 21	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 21	
04/11/14	5	Journeys Weekly 21	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 21	
04/23/14	4	GoMath Chapter 12	Formative	GoMath Assessment Guide 4 p197-203	
04/24/14	1	GoMath Chapter 12	Formative	GoMath Assessment Guide 1 p197-203	
04/25/14	0	GoMath Chapter 11	Formative	GoMath Assessment Guide K p139-143	
04/28/14	2	Journeys Weekly 22	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 22	
04/28/14	3	Journeys Weekly 22	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 22	
04/28/14	4	Journeys Weekly 22	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 22	
04/28/14	5	Journeys Weekly 22	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 22	
04/30/14	3	NYS Math	Summative	NY State Provided	
04/30/14	4	NYS Math	Summative	NY State Provided	
04/30/14	5	NYS Math	Summative	NY State Provided	

Date	Grade	Exam	Type	Done	Location
05/02/14	1	GoMath Chapter 9	Formative	GoMath Assessment Guide 1	p155-161
05/02/14	2	GoMath Chapter 7	Formative	GoMath Assessment Guide 2	p127-133
05/06/14	0	TerraNova ELA	Summative	Form 10G	
05/06/14	1	TerraNova ELA	Summative	Form 11G	
05/06/14	2	TerraNova ELA	Summative	Form 12G	
05/06/14	0	TerraNova Math	Summative	Form 10G	
05/06/14	1	TerraNova Math	Summative	Form 11G	
05/06/14	2	TerraNova Math	Summative	Form 12G	
05/07/14	3	GoMath Chapter 10	Formative	GoMath Assessment Guide 3	p169-175
05/09/14	2	Journeys Weekly 23	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources	Lesson 23
05/09/14	3	Journeys Weekly 23	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources	Lesson 23
05/09/14	4	Journeys Weekly 23	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources	Lesson 23
05/09/14	5	Journeys Weekly 23	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources	Lesson 23
05/12/14	4	GoMath Chapter 13	Formative	GoMath Assessment Guide 4	p211-217
05/13/14	2	Journeys Unit 5	Formative	Journeys Benchmark & Unit Tests	p133-168
05/13/14	3	Journeys Unit 5	Formative	Journeys Benchmark & Unit Tests	p145-184
05/13/14	4	Journeys Unit 5	Formative	Journeys Benchmark & Unit Tests	p147-187
05/13/14	5	Journeys Unit 5	Formative	Journeys Benchmark & Unit Tests	p151-200
05/13/14	3	TerraNova Math	Summative	Form 13G	
05/13/14	4	TerraNova Math	Summative	Form 14G	
05/13/14	5	TerraNova Math	Summative	Form 15G	
05/13/14	3	TerraNova ELA	Summative	Form 13G	
05/13/14	4	TerraNova ELA	Summative	Form 14G	
05/13/14	5	TerraNova ELA	Summative	Form 15G	
05/14/14	1	Journeys Weekly 25	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources	Lesson 25
05/16/14	1	GoMath Chapter 10	Formative	GoMath Assessment Guide 1	p169-175
05/19/14	1	Journeys Unit 5	Formative	Journeys Benchmark & Unit Tests	p81-108
05/19/14	5	GoMath Chapter 10	Formative	GoMath Assessment Guide 5	p169-175
05/20/14	2	GoMath Chapter 10	Formative	GoMath Assessment Guide 2	p169-175
05/21/14	4	NYS Science - Performance	Summative	NY State Provided	
05/22/14	0	GoMath Chapter 12	Formative	GoMath Assessment Guide K	p149-153
05/27/14	0	Journeys Unit 5	Formative	Journeys Benchmark & Unit Tests	p59-74
05/27/14	0	GoMath Baseline End	Formative	GoMath Assessment Guide K	p59-74
05/27/14	1	GoMath Baseline End	Formative	GoMath Assessment Guide 1	p81-108
05/27/14	2	GoMath Baseline End	Formative	GoMath Assessment Guide 2	p133-168
05/27/14	3	GoMath Baseline End	Formative	GoMath Assessment Guide 3	p145-184
05/27/14	4	GoMath Baseline End	Formative	GoMath Assessment Guide 4	p147-187
05/27/14	5	GoMath Baseline End	Formative	GoMath Assessment Guide 5	p151-200
05/28/14	1	Journeys Weekly 26	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources	Lesson 26
05/29/14	2	Journeys Weekly 24	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources	Lesson 26
05/29/14	3	Journeys Weekly 24	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources	Lesson 26
05/29/14	4	Journeys Weekly 24	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources	Lesson 26
05/29/14	5	Journeys Weekly 24	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources	Lesson 26

Date	Grade	Exam	Type	Done	Location
06/02/14	4	NYS Science - Written	Summative	NY State Provided	
06/03/14	4	GoMath Chapter 10	Formative	GoMath Assessment Guide 4 p169-175	
06/05/14	0	DRA	Summative	DRA 2nd Edition	
06/05/14	1	DRA	Summative	DRA 2nd Edition	
06/06/14	2	Journeys Weekly 25	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 25	
06/06/14	3	Journeys Weekly 25	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 25	
06/06/14	4	Journeys Weekly 25	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 25	
06/06/14	5	Journeys Weekly 25	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 25	
06/09/14	1	Journeys Weekly 27	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 27	
06/13/14	4	GoMath Chapter 11	Formative	GoMath Assessment Guide 4 p183-189	
06/13/14	5	GoMath Chapter 9	Formative	GoMath Assessment Guide 5 p155-161	
06/16/14	1	Journeys Weekly 28	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 28	
06/23/14	1	Journeys Weekly 29	Diagnostic	Journeys Grab-n-Go Weekly Lesson Resources Lesson 29	



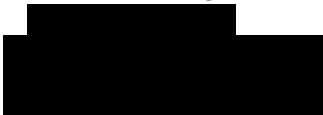
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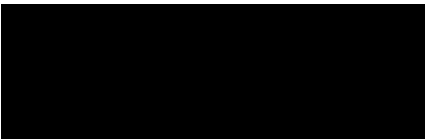
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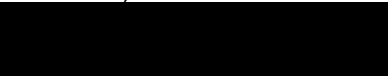
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Ray Cave



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 Teacher's Name _____
 Observed By _____

HEDI Rating Scale	Cummulative Score	
Highly Effective : 32 to 35	A: Classroom Management (2A + 2D)	
Effective : 24 to 31	B: Planning (1A + 1C + 1E)	
Developing : 17 to 23	C: Instructional Engagement (3A + 3B + 3C)	
Ineffective : 1 to 16	D: Assessment (1F + 3D)	
GRAND TOTAL		0.00

Domain 1: Planning and Preparation

1.a: Demonstrating Knowledge of Content and Pedagogy

Demonstrating Knowledge of Content and Pedagogy					POINTS
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	
1.a.1: Knowledge of content and the structure of the discipline	In planning and practice, teacher makes content errors or does not correct errors made by students.	Teacher is familiar with the important concepts in the discipline but displays lack of awareness of how these concepts relate to one another.	Teacher displays solid knowledge of the important concepts in the discipline and how these relate to one another.	Teacher displays extensive knowledge of the important concepts in the discipline and how these relate both to one another and to other disciplines.	
Please place X in box					
Comments					
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
1.a.2: Knowledge of prerequisite relationships	Teacher's plans and practice display little understanding of prerequisite relationships important to student learning of the content.	Teacher's plans and practice indicate some awareness of prerequisite relationships, although such knowledge may be inaccurate or incomplete.	Teacher's plans and practice reflect accurate understanding of prerequisite relationships among topics and concepts.	Teacher's plans and practice reflect understanding of prerequisite relationships among topics and concepts and a link to necessary cognitive structures by students to ensure understanding.	
Please place X in box					
Comments					
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
1.a.3: Knowledge of content related pedagogy	Teacher displays little or no understanding of the range of pedagogical approaches suitable to student learning of the content.	Teacher's plans and practice reflect a limited range of pedagogical approaches to the discipline or to the students.	Teacher's plans and practice reflect familiarity with a wide range of effective pedagogical approaches in the discipline.	Teacher's plans and practice reflect familiarity with a wide range of effective pedagogical approaches in the discipline, anticipating student misconceptions.	
Please place X in box					
Comments					

1.A TOTAL

1.c: Setting Instructional Outcomes

	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
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1.c.1: Value, sequence, and alignment	<i>Outcomes represent low expectations for students and lack of rigor. They do not reflect important learning in the discipline or a connection to a sequence of learning.</i>	<i>Outcomes represent moderately high expectations and rigor. Some reflect important learning in the discipline and at least some connection to a sequence of learning.</i>	<i>Most outcomes represent high expectations and rigor and important learning in the discipline. They are connected to a sequence of learning.</i>	<i>All outcomes represent high expectations and rigor and important learning in the discipline. They are connected to a sequence of learning both in the discipline and in related disciplines.</i>	
<i>Please place X in box</i>					
<i>Comments</i>					
					POINTS
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	
1.c.4: Suitability for diverse learners	<i>Outcomes are not suitable for the class or are not based on any assessment of student needs.</i>	<i>Most of the outcomes are suitable for most of the students in the class based on global assessments of student learning.</i>	<i>Most of the outcomes are suitable for all students in the class and are based on evidence of student proficiency. However, the needs of some individual students may not be accommodated.</i>	<i>Outcomes are based on a comprehensive assessment of student learning and take into account the varying needs of individual students or groups.</i>	
<i>Please place X in box</i>					
<i>Comments</i>					1.C TOTAL

1.e: Designing Coherent Instruction

					POINTS
1.e.1: Learning activities	<i>Learning activities are not suitable to students or to instructional outcomes and are not designed to engage students in active intellectual activity.</i>	<i>Only some of the learning activities are suitable to students or to the instructional outcomes. Some represent a moderate cognitive challenge, but with no differentiation for different students.</i>	<i>All of the learning activities are suitable to students or to the instructional outcomes, and most represent significant cognitive challenge, with some differentiation for different groups of students.</i>	<i>Learning activities are highly suitable to diverse learners and support the instructional outcomes. They are all designed to engage students in high-level cognitive activity and are differentiated, as appropriate, for individual learners.</i>	
<i>Please place X in box</i>					
<i>Comments</i>					
					POINTS
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	
1.e.4: Lesson and unit structure	<i>The lesson or unit has no clearly defined structure, or the structure is chaotic. Activities do not follow an organized progression, and time allocations are unrealistic.</i>	<i>The lesson or unit has a recognizable structure, although the structure is not uniformly maintained throughout. Progression of activities is uneven, with most time allocations reasonable.</i>	<i>The lesson or unit has a clearly defined structure around which activities are organized. Progression of activities is even, with reason- able time allocations.</i>	<i>The lesson’s or unit’s structure is clear and allows for different pathways according to diverse student need. The progression of activities is highly coherent.</i>	
<i>Please place X in box</i>					
<i>Comments</i>					
					1.E TOTAL

1.f: Designing Student Assessments

					POINTS
1.f.1: Congruence with instructional outcomes	<i>Assessment procedures are not congruent with instructional outcomes.</i>	<i>Some of the instructional outcomes are assessed through the proposed approach, but many are not.</i>	<i>All the instructional outcomes are assessed through the approach to assessment; assessment methodologies may have been adapted for groups of students.</i>	<i>Proposed approach to assessment is fully aligned with the instructional outcomes in both content and process. Assessment methodologies have been adapted for individual students, as needed.</i>	
<i>Please place X in box</i>					
<i>Comments</i>					
					POINTS
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	
1.f.2: Criteria and standards	<i>Proposed approach contains no criteria or standards.</i>	<i>Assessment criteria and standards have been developed, but they are not clear.</i>	<i>Assessment criteria and standards are clear.</i>	<i>Assessment criteria and standards are clear; there is evidence that the students contributed to their development.</i>	
<i>Please place X in box</i>					
<i>Comments</i>					
					POINTS
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	
1.f.3: Design of formative assessments	<i>Teacher has no plan to incorporate formative assessment in the lesson or unit.</i>	<i>Approach to the use of formative assessment is rudimentary, including only some of the instructional outcomes.</i>	<i>Teacher has a well-developed strategy to using formative assessment and has designed particular approaches to be used.</i>	<i>Approach to using formative assessment is well designed and includes student as well as teacher use of the assessment information.</i>	
<i>Please place X in box</i>					
<i>Comments</i>					
					POINTS
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	
1.f.4: Use for planning	<i>Teacher has no plans to use assessment results in designing future instruction</i>	<i>Teacher plans to use assessment results to plan for future instruction for the class as a whole.</i>	<i>Teacher plans to use assessment results to plan for future instruction for groups of students.</i>	<i>Teacher plans to use assessment results to plan future instruction for individual students.</i>	
<i>Please place X in box</i>					
<i>Comments</i>					

1.F TOTAL



Domain 2: The Classroom Environment

2.a: Creating an Environment of Respect and Rapport

Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
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2.a.1: Teacher interaction with students	Teacher interaction with at least some students is negative, demeaning, sarcastic, or inappropriate to the age or culture of the students. Students exhibit disrespect for the teacher.	Teacher-student interactions are generally appropriate but may reflect occasional inconsistencies, favoritism, or disregard for students' cultures. Students exhibit only minimal respect for the teacher.	Teacher-student interactions are friendly and demonstrate general caring and respect. Such interactions are appropriate to the age and cultures of the students. Students exhibit respect for the teacher.	Teacher interactions with students reflect genuine respect and caring for individuals as well as groups of students. Students appear to trust the teacher with sensitive information.	POINTS
Please place X in box					
Comments					
<div>Ineffective 0.00ptsDeveloping 0.50ptsEffective 0.75ptsHighly Effective 1.00pts</div>					POINTS
2.a.2: Student interactions with other students	Student interactions are characterized by conflict, sarcasm, or put-downs.	Students do not demonstrate disrespect for one another.	Student interactions are generally polite and respectful.	Students demonstrate genuine caring for one another and monitor one another's treatment of peers, correcting class-mates respectfully when needed.	
Please place X in box					
Comments					2.A TOTAL

2.d: Managing Student Behavior

	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
2.d.1: Expectations	No standards of conduct appear to have been established, or students are confused as to what the standards are.	Standards of conduct appear to have been established, and most students seem to under- stand them.	Standards of conduct are clear to all students.	Standards of conduct are clear to all students and appear to have been developed with student participation.	
Please place X in box					
Comments					
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
2.d.2: Monitoring of Student Behavior	Student behavior is not monitored, and teacher is unaware of what the students are doing.	Teacher is generally aware of student behavior but may miss the activities of some students.	Teacher is alert to student behavior at all times.	Monitoring by teacher is subtle and preventive. Students monitor their own and their peers’ behavior, correcting one another respectfully.	
Please place X in box					
Comments					
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
2.d.3: Response to Student Misbehavior	Teacher does not respond to misbehavior, or the response is inconsistent, is overly repressive, or does not respect the student’s dignity.	Teacher attempts to respond to student misbehavior but with uneven results, or there are no major infractions of the rules.	Teacher response to misbehavior is appropriate and successful and respects the student’s dignity, or student behavior is generally appropriate.	Teacher response to misbehavior is highly effective and sensitive to students’ individual needs, or student behavior is entirely appropriate.	

Please place X in box						2.D TOTAL
Comments						

Domain 3: Instruction

3.a: Communicating with Students

	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
3.a.1: Expectations for learning	Teacher’s purpose in a lesson or unit is unclear to students.	Teacher attempts to explain the instructional purpose, with limited success.	Teacher’s purpose for the lesson or unit is clear, including where it is situated within broader learning.	Teacher makes the purpose of the lesson or unit clear, including where it is situated within broader learning, linking that purpose to student interests.	
Please place X in box					
Comments					
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
3.a.2: Directions and Procedures	Teacher directions and procedures are confusing to students.	Teacher directions and procedures are clarified after initial student confusion or are excessively detailed.	Teacher directions and procedures are clear to students and contain an appropriate level of detail.	Teacher directions and procedures are clear to students and anticipate possible student misunderstanding.	
Please place X in box					
Comments					
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
3.a.3: Explanations of content	Teacher’s explanation of the content is unclear or confusing or uses inappropriate language.	Teacher’s explanation of the content is uneven; some is done skillfully, but other portions are difficult to follow.	Teacher’s explanation of content is appropriate and connects with students’ knowledge and experience.	Teacher’s explanation of content is imaginative and connects with students’ knowledge and experience. Students contribute to explaining concepts to their peers.	
Please place X in box					
Comments					
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
3.a.4: Use of Oral and Written Language	Teacher’s spoke language is inaudible or written language is illegible. Spoken or written language may contain many grammar and syntax errors. Vocabulary may be inappropriate, vague, or used incorrectly, leaving students confused.	Teacher’s spoken language is audible, and written language is legible. Both are used correctly. Vocabulary is correct but limited or is not appropriate to students’ age or backgrounds.	Teacher’s spoken and written language is clear and correct. Vocabulary is appropriate to students’ age and interests	Teacher’s spoken and written language is correct and expressive, with well-chosen vocabulary that enriches the lesson.	
Please place X in box					

3.A TOTAL

Comments			
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3.b: Using Questioning and Discussion Techniques

Using Questioning and Discussion Techniques					POINTS
Ineffective 0.00pts		Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	
3.b.1: Quality of questions	Teacher's questions are virtually all of poor quality, with low cognitive challenge and single correct responses, and they are asked in rapid succession.	Teacher's questions are a combination of low and high quality, posed in rapid succession. Only some invite a thoughtful response.	Most of the teacher's questions are of high quality. Adequate time is provided for students to respond.	Teacher's questions are of uniformly high quality, with adequate time for students to respond. Students formulate many questions.	
Please place X in box					
Comments					
Ineffective 0.00pts		Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
3.b.2: Discussion techniques	Interaction between teacher and students is predominantly recitation style, with the teacher mediating all questions and answers.	Teacher makes some attempt to engage students in genuine discussion rather than recitation, with uneven results.	Teacher creates a genuine discussion among students, stepping aside when appropriate.	Students assume considerable responsibility for the success of the discussion, initiating topics and making unsolicited contributions.	
Please place X in box					
Comments					
Ineffective 0.00pts		Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	
3.b.3: Student Participation	A few students dominate the discussion.	Teacher attempts to engage all students in the discussion, but with only limited success.	Teacher successfully engages all students in the discussion.	Students themselves ensure that all voices are heard in the discussion.	3.B TOTAL
Please place X in box					
Comments					

3.c: Engaging Students in Learning

Ineffective 0.00pts		Developing 1.00pts		Effective 1.50pts	Highly Effective 2.00pts	POINTS	
3.c.1: Activities and Assignments	Activities and assignments are inappropriate for students' age or background. Students are not mentally engaged in them.	Activities and assignments are appropriate to some students and engage them mentally, but others are not engaged.	Most activities and assignments are appropriate to students, and almost all students are cognitively engaged in exploring content.	All students are cognitively engaged in the activities and assignments in their exploration of content. Students initiate or adapt activities and projects to enhance their understanding.			
Please place X in box							
Comments							
Ineffective 0.00pts		Developing 1.00pts		Effective 1.50pts	Highly Effective 2.00pts	POINTS	

3.c.2: Grouping of students	Instructional groups are inappropriate to the students or to the instructional outcomes.	Instructional groups are only partially appropriate to the students or only moderately successful in advancing the instructional out- comes of the lesson.	Instructional groups are productive and fully appropriate to the students or to the instructional purposes of the lesson.	Instructional groups are productive and fully appropriate to the students or to the instructional purposes of the lesson. Students take the initiative to influence the formation or adjustment of instructional groups.	
Please place X in box					
Comments					
	Ineffective 0.00pts	Developing 1.00pts	Effective 1.50pts	Highly Effective 2.00pts	POINTS
3.c.3: Instructional materials and resources	Instructional materials and resources are unsuitable to the instructional purposes or do not engage students mentally.	Instructional materials and resources are only partially suitable to the instructional purposes, or students are only partially mentally engaged with them.	Instructional materials and resources are suitable to the instructional purposes and engage students mentally.	Instructional materials and resources are suitable to the instructional purposes and engage students mentally. Students initiate the choice, adaptation, or creation of materials to enhance their learning.	
Please place X in box					
Comments					
	Ineffective 0.00pts	Developing 1.00pts	Effective 1.50pts	Highly Effective 2.00pts	POINTS
3.c.4: Structure and pacing	The lesson has no clearly defined structure, or the pace of the lesson is too slow or rushed, or both.	The lesson has a recognizable structure, although it is not uniformly maintained throughout the lesson. Pacing of the lesson is inconsistent.	The lesson has a clearly defined structure around which the activities are organized. Pacing of the lesson is generally appropriate.	The lesson's structure is highly coherent, allowing for reflection and closure. Pacing of the lesson is appropriate for all students.	
Please place X in box					
Comments					

3.d: Using Questioning and Discussion Techniques

	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
3.d.1: Assessment criteria	Students are not aware of the criteria and performance standards by which their work will be evaluated.	Students know some of the criteria and performance standards by which their work will be evaluated.	Students are fully aware of the criteria and performance standards by which their work will be evaluated.	Students are fully aware of the criteria and performance standards by which their work will be evaluated and have contributed to the development of the criteria.	
Please place X in box					
Comments					
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS

3.d.2: Monitoring of student learning	Teacher does not monitor student learning in the curriculum.	Teacher monitors the progress of the class as a whole but elicits no diagnostic information.	Teacher monitors the progress of groups of students in the curriculum, making limited use of diagnostic prompts to elicit information.	Teacher actively and systematically elicits diagnostic information from individual students regarding their understanding and monitors the progress of individual students.	
Please place X in box					
Comments					
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
3.d.3: Feedback to students	Teacher's feedback to students is of poor quality and not provided in a timely manner.	Teacher's feedback to students is uneven, and its timeliness is inconsistent.	Teacher's feedback to students is timely and of consistently high quality.	Teacher's feedback to students is timely and of consistently high quality, and students make use of the feedback in their learning.	
Please place X in box					
Comments					
	Ineffective 0.00pts	Developing 0.50pts	Effective 0.75pts	Highly Effective 1.00pts	POINTS
3.d.4: Student self-assessment and monitoring of progress	Students do not engage in self-assessment or monitoring of progress.	Students occasionally assess the quality of their own work against the assessment criteria and performance standards.	Students frequently assess and monitor the quality of their own work against the assessment criteria and performance standards.	Students not only frequently assess and monitor the quality of their own work against the assessment criteria and performance standards but also make active use of that information in their learning.	
Please place X in box					
Comments					
					3.D TOTAL

Observation Summary

Domain 1: Planning and Preparation

1.a: Demonstrating Knowledge of Content and Pedagogy

1.c: Setting Instructional Outcomes

1.e: Designing Coherent Instruction

1.f: Designing Student Assessments

Domain 2: The Classroom Environment

2.a: Creating an Environment of Respect and Rapport

2.d: Managing Student Behavior

Domain 3: Instruction

3.a: Communicating with Students

3.b: Using Questioning and Discussion Techniques

3.c: Engaging Students in Learning

3.d: Using Questioning and Discussion Techniques

Cummulative Score

A: Classroom Management (2A + 2D)

HEDI Rating Scale
Highly Effective : 32 to 35
Effective : 24 to 31
Developing : 17 to 23
Ineffective : 1 to 16

B: Planning (1A + 1C + 1E)
C: Instructional Engagement (3A + 3B + 3C)
D: Assessment (1F + 3D)

GRAND TOTAL 0.00

Recommendations

1.
2.
3.
4.
5.

Observer & Preparer of Report

<i>Print Name</i>	<i>Title</i>	<i>Signature</i>	<i>Date</i>

Teacher Observed

<i>Print Name</i>	<i>Title</i>	<i>Signature</i>	<i>Date</i>



Highly Effective : 85 to 100

Effective : 75 to 84

Developing : 66 to 74

Ineffective : 1 to 65

GRAND TOTAL 0.00

Date

Teacher's Name

Teacher's Class

Teacher Performance Measure (60%)

Formal Observation		out of 35 points
Service to the School		out of 10 points
Professional Goal		out of 10 points
Attendance		out of 5 points

Sub-total 0.00

Comments	
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Student Performance Measure (40%)

Student Learning Objective #1: Growth in ELA Baseline		out of 5 points
Student Learning Objective #2: Growth in Math Baseline		out of 5 points
Student Learning Objective #3: ELA Terra Nova Average		out of 10 points
Student Learning Objective #4: Math Terra Nova Average		out of 10 points
Student Learning Objective #5: Teacher Selected		out of 10 points

Sub-total 0.00

Comments	
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Preparer of Report

Print Name

Title

Signature

Date

Teacher

Print Name

Title

Signature

Date



Highly Effective : 85 to 100
Effective : 75 to 84
Developing : 66 to 74
Ineffective : 1 to 65

GRAND TOTAL 0.00

Date
Teacher's Name
Teacher's Class

Teacher Performance Measure (60%)

Formal Observation		out of 35 points
Service to the School		out of 10 points
Professional Goal		out of 10 points
Attendance		out of 5 points

Sub-total 0.00

Comments	
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Student Performance Measure (40%)

Student Learning Objective #1		out of 15 points
Student Learning Objective #2		out of 15 points
Student Learning Objective #3		out of 10 points

Sub-total 0.00

Comments	
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Preparer of Report

Print Name	Title	Signature	Date

Teacher

Print Name	Title	Signature	Date



Date

Teacher's Name

Teacher's Class

Student Learning Objective #1:

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Targets *(from Sept SLO)*

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Evidence *(from Sept SLO)*

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Results *(from May/June)*

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Analysis

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Student Learning Objective #2:

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Targets *(from Sept SLO)*

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Evidence *(from Sept SLO)*

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Results *(from May/June)*

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Analysis

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Student Learning Objective #3:

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Targets *(from Sept SLO)*

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Evidence *(from Sept SLO)*

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Results *(from May/June)*

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Analysis

Student Learning Objective #4:

Targets *(from Sept SLO)*

Evidence *(from Sept SLO)*

Results *(from May/June)*

Analysis

Student Learning Objective #5:

Targets *(from Sept SLO)*

Evidence *(from Sept SLO)*

Results *(from May/June)*

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Analysis

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