Application: Rochester Career and Technical Education Charter School

Stephanie Mauterstock - [redacted]
New Charter School Applications

Basic Letter of Intent Information

Completed Jun 3 2022

Instructions

Please complete the Basic Contact and Application form.

2022 PHASE I: Letter of Intent

I. Basic Contact and Application Group Information

New Applicant groups and Existing Education Corporations interested in submitting an application to establish Regents-authorized charter schools are asked to complete this brief information sheet. The Department will use this information to plan and coordinate peer review panels with appropriate expertise to evaluate all application materials.

Please indicate whether your applicant group is applying as a New Operator (that does not operate a Regents-authorized charter school or any charter schools currently) or whether your applicant group is an Existing Education Corporation (which operates one or more Regents-authorized charter schools and seeks to replicate another).

New Operator Applicant Group (operating no charter schools at all or in New York or not operating Regents-authorized charter schools)

Proposed Charter School Name

(Please write out the full name of the proposed new charter school, and include the words "charter" and "school" in the name).

Proposed School Name	Rochester Career and Technical Education Charter School
Grades Served (K-5, .6-8, 9-12, etc.) During Initial 5 year Term	6-12
Max Number of Students During Initial 5 year Term	525

Please enter the name of the proposed Board Chair (or current Board Chair for existing schools) and the name of the Public/Media Contact person, including mailing address, phone number, and email address.

(The entire chart may not be visible on your screen. Use the "tab" key to move from column to column. The first column will remain static as you do so).

	First and Last Name	Best Phone Number (###-###-####)	Email Address
Proposed/Current Board Chair	James Sperry	[redacted]	
Public/Media Contact Person	James Sperry		

Applications will only be accepted for applicant groups seeking to implement one or more of the following priority school designs (See page 5 of RFP) that align with New York State's Approved ESSA Plan and the strategic priorities of the Board of Regents:

Responses Selected:

• Models that will provide students with career and technical education (CTE) certification(s) or a pathway to such credentials, through a program that has or will seek NYSED program approval;

• Models where at least two thirds of students are identified in one or more of the following categories: 1. Court involved or adjudicated youth; 2. Gang involved youth; 3. In the foster care system; 4. Interrupted formal education; 5. Living in temporary housing; 6. McKinney Vento eligible; 7. Over-age and under credited; and 8. Students with mental health or substance use diagnoses; and

If Not Applicable is selected, please explain why the applicant group is not able to implement one or more of the priority school designs within its proposed school model.

N/A

List of Key Design Elements

List the key design elements (which are those features of the school that are innovative or unique to the school's mission and goals, are core to the school's overall design, and critical or integral to its success. The design elements may include a specific content area focus; unique student populations to be served; specific educational programs or pedagogical approaches; unique calendar, schedule, or configurations of students and staff; and/or innovative organizational structures and systems. **Approved schools will be accountable for implementation of the key design elements included in their charter.**

1	College and Career Pathways
2	Collaborative Learning Theory Model
3	Cultivating Student Voice, Choice and Leadership Beyond the Classroom
4	A Community Committed to DEIA and Continuous Learning
5	Partnerships for Student Success: Family, Community and Industry
6	Social-Emotional Learning for Life
7	(No response)

If available, please provide the URL to the website established for the proposed school(s).

(No response)

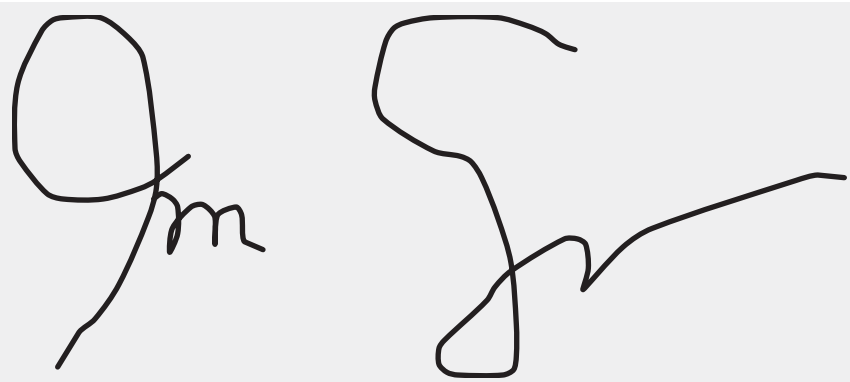
Proposed Management and/or Partner Organization(s), such as a charter or educational management company or a university, academic program partner, or whole school change partner.

(Refer to the application kit for definitions and guidance as only "substantial" partnerships should be listed here).

Proposed Management Company	(No response)
Partner Organization 1	Center for Educational Innovation
Partner Organization 2	(No response)

Signature of Proposed Board Chair

(Internet Explorer may not support this feature. Open the portal using Google Chrome, Firefox, or Safari).



Date

Jun 3 2022

Thank you for completing this form.

Letter of Intent (Upload 6 page narrative aligning responses to the RFP Section II and Section III

Completed Jun 3 2022

Instructions

Upload only the 6 page Letter of Intent (signed by the proposed board chair) in response to the evaluation criteria. Do NOT exceed the 6 page limit. Do NOT submit petitions -- keep for your own records.

Attachments are uploaded separately where indicated.

Rochester CTE Charter School LOI 6

Filename: Rochester CTE Charter School LOI 6.3.22.pdf **Size:** 293.7 kB

Table 2: Public Outreach Information

Completed Jun 3 2022

Instructions

Please click here Table 2: Public Outreach to download a blank MS Word version of Table 2. Complete and upload as a .PDF document when complete.

Table 2- Public Outreach Information

Filename: Table 2 Public Outreach Information .pdf **Size:** 112.8 kB

Attachment 2a: Initial Samples of Public Outreach

Completed Jun 3 2022

Instructions

Provide **ONE** sample of evidence from **each** of the following categories that supports the applicant group's outreach attempts:

1. The group has informed the community about the proposed charter school, including the intended location, the target student population, the grades to be served, and a description of the educational program(s) to be offered;

2. Stakeholders in the community were given the opportunity to provide input into the design of the proposed charter school; and

3. At least one public meeting with stakeholders in the community in the school district in which the proposed charter school is to be located. Reasonable public notice should be provided to community stakeholders.

Samples of evidence may include but are not limited to: a public meeting flyer with sign-in sheet and signatures; minutes of discussions with community parents, stakeholders or organizations and feedback obtained; public awareness campaign materials (emails, social media postings, media, etc.) with

documented results; and/or surveys distributed with statistical analysis. For a more complete list of sample evidence, refer to the Public Outreach section of the Full Application. **Please DO NOT submit any signed petitions; keep all petitions for your own records.**

Please be aware that the Board of Regents will not consider an application if the applicant group does not sufficiently demonstrate that the extensive public outreach process described above has been conducted. Since public outreach activities are expected to be ongoing throughout the application review process, additional information about public outreach activities is expected in the Full Application and at the capacity interview with additional input provided throughout the NYSED public comment period.

Attachment 2a- Initial Samples of Public Outreach

Filename: Attachment 2a Initial Samples of CiXM33h.pdf **Size:** 1.7 MB

Table 1: Applicant Group Information

Completed Jun 3 2022

Applicant Instructions

Ia. Applicant Group Members: Using **Table 1**, provide the name, contact information, current employment, the current or prospective role, and the relevant experience, skills, and/or qualifications in the proposed school for all members of the applicant group, which includes the initial proposed board of trustees and any known proposed school employees. Table 1 is a fillable table within the portal.

Table 1: Applicant Group Information

Must include a minimum of 5 members proposed as Trustees

Ia. Applicant Group Information

The term “applicant group” includes those actively participating in the planning of the application to establish the proposed charter school; those individuals who will comprise the initial board of trustees; and those individuals (if any) who will become school employees. (Employees cannot are not permitted to serve on the Board of Trustees of Regents-authorized charter schools, including as ex-officio members).

	Name/Phone/Email Address	Current Employment	Relevant Experience/Skills and Role on Applicant	Proposed Role in School (e.g., trustee, employee,	Proposed Position on Board (Officer, Trustee,

			Group	none)	Constituent Rep)
1	Amari Simpson/ [redacted]	Associate Director of Affinity Networks and Equity, Diversity, and Inclusion, University of Rochester	High school STEM teacher, science curriculum development, DEIA university leader, education policy, pathways to college, community engagement Education Committee	trustee	trustee
2	David Simkins/ [redacted]	Associate Professor, School of Interactive Games and Media, Rochester Institute of Technology	Computer science, gaming expert, pathways to college, community engagement Education Committee	trustee	trustee
3	Rachel Musiker [redacted]	Communiations Director, Redfin	Communications and marketing, community engagement Education Committee Finance Committee	trustee	trustee
	James Sperry/ [redacted]	Senior Vice President,	Financial management, budgeting and accounting, charter school experience,		

4		Managing Director, Tompkins Financial Advisors	science and engineering, real estate and facilities, community engagement Finance Committee	trustee	Board Chair
5	Roderick Green 	Executive Director, Hillside Work Scholarship Connection	Financial management, budgeting and accounting, charter school experience, fundraising, HR and talent, K-12 mentoring and internship, non-profit experience, community engagement Finance Committee Education Committee	trustee	trustee
6					
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25					

Ib. Public Contact

This information is captured in the Basic Letter of Intent Form to include the phone number and/or email address to which public inquiries about the proposed charter school may be addressed. This contact information will be public and available on the NYSED CSO website.

Ic. Application History

Identify whether any member of the current applicant group has ever applied to this or another charter entity to open this proposed school or another charter school, either in New York State or outside of New York State. Indicate the date on which the application(s) was/were submitted and to which charter entity; briefly describe the outcome of the charter entity’s decision; and provide a concise description of significant modifications made in this LOI and application (if applicable)

Proposed trustee, Roderick Green, served as founding trustee to Rochester Career Mentoring Charter School, which was an application to New York State Education Department and authorized by the Board of Regents in 2011. The school opened in 2012 and closed in 2017. The proposed Rochester Career and Technical Education Charter School is not affiliated with Rochester Career Mentoring Charter School or any of its other former trustees or employees and the proposed school has a unique and distinct mission, program and grade range of students to be served from the former school.

Thank you!

Application History

Identify whether any member of the current applicant group has ever applied to this or another charter entity to open this proposed school or another charter school, either in New York State or outside of New York State. Indicate the date on which the application(s) was/were submitted and to which charter entity; briefly describe the outcome of the charter entity's decision; and provide a concise description of significant modifications made in this application (if applicable).

Proposed trustee, Roderick Green, served as founding trustee to Rochester Career Mentoring Charter School, which was an application to New York State Education Department and authorized by the Board of Regents in 2011. The school opened in 2012 and closed in 2017. The proposed Rochester Career and Technical Education Charter School is not affiliated with Rochester Career Mentoring Charter School or any of its other former trustees or employees and the proposed school has a unique and distinct mission, program and grade range of students to be served from the former school.

Attachment 5a for each Applicant Group Member

Completed Jun 3 2022

INSTRUCTIONS

See Attachment 5a-Trustee Background Info Sheet

Please submit one combined .PDF file containing the documentation (Attachment 5a) for all members of the Applicant Group - five of which must must identified as proposed members of the initial board of trustees. If this is what you choose to do, follow these steps:

STEP 1: Collect, save and combine the required documentation for each

member into a single .PDF file.

STEP 2: Upload the single combined .PDF file into the portal.

Alternatively, an applicant group may submit an individual Attachment 5a file for **each** member of the Applicant Group - five of which must must identified as proposed members of the initial board of trustees. To upload a file for **each** applicant group, follow these steps:

STEP 1: Create folders on your hard drive for each member of the Applicant Group listed on Table 1. (i.e., Vickie_Smith, Marcia_Jones, Artemio_Rodriguez, etc.)
STEP 2: Upload a single .PDF file for the the first member, then the second member, then the third, and so on. Repeat this step as many times as needed, not to exceed 25 individual files.

For each member, please submit the following documentation:

a. Submit an Applicant and Proposed School Trustee Background Information Sheet which incorporates the Signed Statement of Intent and Signed Statement of Assurance.

b. A Resumé or Curriculum Vitae

c. A Copy of Diploma or Transcript from Highest Degree Granting Institution. If an individual cannot provide such documentation, please submit a signed and notarized letter stating the highest level of education obtained and the reason why the documentation cannot be provided.

Note: Individuals are not required to have any of the education credentials to serve on a charter school's Board of Trustees. To the extent available, such documentation is used for identity verification.

Amari_Simpson

Filename: Amari Simpson.pdf **Size:** 644.4 kB

Rachel_Musiker

Filename: Rachel Musiker.pdf **Size:** 9.0 MB

David_Simkins

Filename: David Simkins.pdf **Size:** 890.0 kB

Rod_Green

Filename: Rod_Green.pdf **Size:** 1.1 MB

James_Sperry

Filename: James_Sperry.pdf **Size:** 23.1 MB

Full Application Cover Page

Completed Aug 29 2022

Applicant Instructions
Complete the Full Application Cover Page as a form within the portal
(See http://www.p12.nysed.gov/psc/startcharter/2021/2021CSRFPStandard3.pdf)

FULL APPLICATION COVER PAGE

PROPOSED CHARTER SCHOOL NAME: **Rochester Career and Technical Education Charter School**

1.My applicant group is best described as: 1) *a new operator* applying to establish a new charter school or 2) *an existing BOR-authorized education corporation/management company seeking to replicate or add to a network* of existing charter schools?

New Operator Applying to Establish a New Charter School

1a. If applicable, what is the name of the proposed management company or network that the proposed school seeks to contract with?

Center for Educational Innovation

2. If applicable, what is (are) the name(s) of the proposed Partner Organization(s)?

(No response)

3. Proposed Board Chair and Public Contact information

	Proposed Board Chair Name	Email Address	Phone Number
	James Sperry	[redacted]	

	Public Contact Name	Email Address	Phone Number
	James Sperry	[redacted]	

4. District/Community School District of Location

	Proposed District of Location	
	Rochester CSD	If other, please specify here

5. Charter schools authorized by the Board of Regents in June or November 2021 should plan to open for instruction in 2022. If issued a charter, the initial 5 year charter term begins on the first day the school opens for instruction and ends on June 30, 2027 of the 5th year of operation.

Start date of initial term (1st day of school)

Sep 6 2023

End date of initial charter term

06/30/2027

6. Projected Enrollment Table Over the Charter Term

(Leave unused cells blank)

Grades	Ages	2023-2024	2024-2025	2025-2026	2026-2027	2027-2028
K						
1st						
2nd						
3rd						
4th						
5th						
6th	10-13	75	75	75	75	75
7th	11-14		75	75	75	75
8th	12-15			75	75	75
9th	13-18	75	75	75	75	75
10th	14-19		75	75	75	75
11th	15-20			75	75	75
12th	16-21				75	75
Ungraded						
Total		150.0	300.0	450.0	525.0	

7. Mission Statement

A school’s mission statement provides the foundation for the entire charter application and for the full term of the school’s charter. All elements of the school design should align with and support achievement of the proposed mission. Schools must also determine how they will evaluate and be held accountable for achievement of their mission. Schools must present the goals they intend to use to measure student achievement, the overall educational program, and the key components of the school design in alignment with the mission.

Rochester Career and Technical Education Charter School (RCTECS or the School) will prepare students for career pathways in the future global marketplace. Through experiential learning, internships and post-secondary credits, students will access a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests.

Priority School Designs Aligned with Regents Strategic Priorities

Responses Selected:

Career and technical education (CTE) models that have sought or will seek NYSED CTE program approval;
Over-age, under-credited (transfer) high schools;

Key Design Elements (Please provide a brief descriptive name or phrase for each key design element - sufficient for the reviewer to have a clear understanding. Fuller descriptions should be presented in the narrative).

1	College Prepared- We have a rigorous academic program with a strong focus on literacy and communication. Students learn to be critical consumers of text and digital information across a range of genres and content areas. In addition, we emphasize the importance of oral, written, and media communication through classroom discussions, presentations of learning, publication opportunities, CTE pathways and other learning explorations and internships. Students have

	multiple pathways to high school graduation with a Regents or Advanced Regents diploma, and the option to earn credits towards institutions of higher education.
2	Wellness Centered- Emotional and physical safety are the foundation for all learning and success. By infusing the student experience with social-emotional learning and attention to well-being, we help address inequities and empower young people to contribute to safe, healthy, and just communities (CASEL, 2015). These competencies are foundational to academic learning and build critical skills for students' future professional lives and are grounded in trauma-responsive care. Furthermore, they help students build the foundation for wayfinding skills such as agency, empathy, and goal achievement.
3	Career Inspired- Through strategic and thoughtful community partnerships, we offer two CTE pathways to students with support that follows them into their careers. Based on needs and opportunities in the community, students get to explore pathways for Health and Computer Sciences. These pathways allow students the opportunity to earn an industry-based certification and acquire the skills they need for their future professions and will be supported by a state of the art Innovation Center with lab learning. Additionally, aligned to upcoming future job needs in the Rochester and Finger Lakes region and NYS infrastructure projects, the school is creating a robust network for apprenticeships and internships in the skilled trades.
4	Community Rooted- At the heart of transformation is what we do with (and not to) the community. What makes our charter unique is the mutually beneficial and responsive relationship we have started and will continue to build. Community is also at the core of the student experience. They are part of one collective school family that will provide leadership opportunities and respond to the systemic and institutional barriers that our

	students face. We create a sense of community that creates opportunities for connection and leadership for all students. The ultimate goal of our work is to help students gain the skills they need to be agents of social and economic change in their community. We do this through our career and technical work, but also through school and community partnerships.
5	(No response)
6	(No response)
7	(No response)

THANK YOU!

Full Application Summary

Completed Aug 29 2022

Applicant Instructions

Upload Full Application Summary, which is intended to provide the public and media with a concise description of the proposed school. This section will not count against the Full Application page limits; however, please limit the Summary to two pages and ensure it is consistent with information provided elsewhere in the Full Application.

RCTECS full application summary

Filename: RCTECS full application summary.pdf **Size:** 143.0 kB

Certification and Assurances Statement

Completed Aug 28 2022

Applicant Instructions

Click to open the **Certification and Assurances Statement**. Review the statement and have the proposed board chair sign (in blue or black ink). Scan and convert the signed statement into a PDF format before uploading it to the portal.

Certification and Assurances Statement

Filename: Certification and Assurances Statement.pdf **Size:** 906.4 kB

Table of Contents and Full Application Narrative

Completed Aug 29 2022

Applicant Instructions - 75 pages

Please create a Table of Contents (inclusive of the name and location of the attachments) and combine with the Full Application Narrative numbered from page 1 to page 80. Upload as a single .PDF document, not to exceed **75 pages**, with the Table of Contents.

Note: Embed the *Projected Enrollment Table*, *Enrollment and Retention Targets Table*, *Projected Fiscal Impact Table*, *Organizational Chart*, and *Table 3: Management and Staffing Chart* within the 80 page narrative as instructed in the RFP.

RCTECS Table of Contents and Full Application Narrative

Filename: RCTECS Table of Contents and Full clQSdvg.pdf **Size:** 6.0 MB

Attachment 1: Admissions Policies and Procedures

Completed Aug 28 2022

Applicant Instructions

Attachment 1: Admissions Policy and Procedures (Suggested 5 pages)

(Policy should state how any vacancies created during the school year will be filled and any date by which the school will no longer fill such vacancies).

Attachment 1- Admissions Policy and Procedures

Filename: Attachment 1 Admissions Policy an DHWHZ2l.pdf **Size:** 113.3 kB

Table 2: Public Outreach Information

Completed Aug 29 2022

Applicant Instructions

Attachment Table 2: Public Outreach Information (Suggested 15 pages)

Update and submit Table 2: Public Outreach Information to describe the public outreach conducted to date.

Table 2- Public Outreach Information

Filename: Table 2 Public Outreach Information .pdf **Size:** 246.0 kB

Attachment 2b: Evidence of Public Review Process

Completed Aug 29 2022

Applicant Instructions **(multiple uploads and variety of file formats permitted)**

Attachment 2b: Evidence of Public Review Process. This attachment should provide a sampling of documentary evidence related to the public review process. Attachments should be limited to documents that provide meaningful and relevant information about the community outreach and public input. Please do not submit photocopied form letters of support or petitions containing signatures and addresses. Include any evidence that the school informed the community about the proposed charter school and invited comments and input, and provide evidence that comments/input were addressed. Examples of evidence may include, but are not limited to:

- Attendance lists from meetings and events;
- Public meeting flyer with sign-in sheet and signatures; (No petitions)
- Minutes or summaries of public meetings and meetings with stakeholders (school boards, school district administrators, elected officials, community leaders, parent organizations, etc.);
- Surveys distributed and resulting statistical analysis;
- Public awareness campaigns (emails, social media postings, media, etc.) with documented results;
- Responses sent to members of the public who submitted comments/input concerning the proposed charter school;
- Copies of received letters or emails;
- Invitations sent for meetings and events; and
- Media announcements or articles.

Attachment 2b_ Evidence of Public Review Process

Filename: Attachment 2b Evidence of Public gnTBoaE.pdf **Size:** 8.3 MB

Attachment 2c: Evidence of Community Support

Completed Aug 29 2022

Applicant Instructions

If applicable, upload Attachment 2c: Evidence of Community Support; Provide letters of support or other evidence of community support for the proposed school. Support must reflect the specific proposed school and should not be merely support for charter schools or education reform in general.

Attachment 2c - Evidence of Community Support

Filename: Attachment 2c Evidence of Commun WYXmSJU.pdf **Size:** 1.6 MB

Attachment 2d: Evidence of District Support for

Restart/Turnaround

Incomplete

Applicant Instructions

If applicable, upload Optional Attachment 2d: Evidence of District Support for Restart/Turnaround; Proposed charter schools that are intended to operate as a restart or turnaround school or to provide an option for students who are at risk of academic failure because they reside in a community served by a school that is persistently low-achieving must provide a Letter of Support from the school district.

Attachment 3: Course Descriptions

Completed Aug 28 2022

Applicant Instructions **(multiple uploads in variety of formats permitted)**

Required Attachment 3: Course Descriptions; Provide brief course descriptions for each subject at each grade level the school would serve within the initial charter term, including both core and non-core subject areas. These should include an overview of content and skills addressed by each course and any known curriculum programs or materials planned for the course. For high school proposals, provide an outline of course sequences leading to graduation.

Attachment 3- Course Descriptions

Filename: Attachment 3 Course Descriptions.pdf **Size:** 251.3 kB

Attachment 3a: Student and Teacher “Day in the Life”

Completed Aug 28 2022

Applicant Instructions

Required Attachment 3a: Student and Teacher “Day in the Life”; Provide a brief narrative no more than **4 pages** total describing a typical student and teacher day.

Attachment 3a-Student and Teacher Day in the Life

Filename: Attachment 3a Student and Teacher zmCelho.pdf **Size:** 115.4 kB

Attachment 3b: Optional Curricular Materials

Incomplete

Applicant Instructions

Optional Attachment 3b: Curricular Documentation: Applicants have the option to submit up to **10 pages of curricular documentation** for consideration. All supplemental material must relate directly to the Curriculum response and be labeled as Attachment 3b in the appendix. Such material can include, for example, framework or scope and sequence documents, unit or lesson plan templates, pacing calendars, or other means of cross-walking various curricula that may be essential to reviewers’ understanding of the proposed school model.

Attachment 3c: Exit Standards

Completed Aug 28 2022

Applicant Instructions

Attachment 3c: Exit Standards; Provide sample exit standards for English language arts, mathematics, and one other subject area for each level (i.e., elementary, middle, high) that the school intends to operate.

Attachment 3c- Exit Standards

Filename: Attachment 3c Exit Standards.pdf **Size:** 306.8 kB

Attachment 4: Student Discipline Policy

Completed Aug 28 2022

Applicant Instructions

Attachment 4: Student Discipline Policy; Provide a student discipline policy that includes rules and procedures by which students may be disciplined up to and including expulsion or suspension from the school, which are consistent with (a) the requirements of due process and with federal laws and regulations governing the placement of students with disabilities, and (b) the requirements of the Dignity for All Students Act (Education Law Article 2) relating to the creation of policies intended to create a school environment that is free from discrimination or harassment.

Attachment 4- Student Discipline Policy

Filename: Attachment 4 Student Discipline Policy.pdf **Size:** 208.1 kB

Attachment 4a: Sample Weekly Student Schedule

Completed Aug 29 2022

Applicant Instructions (multiple uploads permitted)

Attachment 4a: Sample Weekly Student Schedule; Provide a sample weekly student schedule for at least one grade that is representative of each level the school intends to operate (elementary, middle, and/or high school). If scheduling structures are unique to each grade, please provide a sample schedule for each grade.

Attachment 4a_ Sample Weekly Student Schedule

Filename: Attachment 4a Sample Weekly Stude Du4boa9.pdf **Size:** 23.3 kB

Attachment 4b: Sample Weekly Teacher Schedule

Completed Aug 28 2022

Applicant Instructions (multiple uploads permitted)

Attachment 4b: Sample Weekly Teacher Schedule; Provide a sample weekly teacher schedule for at least one grade that is representative of each level the school intends to operate. If scheduling structures are unique to each grade, please provide a sample schedule for each grade.

Attachment 4b_ Sample Weekly Teacher Schedule

Filename: Attachment 4b Sample Weekly Teach IkU4OtQ.pdf **Size:** 19.2 kB

Attachment 4c: Proposed First Year School Calendar

Completed Aug 29 2022

Applicant Instructions

Attachment 4c: Proposed First Year Calendar - Provide a copy of the proposed school calendar for year one of the school's operations that clearly demonstrates:

- Days that school is in session;
- Holidays, days off, and half days;
- Professional development days;
- Summer programming and/or instruction;
- First and last days of class; and
- Organization of the school year (quarters, semesters, trimesters) including the beginning and ending for each segment.

Attachment 4c_ Proposed First Year Calendar

Filename: Attachment 4c Proposed First Year 5cVNaZT.pdf **Size:** 24.3 kB

Table 1 : Applicant Group Information

Completed Aug 29 2022

Applicant Instructions

Table 1: Applicant Group Information; If any Board of Trustee members have been added or removed or will now hold a officer position between the Letter of Intent and Application phases, please update Table 1 within the portal to reflect these changes.

Table 1: Applicant Group Additions and Deletions

Have you made any changes (additions or deletions) to the applicant group after the submission of the LOI?

Yes

Changes to Applicant Group Information

	Name/Phone /Email Address	Current Employment	Relevant Experience/Skills and Role on Applicant Group	Proposed Role in School (e.g., trustee, employee, none)	Proposed Position on Board (Officer, Trustee, Constituent Rep)	Change (Add or Remove?)
1	Jenifer Wheaton/ 	Special Education Itinerant Teacher, Clinical Associates of the Finger Lakes	K-12 educator, parent, charter school experience as parent and educator	trustee	trustee	Added
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						

12						
13						
14						
15						

New Applicant Group Member History

Has the newly added member(s) of the current applicant group ever applied to this or another charter entity to open this proposed school or another charter school, either in New York State or outside of New York State. Indicate the date on which the application(s) was/were submitted and to which charter entity; briefly describe the outcome of the charter entity's decision; and provide a concise description of significant modifications made in this application (if applicable).

No

Attachment 5a: Upload required documents for each proposed BOT member.

Completed Aug 29 2022

Applicant Instructions

Attachment 5a: For each new member or proposed trustee(s) of the applicant group, please submit the following:

- New Applicant and Prospective School Trustee Background Information Form
- Resume or Curriculum Vitae
- Education Credentials

Jen Wheaton Resume

Filename: Jen Wheaton Resume.pdf **Size:** 79.5 kB

Jen Wheaton diploma

Filename: Jen Wheaton diploma.pdf **Size:** 999.6 kB

Jen Wheaton Background Information Form

Filename: Jen Wheaton Background Information Form.pdf **Size:** 11.0 MB

Attachment 5b: By-Laws

Completed Aug 28 2022

Applicant Instructions

Attachment 5b: By-Laws must meet the requirements of Education Law and all applicable laws and regulations governing education corporations in New York State. Submit a draft of proposed by-laws for the board of trustees.

Attachment 5b- By-Laws

Filename: Attachment 5b By Laws NG5dcz1.pdf **Size:** 214.4 kB

Attachment 5c: Code of Ethics

Completed Aug 28 2022

Application Instructions

Attachment 5c: Code of Ethics must set forth the standards of conduct expected of the school's trustees, officers and employees, including standards with respect to disclosure of conflicts of interest regarding any matter brought before the board of trustees. Submit a draft of a proposed Code of Ethics for the charter school.

Attachment 5c- Code of Ethics

Filename: Attachment 5c Code of Ethics.pdf **Size:** 127.2 kB

Attachment 6a (Standard RFP): If applicable, CMO Information.

Completed Aug 29 2022

Applicant Instructions

If applicable, Attachment 6a: CMO information; If a management organization has been identified, provide the following:

- A list of any other schools managed by the organization in New York and in other states, including contact information;
- Academic performance data from all schools managed by the organization for the past three years;
- A summary of the organization's fiscal performance for the past three years and a description of the organization's current financial plan;
- A description of services to be provided by the organization; and
- A description of the management structure and a summary of key personnel at the organization.

Attachment 6a- Comprehensive Management Services Provider

Filename: Attachment 6a Comprehensive Manag ZxyY3zM.pdf **Size:** 375.8 kB

Attachment 6b (Standard RFP): If applicable: Proposed Management Contract.

Completed Aug 29 2022

Applicant Instructions:

Attachment 6b: Proposed Management Contract; If applicable, submit a copy of the management contract or term sheet.

Attachment 6b- Proposed Management Contract

Filename: Attachment 6b Proposed Management kkETlzx.pdf **Size:** 268.3 kB

Attachment 6c (Standard RFP): If applicable, Appendix E Business Plan.

Completed Aug 29 2022

Applicant Instructions

Attachment 6c (2018 RFP Standard Version**) Management Organization Business Plan**; If applicable, submit a business plan for the management organization using the format outlined in Appendix E of the 2018 RFP.

Attachment 6c- Management Organization Business Plan

Filename: Attachment 6c Management Organiza e4bm5Md.pdf **Size:** 991.4 kB

Attachment 6a: (Replicator RFP) Appendix E: Management Organization Business Plan

Incomplete

Applicant Instructions

Submit Attachment 6a: Management Organization Business Plan using the prompts in Appendix E.

Attachment 6b: (Replicator RFP) Appendix E: Business Plan Attachments A through M

Completed Aug 29 2022

Applicant Instructions:

Submit Attachment 6b: Business Plan Attachments using Attachments A through M in Appendix E.

Appendix E- Attachments A-M

Filename: Appendix E Attachments A M.pdf **Size:** 18.8 MB

Attachment 7: If applicable: Partnership Information

Incomplete

Applicant Instructions

Attachment 7: Partnership Information; If applicable, submit a Letter of intent/ commitment or an agreement/contract from a bona fide representative of each partner organization indicating that the organization is undertaking the affiliation and the terms and extent of the undertaking, including evidence that the organization has legal standing to do business in New York and has tax-exempt status under Internal Revenue Code section 501(c)(3).

Attachment 8a: Hiring and Personnel Policies and Procedures

Completed Aug 29 2022

Applicant Instructions

Attachment 8a: Hiring and Personnel Policies and Procedures. Present a hiring plan and complete the proposed staffing chart. The hiring plan, which should include:

- Job descriptions, including qualifications and responsibilities, used in the hiring of school administrators, teachers and other school employees.
- Hiring processes for administrators, teachers and other staff members.
- Evaluation processes for administrators, teachers and other staff members.
- Complaint process for staff.

Attachment 8a - Hiring and Personnel Policies and Procedures

Filename: Attachment 8a Hiring and Personn FjE5zEE.pdf **Size:** 228.8 kB

Attachment 8b: Resume for Proposed School Leader, if identified

Incomplete

Applicant Instructions

Attachment 8b: Resume for Proposed School Leader if one has been identified.

Attachment 9: Budget and Cash Flow Template

Completed Aug 29 2022

Applicant Instructions

Complete the required Attachment 9 Budget and Cash Flow Template (MS Excel) Template. All budget lines in the budget template are required to include assumptions. **Please do not modify the template--maintain it as an Excel spreadsheet and upload.**

Attachment 9- Budget and Cash Flow Template

Filename: Attachment 9 Budget and Cash Flo B9A1Bhx.xlsx **Size:** 140.1 kB

Attachment 10: Evidence of Financial Support

Incomplete

Applicant Instructions

Optional Attachment 10: Evidence of Financial Support; If the proposed budget relies on contributions, provide evidence of commitment for those contributions.

Attachment 11: Pre-Opening Plan

Completed Aug 28 2022

Applicant Instructions

Attachment 11: Pre-Opening Plan; Provide a Pre-Opening Plan with a timeline that documents the start and end dates of key tasks to be completed between approval of the application and the opening of the school and the person(s) responsible for each task.

Attachment 11- Pre-Opening Plan

Filename: Attachment 11 Pre Opening Plan FN2YfMh.pdf **Size:** 163.5 kB

Attachment 12: Dissolution Plan

Completed Aug 28 2022

Applicant Instructions

Attachment 12: Dissolution Plan; Present a Dissolution Plan that describes the procedures to be followed in the event of closure or dissolution of the school.

Attachment 12- Dissolution Plan

Filename: Attachment 12 Dissolution Plan 5QMELHC.pdf **Size:** 109.7 kB

Attachment 13: Plan to Address English Language Learners (ELLs)

Completed Aug 28 2022

Applicant Instructions:

Please provide more specific information including the school's vision of support and instruction forEnglish Language Learners/Multilingual Learners by responding to questions in Attachment 13 on page 78.

Attachment 13- Plan to Address English Language Learners

Filename: Attachment 13 Plan to Address Eng zhSjzio.pdf **Size:** 160.0 kB

Attachment 14: If applicable, Memorandum of understanding

Incomplete

If applicable: Memorandum of understanding for applicant groups forming partnerships with existing community-based organizations and/or institutions of higher education.

No page limit, excluded from total attachment page limit

The Regents of The University of the State of New York
Charter School Office
89 Washington Avenue
Albany, New York 12234

LETTER OF INTENT

Dear Sir or Madam,

It is a pleasure to submit this Letter of Intent as formal notice to the New York State Education Department Charter School Office of the intent to submit a proposal to establish the Rochester Career and Technical Education Charter School. Below you will find all the required information as indicated in the 2022 Request for Proposals to Establish New York State Charter Schools.

I. Applicant Group Information

a. **Applicant Group:** Please see Table 1: Applicant Group Information and Attachment 5a: Prospective School Trustee Background Information Form and other required documents.
b. **Public Contact**: James Sperry, roc.ctecs@gmail.com
c. **Application History:** Proposed trustee, Roderick Green, served as founding trustee to Rochester Career Mentoring Charter School, which was an application to New York State Education Department and authorized by the Board of Regents in 2011. The school opened in 2012 and closed in 2017. The proposed Rochester Career and Technical Education Charter School is not affiliated with Rochester Career Mentoring Charter School or any of its other former trustees or employees and the proposed school has a unique and distinct mission, program and grade range of students to be served from the former school.

II. Proposed Charter School Information

a. **Proposed school name**: Rochester Career and Technical Education Charter School
b. **Proposed school mission statement:** Rochester Career and Technical Education Charter School (Rochester CTE Charter School or the School) will prepare students for career pathways in the future global marketplace. Through experiential learning, internships and post-secondary credits, students will access a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests.
c. **Proposed school location:** Rochester CTE Charter School seeks to serve students who are at risk of dropping out or at risk of struggling to progress through middle and high school, specifically in the southwest quadrant of Rochester; including, but not limited to, zip codes 14619, 14606,14611, and 14608. The School is not planning to co-locate in a district facility.
d. **Target population/ community served:** Rochester CTE Charter School seeks to serve students are at risk of dropping out or are at risk of struggling to progress through middle and high school, and specifically, students from zip codes 14619, 14606,14611, and 14608. In 2019, the median household income in Rochester, NY was $37,395, which was more than $30,000 less than the bordering suburb, Brighton, where the median household income was $71,099. Within the southwest quadrant of Rochester, five census tracts had household incomes below $30,000 and had minority populations (Black/African American and Hispanic/Latino) of more than 1,000 people.

- Offering 6th grade in Year 1, we seek to provide a robust educational offering and additional support for students who are historically not prepared for high school. In 2018-19, the last year public data is available, 10% of RCSD 8th graders scored proficient in English Language Arts and 2% of 8th graders scored proficient in Math on the New York State assessment.
- Offering 9th grade in Year 1, we seek to serve students who are at-risk of dropping out, have dropped out of high school or are identified as over-age and under accredited. The 2018-2019 RCSD enrollment data highlights a consistent pattern in which students are not progressing through high school. The 2018-2019 9th grade enrollment was more than 20% greater than 10th grade enrollment.
- We seek to create a high-quality public school opportunity and a pathway to high school graduation and college for Rochester students most at risk of dropping out. Five out of seven of RCSD high schools were designated as New York State receivership schools in 2021-22, meaning that they are considered among the lowest performing public high schools statewide. And too many Rochester public school students are dropping out of high school. Overall, only 63% of students graduated from Rochester City School District (RCSD) public high schools in 2018-2019 and 17% of students dropped out.

e. **Priority school design:** *Career and technical education (CTE) certification(s) or a pathway to such credentials, through a program that has sought or will seek NYSED CTE program approva*l: Rochester CTE Charter School will seek NYSED CTE approval for its career and technical education program. *At least two thirds of students will qualify as being identified in one or more of the following categories: court involved or adjudicated youth, in the foster care system, interrupted formal education, living in temporary housing, McKinney Vento eligible, over-age and under credited:* Rochester CTE Charter School is actively recruiting from the southwest quadrant of Rochester and reaching out to partner organizations who predominantly serve a public school student population who fall into these categories.

f. **Planned grades and enrollment,** for each of year of the initial charter term:

Projected Enrollment Over the Charter Term						
Grades	Ages	2023-24	2024-25	2025-26	2026-27	2027-28
6	10-13	75	75	75	75	75
7	11-14		75	75	75	75
8	12-15			75	75	75
9	13-18	75	75	75	75	75
10	14-19		75	75	75	75
11	15-20			75	75	75
12	16-21				75	75
Totals		150	300	450	525	525

g. **Proposed management and/or partner organization(s):** Rochester CTE Charter School seeks to partner with the Center for Educational Innovation (CEI) as an educational partner. CEI is a non-profit organization that serves public schools throughout New York State. CEI's mission and vision is that the school should be the center and driving force of public education and innovation and that every child deserves a quality education. With a focus on equity and innovation, CEI works directly with school leaders, teachers, students and families to create high performing schools in under-resourced communities to help children succeed. CEI brings a wealth of experience in robotics, coding and esports programming offered to schools throughout New York State. CEI is demonstrating its commitment to innovation and to serving all students, especially those most in need of additional support or those most at risk of dropping out of school, through the development of a Career and Technical Education school model. Building upon its existing expertise and programs that will be integrated into the Rochester CTE Charter School, CEI will serve as a partner to customize its CTE model based on local community needs, interests and build opportunities for meaningful partnerships with post-secondary and industry partners.

h. Replication: Rochester CTE Charter School will not be a replication of an existing school per NYSED's definition of replication.

i. School overview: The following are the key design elements of the School:

1. College and Career Pathways

Rochester CTE Charter School will provide a rigorous college and career curriculum that focuses on preparing students for the workforce and further education. The curriculum will integrate (a) relevant technical knowledge and skills and workplace know-how in the context of the specialization; (b) employability skills such as critical thinking, teamwork, and communication; (c) as well as rigorous content subjects such as science, math, and language arts based on state and local standards. The curriculum will be culturally relevant and aligned with NYS content standards that define what students are expected to know and be able to do to advance to postsecondary education, such as applying academic content and skills to real-world projects, as well as with industry-validated technical standards and competencies that prepare students to apply problem-solving skills in the workforce. As such, the curriculum will include Advanced Placement (AP), dual enrollment, and industry credential courses.

Pathways at Rochester CTE Charter School will be built around academic and technical education. Instruction in the career pathways will progress from foundational knowledge and skills in the introductory courses to advanced level skills and application in the work-based learning courses. Rochester CTE Charter School will offer two career pathways – Technology and Analytics and Health Sciences. Each pathway will incorporate several career fields. The Technology and Analytics pathway will offer Computer-Aided Design, Information Technology, Computer Science and Analytics. The Health Sciences pathway will offer Biotechnology, Radiology, and Optics. The sequence of courses within the career pathways will meet the skills needs and the high demand of industries in the Rochester area. The core academic curricula will follow the standards set by NYS for high school graduation; the technical curricula will follow a course of study set by industry standards and will be carried out in collaboration with industry partners. According to NYSED, three integral components of all CTE programs of study are core curriculum, content specific curriculum, and supervised clinical experience. Both pathways will be designed based on the following principles:

- Lead to workforce entry or postsecondary education in the field of Technology and Analytics or Health Sciences.

- Provide opportunities for advanced credits as well as dual enrollment credits.
- Provide work-based learning opportunities in Technology and Analytics or Health Sciences.
- Offer industry certification recognized for employment in the specific field.

2. **Collaborative Learning Theory Model**

Instructional practice will be grounded in collaborative learning theory. Collaborative learning theory involves peer-to-peer learning that fosters deeper critical thinking in the classroom. Research on this model suggests that group learning helps students develop higher-level thinking, oral communication, self-management and leadership skills (Rutherford, 2014). By engaging in collaborative activities, learners utilize each other's perspectives and experiences to solve problems and develop a shared understanding of meanings. Through the use of discussion protocols and social interaction, learners are empowered to perform outside of their own individual capabilities. Instruction will be culturally responsive and focused on real-world issues through which students participate in a process of inquiry in response to a complex question, problem, or challenge. Rigorous collaborative assignments and classroom discussions help students learn key academic content and practice critical thinking through collaboration, communication, consensus building and compromise. Student voice and choice are prominent within this instructional approach. Teachers assume a role more akin to a facilitator, as students learn together in small and larger groups, which helps students feel comfortable with discussing their ideas and helps students prepare for professional environments. To further develop and apply skills, industry partners play a key role in the School's learning approach. They will work closely with high school and college faculty to connect academic content to real-world situations and to ensure that workplace readiness skills are also addressed. Internships with industry partners will offer real-world experience, enhance students' skills in the areas of specialization and offer them the opportunity to practice and demonstrate employability skills.

3. Cultivating Student Voice, Choice and Leadership Beyond the Classroom

An important part of career technical education is student leadership development. Therefore, student leadership opportunities will be an integral part of Rochester CTE Charter School. Core to the School's culture will be building students' self-efficacy, students' voice and choice, and students' shared responsibility for the school environment as a sanctuary of learning. The fundamentals of leadership will be taught in the classroom and fostered and built through a range of student-led activities beyond the classroom, including a Student Advisory Council that will have a voice in building operations and establishing and maintaining school culture and climate with staff and leadership. Leadership development opportunities for students will extend to networking with students with similar career pathways, participating in leadership conferences, and presenting to civic organizations. Major leadership development will include students' participation in the Career and Technical Student Organization where students will have the opportunity to reinforce major employability skills and interact with industry professionals.

4. A Community Committed to DEIA and Continuous Learning

Rochester CTE Charter School is committed to being a place where all students, families, teachers, and staff feel a sense of community and are valued, safe, supported, and welcomed. Staff and students will be held to high expectations that balance accountability, respect, and love. Therefore, diversity, equity, inclusion, and anti-racism will be integrated into all levels of school policy, practice and accountability systems. The School will have dedicated time and resources to support this work; such as during summer teacher training by DEIA experts on recognizing implicit bias and building asset-based and DEIA mindsets and skills that enable teachers to serve and support students and create spaces that enable students to bravely advocate for themselves.

The School will have an Equity Committee to continually ensure that systems, processes, and policies are free of bias and that reflect the diverse beliefs, voices, and experiences of the school community, and support transparent and consistent communication and action. This includes ensuring that our curriculum is culturally relevant to students- English language arts and social studies curriculum will reflect a diverse set of perspectives, including social justice units, and our mathematics teaching practices will be culturally responsive.

5. Partnerships for Student Success: Family, Community and Industry

Rochester CTE Charter School will engage a broad and diverse range of stakeholders and partners, including family, community, and industry, to ensure needs of students are met and the program is aligned with the needs of the workforce. Specifically, research has demonstrated that (a) family engagement supports CTE program completion, (b) community partners enhance the quality of the program, and (c) industry partners ensure that the program of study meets current and future workforce demands. To support families, Rochester CTE Charter School requires layers of support and collaboration across organizations. A Student Support Team, composed of teachers, school leadership and specialists who are regularly in touch with families (e.g. guidance counselors, social workers, deans, etc.) and community college and industry partners, will discuss individual students and devise support strategies. Developing community partnerships will be a key focus area of the School, as the School knows it cannot alone address all student needs. The School will seek partnerships with organizations that provide out-of-school time services to support students' social emotional needs, provide social services and extra-curricular offerings, including mentoring and internship opportunities through established partner organizations, such as MCC, RTMA and Hillside Work-Scholarship Connection, and industry partners.

6. **Social-Emotional Learning for Life**

Research supports integrating SEL instructional practices into career development and student learning plans. SEL advances educational equity and excellence through authentic school-family-community partnerships to establish learning environments and experiences that feature trusting and collaborative relationships, rigorous and meaningful curriculum and instruction, and ongoing evaluation. SEL can help address various forms of inequity and empower young people and adults to co-create thriving schools and contribute to safe, healthy, and just communities (CASEL, 2015). These competencies complement academic learning and lead to critical employability skills. As such, many employers prioritize these skills when hiring. Rochester CTE Charter School will include SEL training, aligned with the NYSED SEL Framework and included benchmarks, in its curricula. Using the NYSED developed guidance, *Social Emotional Learning: A Guide to Systemic Whole School Implementation,* SEL practices will be embedded in decisions around discipline and school climate, academic lessons to direct explicit instruction and interventions, and professional learning for families. The School will start its SEL initiative with a self-awareness assessment as a basis for developing a multifaceted multi-tiered system of support (MTSS) plan with the collaboration of school leaders, teachers, school staff and families.

III. Enrollment and Retention Strategies

a.b. Rochester Career and Technical Education Charter School will recruit, enroll and retain a broad and diverse range of students, including those at risk for dropping out or academic failure. The School will take a thoughtful and an effective approach to this crucial element of its work, gathering data on enrollment and retention patterns and making adjustments as needed to ensure equity and inclusiveness.

i. It is the mission of Rochester CTE Charter School to engage and serve students who are at risk of dropping out or at risk of struggling to progress through middle and high school and the School will be fully committed to identifying and recruiting students who fit this profile. It will do that through actively recruiting from neighborhoods within Rochester where students are most at-risk as identified as being low income, minority and where census data indicates the crime index not only greatly exceeds the national average, but is among the highest in Rochester. It will also actively recruit from youth support services organizations who share a mission for breaking the cycle of multigenerational poverty, and other entities that are in contact with students who are at-risk for walking permanently away from school.
ii. Rochester CTE Charter School will actively seek out students with disabilities and will consistently review data on their enrollment and retention rates (for both IEPs and Section 504 plans). The School will look for any indications that such students do not perceive the school as a supportive place that is open to diverse learners, including students with significant needs.
iii. Rochester CTE Charter School will actively seek out English Language Learners and multilingual students and will consistently review data on their enrollment and retention rates. Applications and marketing materials for the School will be distributed in multiple languages. The School will assess language skills and tailor support to meet the needs of students.
iv. Given the intended target population and community to be served, Rochester CTE Charter School expects to enroll predominantly students from families that are economically challenged. The School will ensure that all students are thriving in the school, will provide appropriate supports, will closely track retention and program-completion data and will make programmatic and operational adjustments as needed to sustain strong outcomes.

c. N/A

IV. Public Outreach and Community Support

a. **Public outreach conducted to date:** Rochester CTE Charter School has held numerous phone calls with local education and community organization leaders, including two public meetings with a total attendance of 20 people; face to face conversations with approximately 80 parents/guardians, community members and students; and, has collected 38 responses to surveys. Please see Attachment 2a: Initial Samples of Public Outreach.

b. Initial assessment of parent/guardian demand or interest: The School has been discussing its intent to open in fall 2023, including the intended location, the target student population, the grades to be served, and a description of the educational program to be offered with the community, since March 2022. Community engagement efforts ramped up in May 2022, when the 2022 Draft Request for Proposals to Establish New York State Charter Schools was released. The School and its founders are confident that its community engagement efforts from June 3rd forward will yield sufficient evidence of parent/guardian demand and interest to meet enrollment targets. Please see Table 2: Public Outreach Information for upcoming public meetings and community events the School has planned.

nd Date

[redacted]

James Sperry, Proposed Board Chair Date: 6/3/2022

Table 2: Public Outreach Information

Date(s) of Outreach (mm/dd/year)	Target Stakeholder Group	Description of the Outreach	Location of Outreach	Input Obtained	Action Taken on Input	Number of Attendees
3/23/2022	Community members	Meeting about the charter school landscape and proposed school with Rochester education leaders	421 East Avenue Rochester, NY	Discussion of proposed charter school and educational model		12 community members
3/24/2022	Educators	Meeting with UPrep Charter School CEO and COO	390 East Avenue Rochester, NY	Discussion of proposed charter school and educational model		4 educators
3/29/2022	Community leader	Meeting with Executive Director of Hillside-Work Scholarship Connection, Rod Green	1902 Monroe Avenue Rochester, NY	support of the model	Follow-up conversations	2 community leaders
3/31/2022	Community Leader	Meeting former Chief of Schools at RCSD, Toyia Wilson, current Assistant Superintendent of Buffalo School District	Video call	Discussion of educational model and industry selection, facilities in Rochester are difficult to find	consider biotech and healthcare pathways for proposed educational model, add facilities expertise to proposed board of trustees	3 educators and leaders
4/10/2022	Educators	Meeting with Shawanda Evans of Monroe Community College	Video Call	Discussion of dual enrollment course offerings		3 educators
4/12/2022	Community member	Meeting with Rachel Musiker	628 Winton Rd. Rochester, NY	Interest in improving educational options on city of Rochester	Interest in serving in on board	2 community members
4/25/2022	Community Leader	Meeting with Ashara Baker	145 Culver Rd. Rochester, NY	Need for more high-quality charter schools	Finalize model and provide informational materials and meetings	2 community leaders
4/26/2022	Community Leader	Meeting with Joe Klein	421 East Ave. Rochester, NY	Discussion of charter approval process	Review SED authorizing process	2 community leaders
5/10/2022	Educators	Meeting with Lindsay Haldeman, Independent consultant to charter schools	145 Culver Rd. Rochester, NY	Possible support to be provided to charter school	Follow-up in future on possible collaboration	2 educators

5/10/2022	Community Leader	Meeting with Anna Hall of NE Charters Association	Conference call			4 community leaders
5/11/2022	Community Leader	Meeting with Rod Green of Hillside Work-Scholarship Connection	Virtual meeting		Board member interest	2 community leaders
5/12/2022	Community member	Meeting with Therese McKinny-Wood	310 Avalon Dr. Rochester, NY	Need for more high-quality charter schools	Follow-up on board members	2 community members
5/17/2022	Community member	Meeting with Ann Michael Henry of E3	2600 Elmwood Ave. Rochester, NY	Provide academic support for charters	Develop school model further	2 community leaders
5/18/2022	Community Leader	Meeting with Joe Klein	Virtual meeting	Potential physical location ideas for charter school	Follow-up on physical location options	4 community leaders
5/19/2022	Community Leaders	Informational public meeting with a focus on board member recruitment	Virtual meeting	Need to have strong academic program to engage students in CTE		12 educators and community leaders
5/20/2022	Community member and real estate developer	Call with Chris Gullace	Phone call	shared mission for CTE offering, understanding of Rochester challenges and history of charter schools in Rochester		1 educator, 1 community member and real estate developer
5/23/2022	Educators	Meeting with Dr. Dia Bryant and Tiffany Lankes of EdTrust	Virtual meeting	Engage with others interested in Rochester charters	Participate in community leader event on 6/1	2 educators; 2 community members
5/23/2022	Community leader	Call with Velverly Caldwell re/ interest in becoming a board member, partnership w/ New Beginnings Apostolic church	Phone call	Discuss partnering with Citizens in Action parent outreach committee		2 community leaders
5/24/2022	Community Leader	Meeting with Rod Green of Hillside Work-Scholarship Connection	785 E. Main St. Rochester, NY	Continue public outreach on charter school	Additional public meetings scheduled	2 community leaders
5/24/2022	Community leader	Charlotte Burch, President of Thurston Brooks Merchants Association	Phone call	Info re: involvement in Ease on Down Community Event (over 60 businesses,	reserved a table at the 7-day event	2 community leaders

				sponsors and vendors)		
5/24/2022	Community leader	Andy Rose from Thomas P Ryan Recreation Center	Phone call	Use of recreation rooms for focus groups		2 community leaders
5/25/2022	Community members	Face to face conversations	Ease on Down Event Thurston Road Rochester, NY	Educational needs of students in the Rochester community	Surveys completed with signatures of support	15-20 attendees
5/26/2022	Educators	Meeting with Dr. David Simkins and Dr. Stephen Jacobs of RIT	Virtual meeting	Need to include community and student voices in school development	Additional community outreach planned	6 educators
5/26/2022	Community members	Face to face conversations	Ease on Down Event Thurston Road Rochester, NY	Educational needs of students in the Rochester community	Surveys completed with signatures of support	25-30 attendees
5/26/2022	Community leader	Yachica Johnson, member of Rochester Black Nurses Association (RBNA)	Phone call	Discuss CEI Speaking at RBNA next board/ member meeting		2 community leaders
5/28/2022	Community members	Face to face conversations	Ease on Down Event Thurston Road Rochester, NY	Educational needs of students in the Rochester Community	Electronic Surveys codes provided & some written surveys completed with signatures of support	25-30 attendees
5/28/2022	Community Leader	Ms. Wanda Ridgeway, Executive Director of Rise up Rochester	Ease on Down Event Thurston Road Rochester, NY	Educational needs of students in the Rochester community and the impact of violence on children	Obtained Contact information, he would like to discuss partnering to support children impacted by violence and provide some preventive work with kids around making good choices and without relying on physical fighting/ violence	2 Rise Up staff members
5/31/2022	Community member	Kathryn Petrillo-Smith of Digital Promise	Virtual meeting			4 community members

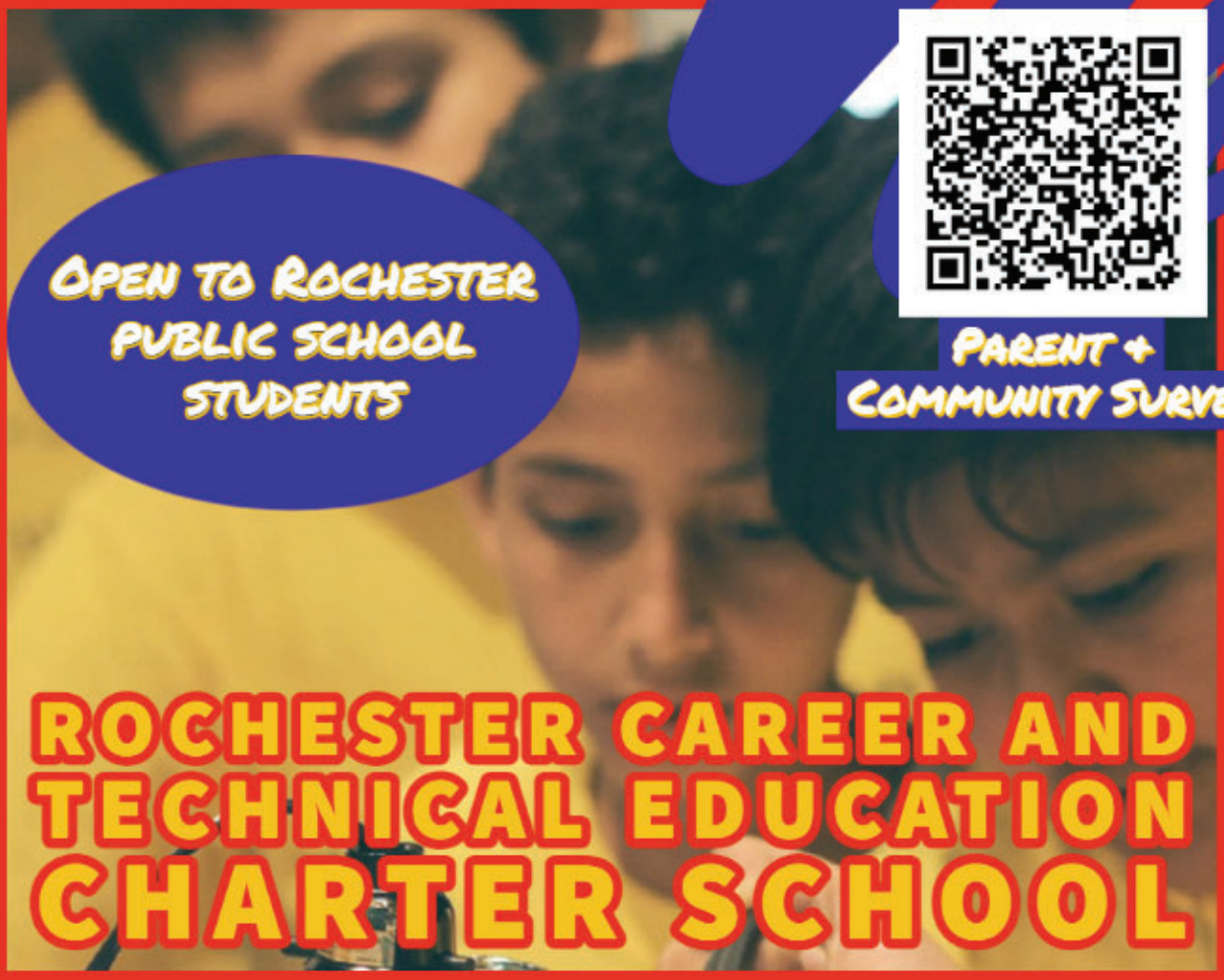
6/1/2022	Community Members	Public Meeting/ Virtual Focus group	Zoom conference	See **Attachment 2a**		8 community members
6/2/2022	Community Partner	Kelvin Alston, Program Director, Charles Settlement House	Charles Settlement House 71 Park Way Rochester, NY 14608	Would like to distribute information to his community	Will drop off more fliers	2 community members
UPCOMING						
6/3/22	Community Partners & Members	In person visits to discuss possible partnerships & presentations to agency and families	Locations: 57 Central Park Rochester, NY 14605 145 Parsells Ave Rochester, NY 14609 500 Carter Street Rochester, NY 14621			
6/4/22	Community Members	Youth and Family Fest community engagement	Ryan Center 530 Webster Ave Rochester, NY 14609			
6/9/22	Community Members	Public meeting/ community focus group	Ryan Center 530 Webster Ave Rochester, NY 14609			
6/28/22	Community Leaders	Presentation at RBNA Rochester Black Nurses Association board meeting	Virtual			
7/9/22	Community Members	Public meeting/ community focus group	Ryan Center 530 Webster Ave Rochester, NY 14609			

Attachment 2a: Initial Samples of Public Outreach

On May 25- 26 and May 28, 2022, Rochester Career and Technical Education Charter School had a table at the Rochester "Ease on Down 2022" community fair on Thurston Road. On May 19, 2022 and June 1, 2022, Rochester Career and Technical Education Charter School hosted two focus groups/public meetings. Both were held as virtual meetings and the total attendance was 20 community and educator leaders and parents.

Please find the following samples and evidence of outreach:

- A flyer widely distributed in the community and via social media announcing the meeting with a description of the proposed school, including the intended location, the target student population, the grades to be served, and a description of the educational program to be offered.
- A summary of feedback from the focus groups/public meetings.
- A summary of feedback from students, parents and community members from the Rochester Career and Technical Education Charter School Parent and Community Surveys and Student Surveys collected.
- A sample completed Rochester Career and Technical Education Charter School Parent and Community Survey.



Open to Rochester Public School Students

Parent + Community Survey

ROCHESTER CAREER AND TECHNICAL EDUCATION CHARTER SCHOOL

Enrolling Grades 6 & 9 for Fall 2023



Follow our Facebook page

SCAN ME

UPCOMING EVENTS

May 31 @ Rochester Central Library (4-5 pm)

June 1 ZOOM Meeting (6-7 pm)

tinyurl.com/roccteZoom

Like us on Facebook!

SCAN ME

Student Survey!

SCAN ME

Proposed New Public School:

Rochester Career and Technical Education Charter School

Objective: The Rochester Career and Technical Education Charter School is a proposed public middle and high school customized to serve the needs of its students to both support them to graduate from high school, and prepare them for higher education and job opportunities in the future global marketplace. In particular, industry projection research indicates that skills and expertise in data, analytics, computer science, health sciences and technology will be prized across all sectors.

The School seeks to be located in the city of Rochester, NY. The School seeks to open in fall 2023 serving 6th and 9th grade students and will grow to serve 6-12 grade students:

- Offering 6th grade in Year 1, we seek to provide a robust educational offering and additional support for students who are historically not prepared for high school.
- Too many Rochester public school students are dropping out of high school. Offering 9th grade in Year 1, we seek to serve students who are at risk of dropping out of high school, have dropped out, or are identified as over-age and under accredited.

Mission: *Rochester Career and Technical Education Charter School will prepare students for career pathways in the future global marketplace. Through experiential learning, internships and post-secondary credits, students will access a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests.*

Outcomes:

- Students in Grades 6-12 will have the opportunity to combine high school studies with post-secondary skills.
- Students will have the opportunity to earn an industry-based certification in multiple areas of interest including data, analytics, computer science, health sciences and technology.
- Students will have multiple pathways to high-school graduation and earn credits towards institutions of higher education.

To learn more about upcoming events, please go to the following address:

https://www.facebook.com/Roc.CTECS

Rochester Career and Technical Education Charter School:
Summary of Feedback from Focus Group/Public Meeting
June 1, 2022 6-7 pm

Focus Group Q1:
Addressing Rochester's Needs

- What are key challenges facing Rochester today?
- How could a middle and high school support students with these challenges?

We need to break the cycle of poverty in Rochester. Preparing students for and exposing them to needed career skills will allow them to have a different perspective.

This is possibility, an opportunity for kids to dream, to have hope.

One of the key challenges is poverty, the possibility is to prepare for the workforce and opportunities beyond.

What sets this school apart from others? Could be supporting the family and children with. Professionals sometimes do not relate to students and challenges outside school.

How could we wrap around the family? Suggest provide support staff and resources beyond classroom teachers, like social workers and family liaisons.

Have someone connecting the school and the families and an advocate for the families (family connector or coordinator).

Social workers must connect with the family routinely and before a crisis happens. There needs to be an appropriate ratio of social workers to student caseload. Not every child will need the services but need to be staffed to serve every child.

As a former school coordinator for a public Rochester magnet HS, recommendation that the school does not assume that a student does not need services.

Focus Group Q2:
Rochester's Public Schools

- What are the current strengths of Rochester's public schools?
- In what areas could Rochester's public schools better support middle and high school students?

Students who have support from their families are more likely to thrive in the district's public schools.

Recruit staff who are invested in students no matter where they come from- DEI mission of staff.

Transportation to school is only offered within a certain radius. Also if a student lives in a dangerous neighborhood, it may not be safe to get to public transportation or parents may be hesitant to allow students to take public transportation (especially if/when it's dark out). Citing of a personal experience of being uncomfortable on RTS transport early in the morning or late in the day as a high school student.

In the future, we need to have a conversation about the school's location so that transportation issues can be considered.

There have been instances of fights breaking out at transport hubs where a lot of people gather waiting for transportation.

Better support by ensuring that interscholastic support are not limited to basketball or football. What about gymnastics, skiing, lacrosse, the arts?

Focus Group Q3:
Rochester's Future

- How could a new, small public school engage and prepare students for higher education?
- How could a new, small public school engage and prepare students for the workforce?

Have a college and career center for students and their parents.

Upward bound- exposure for students should start in elementary schools.

Begin discussions early about money management, financial literacy and salaries of different careers. Cited examples of learning how to write checks and open credit cards and the importance of establishing credit.

Teach students about how to build their own businesses, entrepreneurship.

Rochester Career and Technical Education Charter School:
Summary of Feedback from Parent and Community Surveys and Student Surveys

Rochester Career and Technical Education Charter School collected 38 completed surveys collected both online and in-person through community engagement activities: 35 of these were from parents or community members, 3 were from current students, the vast majority of whom live in Rochester (the rest live in nearby communities).

Key takeaways include:

- Approximately ¼ of parent and community responses were from individuals living in the 14619 zip code. This is the 19th Ward neighborhood of Rochester and one of the School's target population zip codes.
- Of the parents that enrolled their children in public schools, approximately 50% were not satisfied with their child's school.
- 33 out of 34 parents or community members supported the application and opening of the proposed school.

Rochester Career and Technical Education Charter School

A 6-12 public school proposed to open in Rochester in Fall 2023

Mission: *Rochester Career and Technical Education Charter School will prepare students for career pathways in the future global marketplace. Through experiential learning, internships and post-secondary credits, Rochester Career and Technical Education Charter School students will access a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests.*

Student Survey

1. Name: [redacted]
2. Current Grade: 5TH Grade
3. Zip Code: 14623

4. Are you interested in attending a middle and high school that offers multiple pathways to high-school graduation, credits towards college education and industry-based certification?
   a. Yes
   b. No

5. List the top 3 things you would want in your high school that would benefit your learning:
   a. Every kind of math
   b. Cooking and baking classes
   c. Drama and Dance classes

6. Based on what you have learned about Rochester CTE Charter School, would you consider attending?
   a. Yes
   b. No

7. Is there anything else you would like to share?
   Yes. I don't really have anything to share, but will there be a ~~school~~ school counciler for students to speak with if they have problems at home or in school or both. I also think that after school ~~progra~~ programs would be a great addition to this school.

Rochester Career and Technical Education Charter School

A 6-12 public school proposed to open in Rochester in Fall 2023

Mission: *Rochester Career and Technical Education Charter School will prepare students for career pathways in the future global marketplace. Through experiential learning, internships and post-secondary credits, Rochester Career and Technical Education Charter School students will access a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests.*

Parent & Community Survey

1. Do you live in Rochester, NY?
   (a.) Yes b. No
   If no, what town do you live in? _____

2. Are you a parent or guardian? If yes, what are the ages of your children?
   a. (Yes) b. No
   Age(s) of child(ren): 13- 11- 8-

3. Does your child or do your children attend public school?
   a. Yes (b.) No

4. Are you satisfied with your child(ren)'s school(s)?
   a. Yes (b.) No

5. List the top 3 things you would want your child's middle or high school to focus on/include:
   a. Health
   b. math
   c. Careers

6. Do you believe that Rochester, NY would benefit from a public charter school, serving grades 6-12, that would focus on students most at-risk of dropping out and offer them multiple pathways to high-school graduation, credits towards institutions of higher education and industry-based certification?
   a. (Yes) b. No
   If yes, would you consider applying to Rochester CTE Charter School? Yes

By signing this form, you are supporting the application and opening of the proposed Rochester CTE Charter School in Rochester, NY. Thank you for your feedback!

Full Nam[redacted]

Email:

Zip Code: 14619

Signature

NEW YORK STATE EDUCATION DEPARTMENT
CHARTER SCHOOL OFFICE

ATTACHMENT 5a: NEW APPLICANT AND PROSPECTIVE SCHOOL TRUSTEE BACKGROUND INFORMATION SHEET (For New School Applications Only)

Applicant Group Members ("AG"): The term Applicant Group is newly applied to include those individuals formerly identified as *lead applicants* and those participating in the planning of the application to establish the proposed charter school; those who will comprise the initial board of trustees; and those who will become school employees—anyone who is involved in the development of the Letter of Intent and the Full Application. All members, including prospective board members, must provide the background information where indicated for Applicant Group Members.

Prospective BOT Members ("BOT"): Service on a public charter school board of trustees ("board") is a position of great trust and responsibility. As a member of a public charter school's board, you are charged with overseeing the education of all students enrolled in the school, as well as the expenditure of public monies directed to the charter school. To properly evaluate proposed board members, please provide full and complete background information where indicated for proposed board members.

Note: Additionally, prospective members of the Board of Trustees are required to undergo a criminal background check via a fingerprint scan arranged by and at the expense of the State Education Department. ***The inability or unwillingness of any member of the applicant group to promptly undergo the required criminal background check via fingerprint scans within the timeframe requested in advance of the Board of Regents meeting shall be grounds for terminating an application or denying a charter recommendation.***

CONTACT INFORMATION FOR ALL APPLICANT GROUP MEMBERS

Member Name: Amari Simpson

Proposed Charter School Name: Rochester Career and Technical Education Charter School

[redacted]

Please note that this document is considered a public record and as such, may be made available to members of the public upon request under the Freedom of Information Law. Personal contact information provided above will be redacted.

Background Information – All Applicant Group Members

1. Please provide your educational and employment history. You may do so by attaching a résumé. **Note:** Individuals are not required to have degrees or education credentials to serve on a charter school's Board of Trustees. This documentation is for identify verification only.

   ☑ Résumé Attached

   ☑ Copy of Diploma, Transcript or Supporting Documentation Attached
   ☐ If education credentials are not available, please submit a signed and notarized letter stating the highest level of education obtained and the reason why the documentation cannot be provided.

2. Please indicate how you became aware of the opportunity to join the applicant group. I was notified by a RIT professional colleague about this board opportunity.

3. Please affirm that you have read Article 56 of the New York State Education Law and understand the relationship between a charter school and the authorized chartering entity as defined in that statute.

   ☑ I affirm.

4. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies. If your team has not yet submitted a full application, please affirm that you will commit to read and understand the charter school application, the charter school board's by-laws and all proposed policies at the time of its submission for review.

   ☑ I affirm.

Statement of Intent—All Applicant Group Members

5. Please provide a personal statement regarding the experience and skills that you bring to the table.

6. Please provide a personal statement regarding your role, responsibilities, and commitment in relation to the development and preparation of the application (as a member of the applicant group), and/or in relation to the operation of the charter school (if you are a member of the proposed initial board of trustees).

7. Please provide any other information that you feel is pertinent to the Department's review of your background.

Amari Simpson
Printed Name

[redacted]

6/1/2022
Date

Background Information—Proposed Board of Trustees Only

8. Please affirm that you are or will be at least eighteen years old at the time of your appointment/election to the board.

   ☑ I affirm.

9. Please indicate whether you have ever been convicted of a misdemeanor and/or felony in state or federal court in any jurisdiction.

   ☑ This does not apply to me. ☐ Yes.

   If the answer to this question is yes, please provide the following details regarding your conviction(s): (1) the name of the criminal offense(s); (2) whether the criminal offense(s) was a misdemeanor or felony; (3) the facts and circumstances surrounding your conviction(s); (4) the date(s) of your conviction(s); and (5) the date(s) of disposition(s).

10. Please indicate if you currently have any criminal charge(s) pending against you in state or federal court in any jurisdiction.

    ☑ This does not apply to me. ☐ Yes. If yes, please provide an explanation.

11. What board position(s) and/or offices(s) will you hold? (e.g., member, parent representative, vice-president, Finance committee, etc.):
    None at this time.

12. Please explain why you wish to serve on the board. I completed my dissertation on increasing the number of underrepresented students' pursuit of STEM, and I look forward to applying my knowledge and understanding of these areas to my role as a Board member. I also have been engaged with STEM education programs since I was 12 years, and I think this is an excellent opportunity for young people in the Rochester area.

13. Please indicate whether you have previously served or are currently serving on a board of a school district, a non-public school or any not-for-profit corporation (to the extent not otherwise indicated in your response to Item 1, above). In addition, please describe any other experience, knowledge or skills you feel is relevant to service on the charter school board.

    X This does not apply to me. Yes. (Include description here):

Conflict of Interest - Proposed Board of Trustees Only

14. Please indicate whether you, your spouse, or other family member knows any of the other prospective board members.

☑ I / we do not know any such persons. ☐ Yes.
If your answer is yes, please indicate the precise nature of your relationship here:

15. Please indicate whether you, your spouse, or other family member knows any person who is a proposed charter school employee.

☑ I / we do not know any such persons. ☐ Yes.
If yes, please indicate the precise nature of your relationship here:

16. Please indicate if you, your spouse, or other family member or any corporation, business or other entity in which you, your spouse or other family member serve as an employee, officer, or director or own a controlling interest in, plans to contract or do business with, the proposed charter school, including but not limited to, the lease of real or personal property to the proposed charter school.

☑ No. ☐ Yes.
If yes, please describe the nature of the contract or business and, if applicable, the relationship of the person to the corporation, business or entity involved:

17. If the charter school is partnered with an educational service provider (a management company, whether for-profit or not-for-profit), please indicate whether you, your spouse, or any family member knows any employees, officers, owners, directors or agents of that provider. If your answer is in the affirmative, please describe any such relationship.

☐ Yes.
☐ Not applicable because the School does not/will not contract with a management company or charter management organization.
☑ I / we do not know any such persons.

18. If the charter school is partnered with an educational service provider, please indicate whether you, your spouse or other family member has a direct or indirect ownership, employment, contractual or management interest in the provider. For any interest indicated, please provide a detailed description.

☐ Yes.
☐ Not applicable because the School will not contract with a management company or charter management organization.
☑ I / we have no such interest.

19. If the charter school is partnered with an educational services provider, please indicate if you, your spouse or other family member anticipates conducting, or is conducting, any business with the provider. If so, please indicate the precise nature of the business that will be conducted.

☐ Yes.
☐ Not applicable because the School will not contract with a management company or charter management organization.
☑ I / we do not anticipate conducting any such business.

20. Please indicate the potential ethical or legal conflicts of interests (if any) that would, or are likely to, exist should you be approved for service on the charter school's board.

☑ None ☐ Yes

21. Please explain how you would handle a situation in which you believe one or more members of the charter school's board are involved in working for their own benefit, or the benefit of their friends and family. I would bring up the situation with the board member clarifying that they should recuse themselves of board duties, and otherwise no change occurs, I will bring it to the board to advocate and clarify how the situation jeopardizes our charter's mission and values.
22. Please indicate whether you, your spouse or other family member is a director, officer, employee, partner or member of, or is otherwise associated with, any organization which filed an application in conjunction with the charter school, i.e., is partnered with the charter school. To the extent you have provided this information in response to the previous items 16-23, you may so indicate.
☑ This does not apply to me, my spouse or other family members.
☐ Yes.

Educational Philosophy -Proposed Board of Trustees Only

23. Please explain your understanding of the charter school's mission and/ or philosophy. I understand the mission of the school to increase the number of Rochester City School District (RCSD) students interests in and completion of career and technical education pathways.

24. Please explain your understanding of the educational program of the charter school. By operating under a similar model to RCSD and not discriminating on the basis of race, gender, disability status, etc, this charter intends to provide students high-quality learning that will prepare them successfully for career and technical education that they may not have otherwise obtained through traditional schooling in RCSD.

25. Please indicate what you believe to be the characteristics of a successful charter school. Please provide the specific steps you think the board of the charter school will need to take to ensure that this charter school is and remains successful. A new charter requires respect and trust of the community, key partnerships with other educational stakeholders, and competent and supported school leadership. To get to this point, we will work collaboratively to leverage professional experiences and connections, strive to excite families through clear learning outcomes and objectives, and recruit the brightest professionals capable of doing this work successfully.

STATEMENT OF ASSURANCE—PROPOSED TRUSTEES ONLY

I, Amari Simpson (name of proposed board member) state that I am the applicant for board member approval and I have read the questionnaire and any supporting documents and know the contents thereof; that the same is true to my knowledge except as to the matters therein stated to be alleged upon information and belief, and as to those matters I believe it to be true and further acknowledge that I am aware of the fact that, pursuant to Penal Law §175.30, a person who knowingly offers a false instrument for filing to a public official or public servant is guilty of Offering a False Instrument for Filing in the 2nd Degree, a Class A Misdemeanor.

[redacted]

6/1/2022

Date

NEW YORK STATE EDUCATION DEPARTMENT
CHARTER SCHOOL OFFICE

ATTACHMENT 5a: NEW APPLICANT AND PROSPECTIVE SCHOOL TRUSTEE BACKGROUND INFORMATION SHEET
(For New School Applications Only)

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Prospective BOT Members ("BOT"): Service on a public charter school board of trustees ("board") is a position of great trust and responsibility. As a member of a public charter school's board, you are charged with overseeing the education of all students enrolled in the school, as well as the expenditure of public monies directed to the charter school. To properly evaluate proposed board members, please provide full and complete background information where indicated for proposed board members.

Note: Additionally, prospective members of the Board of Trustees are required to undergo a criminal background check via a fingerprint scan arranged by and at the expense of the State Education Department. ***The inability or unwillingness of any member of the applicant group to promptly undergo the required criminal background check via fingerprint scans within the timeframe requested in advance of the Board of Regents meeting shall be grounds for terminating an application or denying a charter recommendation.***

CONTACT INFORMATION FOR ALL APPLICANT GROUP MEMBERS

Member Name: Rachel Musiker

Proposed Charter School Name: Rochester Career and Technical Education Charter School

[redacted]

Please note that this document is considered a public record and as such, may be made available to members of the public upon request under the Freedom of Information Law. Personal contact information provided above will be redacted.

Background Information – All Applicant Group Members

1. Please provide your educational and employment history. You may do so by attaching a résumé. **Note:** Individuals are not required to have degrees or education credentials to serve on a charter school's Board of Trustees. This documentation is for identify verification only.

   ☑ Résumé Attached

   ☑ Copy of Diploma, Transcript or Supporting Documentation Attached
   ☐ If education credentials are not available, please submit a signed and notarized letter stating the highest level of education obtained and the reason why the documentation cannot be provided.

2. Please indicate how you became aware of the opportunity to join the applicant group.
   from May Doyle of the Center for Educational Innovation.

3. Please affirm that you have read Article 56 of the New York State Education Law and understand the relationship between a charter school and the authorized chartering entity as defined in that statute.

   ☑ I affirm.

4. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies. If your team has not yet submitted a full application, please affirm that you will commit to read and understand the charter school application, the charter school board's by-laws and all proposed policies at the time of its submission for review.

   ☑ I affirm.

Statement of Intent—All Applicant Group Members

5. Please provide a personal statement regarding the experience and skills that you bring to the table.

   See supplement.

6. Please provide a personal statement regarding your role, responsibilities, and commitment in relation to the development and preparation of the application (as a member of the applicant group), and/or in relation to the operation of the charter school (if you are a member of the proposed initial board of trustees).

   See supplement.

7. Please provide any other information that you feel is pertinent to the Department's review of your background.

Rachel Musiker
Printed Name

[redacted]

6/1/22
Date

Background Information—Proposed Board of Trustees Only

8. Please affirm that you are or will be at least eighteen years old at the time of your appointment/election to the board.

   ☑ I affirm.

9. Please indicate whether you have ever been convicted of a misdemeanor and/or felony in state or federal court in any jurisdiction.

   ☑ This does not apply to me. ☐ Yes.

   If the answer to this question is yes, please provide the following details regarding your conviction(s): (1) the name of the criminal offense(s); (2) whether the criminal offense(s) was a misdemeanor or felony; (3) the facts and circumstances surrounding your conviction(s); (4) the date(s) of your conviction(s); and (5) the date(s) of disposition(s).

10. Please indicate if you currently have any criminal charge(s) pending against you in state or federal court in any jurisdiction.

    ☑ This does not apply to me. ☐ Yes. If yes, please provide an explanation.

11. What board position(s) and/or offices(s) will you hold? (e.g., member, parent representative, vice-president, Finance committee, etc.):

    member

12. Please explain why you wish to serve on the board.

    See supplement.

13. Please indicate whether you have previously served or are currently serving on a board of a school district, a non-public school or any not-for-profit corporation (to the extent not otherwise indicated in your response to Item 1, above). In addition, please describe any other experience, knowledge or skills you feel is relevant to service on the charter school board.

    ☑ This does not apply to me. ☐ Yes. (Include description here):

Conflict of Interest - Proposed Board of Trustees Only

14. Please indicate whether you, your spouse, or other family member knows any of the other prospective board members.

☑ I / we do not know any such persons. ☐ Yes.
If your answer is yes, please indicate the precise nature of your relationship here:

15. Please indicate whether you, your spouse, or other family member knows any person who is a proposed charter school employee.

☑ I / we do not know any such persons. ☐ Yes.
If yes, please indicate the precise nature of your relationship here:

16. Please indicate if you, your spouse, or other family member or any corporation, business or other entity in which you, your spouse or other family member serve as an employee, officer, or director or own a controlling interest in, plans to contract or do business with, the proposed charter school, including but not limited to, the lease of real or personal property to the proposed charter school.

☑ No. ☐ Yes.
If yes, please describe the nature of the contract or business and, if applicable, the relationship of the person to the corporation, business or entity involved:

17. If the charter school is partnered with an educational service provider (a management company, whether for-profit or not-for-profit), please indicate whether you, your spouse, or any family member knows any employees, officers, owners, directors or agents of that provider. If your answer is in the affirmative, please describe any such relationship.

☑ Yes. See supplement.
☐ Not applicable because the School does not/will not contract with a management company or charter management organization.
☐ I / we do not know any such persons.

18. If the charter school is partnered with an educational service provider, please indicate whether you, your spouse or other family member has a direct or indirect ownership, employment, contractual or management interest in the provider. For any interest indicated, please provide a detailed description.

☐ Yes.
☐ Not applicable because the School will not contract with a management company or charter management organization.
☑ I / we have no such interest.

19. If the charter school is partnered with an educational services provider, please indicate if you, your spouse or other family member anticipates conducting, or is conducting, any business with the provider. If so, please indicate the precise nature of the business that will be conducted.

☐ Yes.
☐ Not applicable because the School will not contract with a management company or charter management organization.
☑ I / we do not anticipate conducting any such business.

20. Please indicate the potential ethical or legal conflicts of interests (if any) that would, or are likely to, exist should you be approved for service on the charter school's board.

☒ None ☐ Yes

21. Please explain how you would handle a situation in which you believe one or more members of the charter school's board are involved in working for their own benefit, or the benefit of their friends and family.

See supplement.

22. Please indicate whether you, your spouse or other family member is a director, officer, employee, partner or member of, or is otherwise associated with, any organization which filed an application in conjunction with the charter school, i.e., is partnered with the charter school. To the extent you have provided this information in response to the previous items 16-23, you may so indicate.

☒ This does not apply to me, my spouse or other family members.
☐ Yes.

Educational Philosophy -Proposed Board of Trustees Only

23. Please explain your understanding of the charter school's mission and/or philosophy.

See supplement.

24. Please explain your understanding of the educational program of the charter school.

See supplement.

25. Please indicate what you believe to be the characteristics of a successful charter school. Please provide the specific steps you think the board of the charter school will need to take to ensure that this charter school is and remains successful.

See supplement.

STATEMENT OF ASSURANCE—PROPOSED TRUSTEES ONLY

I, Rachel Musiker (name of proposed board member) state that I am the applicant for board member approval and I have read the questionnaire and any supporting documents and know the contents thereof; that the same is true to my knowledge except as to the matters therein stated to be alleged upon information and belief, and as to those matters I believe it to be true and further acknowledge that I am aware of the fact that, pursuant to Penal Law §175.30, a person who knowingly offers a false instrument for filing to a public official or public servant is guilty of Offering a False Instrument for Filing in the 2nd Degree, a Class A Misdemeanor.

[redacted]

6/1/22
Date

Rachel Musiker

Supplement for Form 5a: New Applicant and Prospective School Trustee Background Information Sheet

5. Personal statement regarding the experience and skills I bring to the table

The key skills I would bring to the board are in communication strategies and editing. I have built a 12-year career at Redfin Corporation, where I established the PR and communications team. I oversee communications strategies, edit reports, press releases, internal documents and other types of communications. I train communications and other types of professionals on writing and public speaking. I am well versed in working with the media and can media train and prepare spokespeople for telephone, zoom and live, on-camera media interviews.

Through my career at Redfin, I have become well-versed in the technology industry and hiring practices. I believe I could contribute to helping to build a curriculum for this school which would promote job- and interview-readiness for graduates in technology fields.

6. Personal statement regarding my role

I am a member of the proposed initial board of trustees. I have collaborated with Mary Doyle at CEI and sat on a zoom meeting with other prospective trustees to learn about the proposed charter school and give ideas and feedback for the application.

12. Why I wish to serve on the board

I am a parent in the Rochester City School District. I recently relocated to Rochester from New York City, so I am looking to get involved in my new community, meet other people who care about our local education system and students and contribute some of my spare time and energy toward helping an organization I care about.

17. Knowledge of employee at educational service provider

I have known Mary Doyle, an employee at the Center for Educational Innovation, since August 2021. We became acquainted through our overlapping social and professional networks, as we had both recently relocated from Brooklyn to Rochester, NY.

21. How I'd handle situation in which I believe a board member were involved in working for their own benefit, etc.

In this situation, I would hastily speak to the board chairperson and share my concerns with them, and encourage them to investigate the situation.

23. School's mission and/or philosophy

To create a small middle and high school that supports students in helping them to earn a high school degree and to prepare them for higher education and careers in science, industry and technology.

24. Educational program

The educational program would be focused on helping students earn their high school degree and develop skills and experience in a field of employment that matches their interests.

25. Characteristics of a successful charter school

I believe a successful charter school would need an experienced administrator with a track record of running a school that has consistently strong outcomes for its students and graduates. There needs to be mutual trust and respect between the administrator and the board. Together, they need to attract, recruit and hire a team of committed, talented teachers to who believe in the mission of the school and in the charter school program. The board needs to support the entire school staff and parent community on an ongoing basis, starting with measurable goals for outcomes of success, and periodic check-ins on how the school is tracking toward achieving those outcomes. I also believe transparency and clear, quick communication is important at all levels: between the board and the administrator, the administrator and the staff, and between the administrator and the parents. We need to build a trusting community where all parties seek to understand each other's needs and goals and strive to fulfill them together.

NEW YORK STATE EDUCATION DEPARTMENT
CHARTER SCHOOL OFFICE

ATTACHMENT 5a: NEW APPLICANT AND PROSPECTIVE SCHOOL TRUSTEE BACKGROUND INFORMATION SHEET
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Note: Additionally, prospective members of the Board of Trustees are required to undergo a criminal background check via a fingerprint scan arranged by and at the expense of the State Education Department. ***The inability or unwillingness of any member of the applicant group to promptly undergo the required criminal background check via fingerprint scans within the timeframe requested in advance of the Board of Regents meeting shall be grounds for terminating an application or denying a charter recommendation.***

CONTACT INFORMATION FOR ALL APPLICANT GROUP MEMBERS

Member Name: _____

Proposed Charter School Name: _____

[redacted]

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Background Information – All Applicant Group Members

1. Please provide your educational and employment history. You may do so by attaching a résumé. **Note:** Individuals are not required to have degrees or education credentials to serve on a charter school's Board of Trustees. This documentation is for identify verification only.

   ☐ Résumé Attached

   ☐ Copy of Diploma, Transcript or Supporting Documentation Attached
   - ☐ If education credentials are not available, please submit a signed and notarized letter stating the highest level of education obtained and the reason why the documentation cannot be provided.

2. Please indicate how you became aware of the opportunity to join the applicant group.

3. Please affirm that you have read Article 56 of the New York State Education Law and understand the relationship between a charter school and the authorized chartering entity as defined in that statute.

   ☐ I affirm.

4. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies. If your team has not yet submitted a full application, please affirm that you will commit to read and understand the charter school application, the charter school board's by-laws and all proposed policies at the time of its submission for review.

   ☐ I affirm.

Statement of Intent—All Applicant Group Members

5. Please provide a personal statement regarding the experience and skills that you bring to the table.

6. Please provide a personal statement regarding your role, responsibilities, and commitment in relation to the development and preparation of the application (as a member of the applicant group), and/or in relation to the operation of the charter school (if you are a member of the proposed initial board of trustees).

7. Please provide any other information that you feel is pertinent to the Department's review of your background.

_____

[redacted] _____

_____
Date

Background Information—Proposed Board of Trustees Only

8. Please affirm that you are or will be at least eighteen years old at the time of your appointment/election to the board.

   ☐ I affirm.

9. Please indicate whether you have ever been convicted of a misdemeanor and/or felony in state or federal court in any jurisdiction.

   ☐ This does not apply to me. ☐ Yes.

   If the answer to this question is yes, please provide the following details regarding your conviction(s): (1) the name of the criminal offense(s); (2) whether the criminal offense(s) was a misdemeanor or felony; (3) the facts and circumstances surrounding your conviction(s); (4) the date(s) of your conviction(s); and (5) the date(s) of disposition(s).

10. Please indicate if you currently have any criminal charge(s) pending against you in state or federal court in any jurisdiction.

    ☐ This does not apply to me. ☐ Yes. If yes, please provide an explanation.

11. What board position(s) and/or offices(s) will you hold? (e.g., member, parent representative, vice-president, Finance committee, etc.):

    _____

    _____

12. Please explain why you wish to serve on the board.

13. Please indicate whether you have previously served or are currently serving on a board of a school district, a non-public school or any not-for-profit corporation (to the extent not otherwise indicated in your response to Item 1, above). In addition, please describe any other experience, knowledge or skills you feel is relevant to service on the charter school board.

    ☐ This does not apply to me. ☐ Yes. (Include description here):

Conflict of Interest - Proposed Board of Trustees Only

14. Please indicate whether you, your spouse, or other family member knows any of the other prospective board members.

    ☐ I / we do not know any such persons. ☐ Yes.
    If your answer is yes, please indicate the precise nature of your relationship here:

15. Please indicate whether you, your spouse, or other family member knows any person who is a proposed charter school employee.

    ☐ I / we do not know any such persons. ☐ Yes.
    If yes, please indicate the precise nature of your relationship here:

16. Please indicate if you, your spouse, or other family member or any corporation, business or other entity in which you, your spouse or other family member serve as an employee, officer, or director or own a controlling interest in, plans to contract or do business with, the proposed charter school, including but not limited to, the lease of real or personal property to the proposed charter school.

    ☐ No. ☐ Yes.
    If yes, please describe the nature of the contract or business and, if applicable, the relationship of the person to the corporation, business or entity involved:

17. If the charter school is partnered with an educational service provider (a management company, whether for-profit or not-for-profit), please indicate whether you, your spouse, or any family member knows any employees, officers, owners, directors or agents of that provider. If your answer is in the affirmative, please describe any such relationship.

    ☐ Yes.
    ☐ Not applicable because the School does not/will not contract with a management company or charter management organization.
    ☐ I / we do not know any such persons.

18. If the charter school is partnered with an educational service provider, please indicate whether you, your spouse or other family member has a direct or indirect ownership, employment, contractual or management interest in the provider. For any interest indicated, please provide a detailed description.

    ☐ Yes.
    ☐ Not applicable because the School will not contract with a management company or charter management organization.
    ☐ I / we have no such interest.

19. If the charter school is partnered with an educational services provider, please indicate if you, your spouse or other family member anticipates conducting, or is conducting, any business with the provider. If so, please indicate the precise nature of the business that will be conducted.

☐ Yes.
☐ Not applicable because the School will not contract with a management company or charter management organization.
☐ I / we do not anticipate conducting any such business.

20. Please indicate the potential ethical or legal conflicts of interests (if any) that would, or are likely to, exist should you be approved for service on the charter school's board.

☐ None ☐ Yes

21. Please explain how you would handle a situation in which you believe one or more members of the charter school's board are involved in working for their own benefit, or the benefit of their friends and family.

22. Please indicate whether you, your spouse or other family member is a director, officer, employee, partner or member of, or is otherwise associated with, any organization which filed an application in conjunction with the charter school, i.e., is partnered with the charter school. To the extent you have provided this information in response to the previous items 16-23, you may so indicate.

☐ This does not apply to me, my spouse or other family members.
☐ Yes.

Educational Philosophy -Proposed Board of Trustees Only

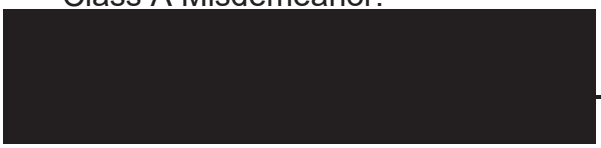
23. Please explain your understanding of the charter school's mission and/or philosophy.

24. Please explain your understanding of the educational program of the charter school.

25. Please indicate what you believe to be the characteristics of a successful charter school. Please provide the specific steps you think the board of the charter school will need to take to ensure that this charter school is and remains successful.

STATEMENT OF ASSURANCE—PROPOSED TRUSTEES ONLY

I, _____(name of proposed board member) state that I am the applicant for board member approval and I have read the questionnaire and any supporting documents and know the contents thereof; that the same is true to my knowledge except as to the matters therein stated to be alleged upon information and belief, and as to those matters I believe it to be true and further acknowledge that I am aware of the fact that, pursuant to Penal Law §175.30, a person who knowingly offers a false instrument for filing to a public official or public servant is guilty of Offering a False Instrument for Filing in the 2nd Degree, a Class A Misdemeanor.



_____

Date

Simkins Attachments

Attachment 5a-1: The following extend the responses to questions on the "New applicant and prospective school trustee background information sheet" (attachment 5a).

5. Please provide a personal statement regarding the experience and skills that you bring to the table.

I have a PhD in Curriculum and Instruction from the University of Wisconsin-Madison specializing in Educational Technology, especially games and learning. I have also spent the last eleven years teaching game design and programming as a professor in the School of Interactive Games and Media at the Rochester Institute of Technology.

6. Please provide a personal statement regarding your role, responsibilities, and commitment in relation to the development and preparation of the application (as a member of the applicant group), and/or in relation to the operation of the charter school (if you are a member of the proposed initial board of trustees)

I have been looking for some time for an effective way to use my experience in games, technology and learning to support the City of Rochester. When my wife and I moved to Rochester, we chose to live in the city for many reasons, but one of the most important was to connect with and support the Rochester community as we we're able – to be a part of it rather than isolating ourselves from it. As an educator, it is particularly important to me to be a part of the community by supporting Rochester's school system, Rochester's student population. I support all of Rochester Public Schools, and as a member of the board I believe I can bring my knowledge, connections, and experience to bear to help advance opportunities for Rochester students.

7. Please provide any other information that you feel is pertinent to the Department's review of your background.

I have worked as a consultant for child welfare agencies in Illinois, Wisconsin, the City of Philadelphia, and Oregon (in chronological order), and while I do not claim expertise, I am at least familiar with social work approaches to micro, mezzo and macro level social change.

12. Please explain why you wish to serve on the board.

As I mentioned in my response to question 6, I have been looking for additional ways to support and serve the Rochester community, in particular in my areas of expertise. I believe education is the responsibility of the entire community, and as someone with particular training in education and technology, this proposed charter school seems a perfect opportunity to lend my experience to support our students.

21. Please explain how you would handle a situation in which you believe one or more members of the charter school's board are involved in working for their own benefit,

or the benefit of their friends and family.

If I had evidence or sound reason to believe that a fellow charter school board member was working for the benefit or themselves or their family or friends in their role as board member, and I would first bring that evidence to the board as a whole. If I felt in good conscience the charter school board was unwilling to or unable to address the concern and rectify the situation by either taking active steps to disprove or remove the conflict of interest, I would pursue the matter with the school's charter entity.

23.Please explain your understanding of the charter school's mission and/or philosophy.

The school's mission is to provide vocational and college preparatory options in technical careers for students beginning grade 6 and continuing, at least eventually, to high school graduation. The goal is to have a trauma-informed approach to educating students from Rochester, incorporating opportunity for those who might otherwise fall through the cracks of Rochester public schools.

24. Please explain your understanding of the educational program of the charter school.

A standards-based and outcomes-focused approach to education across the spectrum of secondary requirements for NYS and with a focus on technical skills and preparation for future learning in technical areas.

25. Please indicate what you believe to be the characteristics of a successful charter school. Please provide the specific steps you think the board of the charter school will need to take to ensure that this charter school is and remains successful.

It is clear from those who have worked in public schooling that we need to find a way to create a highly effective school culture. This will need to be a combination of approaches that addresses the difficult learning environment of most Rochester public schools and that incorporates best-practice approaches to working with student populations with high incidents of trauma, providing self-efficacy, structure, and gradual, earned autonomy. The students will first and foremost need to feel safe in school, will need to feel cared for, and will need to feel respected. These feelings can be nurtured only in an environment where the students are safe, cared for, and respected and where participation requires students, staff, and instructors maintain an environment of mutual security, care, and respect. These are non-trivial requirements, but succeeding will build an environment which is on the side of student success.

Please also find attached
Attachment 5a-2: David Simkins' CV/Resume

Attachment 5a-3: Transcript from the University of Wisconsin-Madison for David Simkins' earned PhD in Curriculum and Instruction.

NEW YORK STATE EDUCATION DEPARTMENT
CHARTER SCHOOL OFFICE

ATTACHMENT 5a: NEW APPLICANT AND PROSPECTIVE SCHOOL TRUSTEE BACKGROUND INFORMATION SHEET
(For New School Applications Only)

Applicant Group Members ("AG"): The term Applicant Group is newly applied to include those individuals formerly identified as *lead applicants* and those participating in the planning of the application to establish the proposed charter school; those who will comprise the initial board of trustees; and those who will become school employees—anyone who is involved in the development of the Letter of Intent and the Full Application. All members, including prospective board members, must provide the background information where indicated for Applicant Group Members.

Prospective BOT Members ("BOT"): Service on a public charter school board of trustees ("board") is a position of great trust and responsibility. As a member of a public charter school's board, you are charged with overseeing the education of all students enrolled in the school, as well as the expenditure of public monies directed to the charter school. To properly evaluate proposed board members, please provide full and complete background information where indicated for proposed board members.

Note: Additionally, prospective members of the Board of Trustees are required to undergo a criminal background check via a fingerprint scan arranged by and at the expense of the State Education Department. ***The inability or unwillingness of any member of the applicant group to promptly undergo the required criminal background check via fingerprint scans within the timeframe requested in advance of the Board of Regents meeting shall be grounds for terminating an application or denying a charter recommendation.***

CONTACT INFORMATION FOR ALL APPLICANT GROUP MEMBERS

Member Name: Roderick E Green

Proposed Charter School Name: Rochester CTE Charter School

[redacted]

Please note that this document is considered a public record and as such, may be made available to members of the public upon request under the Freedom of Information Law. Personal contact information provided above will be redacted.

Background Information – All Applicant Group Members

1. Please provide your educational and employment history. You may do so by attaching a résumé. **Note:** Individuals are not required to have degrees or education credentials to serve on a charter school's Board of Trustees. This documentation is for identify verification only.

   ☒ Résumé Attached

   ☒ Copy of Diploma, Transcript or Supporting Documentation Attached
   ☐ If education credentials are not available, please submit a signed and notarized letter stating the highest level of education obtained and the reason why the documentation cannot be provided.

2. Please indicate how you became aware of the opportunity to join the applicant group. Mary Doyle - CEI

3. Please affirm that you have read Article 56 of the New York State Education Law and understand the relationship between a charter school and the authorized chartering entity as defined in that statute.

   ☒ I affirm.

4. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies. If your team has not yet submitted a full application, please affirm that you will commit to read and understand the charter school application, the charter school board's by-laws and all proposed policies at the time of its submission for review.

   ☒ I affirm.

Statement of Intent—All Applicant Group Members

5. Please provide a personal statement regarding the experience and skills that you bring to the table. 20 years experience working with At-risk youth in urban school districts.
6. Please provide a personal statement regarding your role, responsibilities, and commitment in relation to the development and preparation of the application (as a member of the applicant group), and/or in relation to the operation of the charter school (if you are a member of the proposed initial board of trustees). Provide effective governance to ensure success of school
7. Please provide any other information that you feel is pertinent to the Department's review of your background. See resume.

Roderick E. Green

[redacted]

6/2/2022
Date

Background Information—Proposed Board of Trustees Only

8. Please affirm that you are or will be at least eighteen years old at the time of your appointment/election to the board.

☒ I affirm.

9. Please indicate whether you have ever been convicted of a misdemeanor and/or felony in state or federal court in any jurisdiction.

☒ This does not apply to me. ☐ Yes.

If the answer to this question is yes, please provide the following details regarding your conviction(s): (1) the name of the criminal offense(s); (2) whether the criminal offense(s) was a misdemeanor or felony; (3) the facts and circumstances surrounding your conviction(s); (4) the date(s) of your conviction(s); and (5) the date(s) of disposition(s).

10. Please indicate if you currently have any criminal charge(s) pending against you in state or federal court in any jurisdiction.

☒ This does not apply to me. ☐ Yes. If yes, please provide an explanation.

11. What board position(s) and/or offices(s) will you hold? (e.g., member, parent representative, vice-president, Finance committee, etc.):

member, vice president

12. Please explain why you wish to serve on the board. Urban Youth need additional options and this school will provide the necessary preparation to succeed in 21st century.

13. Please indicate whether you have previously served or are currently serving on a board of a school district, a non-public school or any not-for-profit corporation (to the extent not otherwise indicated in your response to Item 1, above). In addition, please describe any other experience, knowledge or skills you feel is relevant to service on the charter school board.

☒ This does not apply to me. ☒ Yes. (Include description here):

Foundms Board member
Rochester Career Mentoring Charter
Other non profit Board exp School.
listed on Resume

Conflict of Interest - Proposed Board of Trustees Only

14. Please indicate whether you, your spouse, or other family member knows any of the other prospective board members.

☐ I / we do not know any such persons. ☒ Yes.
If your answer is yes, please indicate the precise nature of your relationship here:
Colleagues

15. Please indicate whether you, your spouse, or other family member knows any person who is a proposed charter school employee.

☒ I / we do not know any such persons. ☐ Yes.
If yes, please indicate the precise nature of your relationship here:

16. Please indicate if you, your spouse, or other family member or any corporation, business or other entity in which you, your spouse or other family member serve as an employee, officer, or director or own a controlling interest in, plans to contract or do business with, the proposed charter school, including but not limited to, the lease of real or personal property to the proposed charter school.

☒ No. ☐ Yes.
If yes, please describe the nature of the contract or business and, if applicable, the relationship of the person to the corporation, business or entity involved:

17. If the charter school is partnered with an educational service provider (a management company, whether for-profit or not-for-profit), please indicate whether you, your spouse, or any family member knows any employees, officers, owners, directors or agents of that provider. If your answer is in the affirmative, please describe any such relationship.

☒ Yes. Mary Doyle, CEI, colleague
☐ Not applicable because the School does not/will not contract with a management company or charter management organization.
☐ I / we do not know any such persons.

18. If the charter school is partnered with an educational service provider, please indicate whether you, your spouse or other family member has a direct or indirect ownership, employment, contractual or management interest in the provider. For any interest indicated, please provide a detailed description.

☐ Yes.
☐ Not applicable because the School will not contract with a management company or charter management organization.
☒ I / we have no such interest.

19. If the charter school is partnered with an educational services provider, please indicate if you, your spouse or other family member anticipates conducting, or is conducting, any business with the provider. If so, please indicate the precise nature of the business that will be conducted.

☐ Yes.
☐ Not applicable because the School will not contract with a management company or charter management organization.
☒ I / we do not anticipate conducting any such business.

20. Please indicate the potential ethical or legal conflicts of interests (if any) that would, or are likely to, exist should you be approved for service on the charter school's board.

☒ None ☐ Yes

21. Please explain how you would handle a situation in which you believe one or more members of the charter school's board are involved in working for their own benefit, or the benefit of their friends and family. Investigate matter fully and consult, MG and BOT on appropriate action.

22. Please indicate whether you, your spouse or other family member is a director, officer, employee, partner or member of, or is otherwise associated with, any organization which filed an application in conjunction with the charter school, i.e., is partnered with the charter school. To the extent you have provided this information in response to the previous items 16-23, you may so indicate.

☒ This does not apply to me, my spouse or other family members.
☐ Yes.

Educational Philosophy -Proposed Board of Trustees Only

23. Please explain your understanding of the charter school's mission and/or philosophy. Assist students in achieving credits for successful on time graduation, equipped with skills to transition to post-secondary pathways.

24. Please explain your understanding of the educational program of the charter school. Rigorous curriculum focused on preparing students for pathways in CTE.

25. Please indicate what you believe to be the characteristics of a successful charter school. Please provide the specific steps you think the board of the charter school will need to take to ensure that this charter school is and remains successful.

(1). Building successful culture where all students thrive. Socio-Emotional Support
(2). Rigorous curriculum aligned to NYS Ed Standards.
(3). Quality Instruction by faculty.
(4). Strong Governance and Accountability

STATEMENT OF ASSURANCE—PROPOSED TRUSTEES ONLY

I, Roderick E. Green (name of proposed board member) state that I am the applicant for board member approval and I have read the questionnaire and any supporting documents and know the contents thereof; that the same is true to my knowledge except as to the matters therein stated to be alleged upon information and belief, and as to those matters I believe it to be true and further acknowledge that I am aware of the fact that, pursuant to Penal Law §175.30, a person who knowingly offers a false instrument for filing to a public official or public servant is guilty of Offering a False Instrument for Filing in the 2nd Degree, a

[redacted]

Signature

6/2/2022

Date

Roderick Green

Executive Director, Hillside Work-Scholarship Connection

Roderick Green ("Rod") was named Executive Director of Hillside Work-Scholarship Connection (HW-SC) in April 2019. In the role he is responsible for providing leadership to this national recognized, evidence-based program which enables at risk students to graduate from high school and be prepared for college, career, or the military. HW-SC currently serves over 3,000 urban students in Rochester, and Syracuse, NY as well as Prince George's County, Maryland.

Throughout his 18 years with Hillside Family of Agencies he has served in various leadership roles. He has held the positions of Regional Director of Rochester Market; Director of Quality and Operations; and most recently Regional Director of Strategic and Business Expansion in which he expanded Hillside Work Scholarship to 6 new school districts, while securing in excess of 3 million dollars in public and private funding.

Prior to joining Hillside, he held management positions with Lifetime Health, a subsidiary of Excellus Blue Cross and Blue Shield of Rochester and Westside Health Services Inc., and the State University of New York, College at Brockport where he taught GED English as an adjunct faculty member at the Rochester Educational Opportunity Center.

Rod has volunteered his time in the community, he served on the boards of directors at Penfield Youth Basketball; Leadership Rochester; Founding Board of Trustee Member for Rochester Career Mentoring Charter School; Mind Body Soul of Rochester; Rochester Area Fencing Foundation; and on the advisory board of Bryant and Stratton Colleges Health Services Administration Program. In 2010, he was selected by the Rochester Business Journal as a Forty Under 40 award recipient. In 2009, he was appointed by former Mayor Robert Duffy to the Monroe County/Rochester Youth Council.

He received his Masters of Public Administration from State University of New York College Brockport and his Bachelors of Arts from North Carolina Central University in Durham, North Carolina. Rod's personal motto is that "True success lies not in the final destination, but the journey that one takes along the way". Rod is married to Stacey J. Green and has (4) children, Jaelyn, Roderick Jr., Nadia, Jackson and the family dog "Rocky".

NEW YORK STATE EDUCATION DEPARTMENT
CHARTER SCHOOL OFFICE

ATTACHMENT 5a: NEW APPLICANT AND PROSPECTIVE SCHOOL TRUSTEE BACKGROUND INFORMATION SHEET
(For New School Applications Only)

Applicant Group Members ("AG"): The term Applicant Group is newly applied to include those individuals formerly identified as *lead applicants* and those participating in the planning of the application to establish the proposed charter school; those who will comprise the initial board of trustees; and those who will become school employees—anyone who is involved in the development of the Letter of Intent and the Full Application. All members, including prospective board members, must provide the background information where indicated for Applicant Group Members.

Prospective BOT Members ("BOT"): Service on a public charter school board of trustees ("board") is a position of great trust and responsibility. As a member of a public charter school's board, you are charged with overseeing the education of all students enrolled in the school, as well as the expenditure of public monies directed to the charter school. To properly evaluate proposed board members, please provide full and complete background information where indicated for proposed board members.

Note: Additionally, prospective members of the Board of Trustees are required to undergo a criminal background check via a fingerprint scan arranged by and at the expense of the State Education Department. ***The inability or unwillingness of any member of the applicant group to promptly undergo the required criminal background check via fingerprint scans within the timeframe requested in advance of the Board of Regents meeting shall be grounds for terminating an application or denying a charter recommendation.***

CONTACT INFORMATION FOR ALL APPLICANT GROUP MEMBERS

Member Name: Jim Sperry

Proposed Charter School Name: Rochester Career + Technical Education Public Charter School (CTE)

[redacted]

Please note that this document is considered a public record and as such, may be made available to members of the public upon request under the Freedom of Information Law. Personal contact information provided above will be redacted.

Background Information – All Applicant Group Members

1. Please provide your educational and employment history. You may do so by attaching a résumé. **Note:** Individuals are not required to have degrees or education credentials to serve on a charter school's Board of Trustees. This documentation is for identify verification only.

   ☑ Résumé Attached

   ☑ Copy of Diploma, Transcript or Supporting Documentation Attached
   - ☐ If education credentials are not available, please submit a signed and notarized letter stating the highest level of education obtained and the reason why the documentation cannot be provided.

2. Please indicate how you became aware of the opportunity to join the applicant group. Introduced to CEI by former Landlord of Rochester Charter School of Science + Technology.

3. Please affirm that you have read Article 56 of the New York State Education Law and understand the relationship between a charter school and the authorized chartering entity as defined in that statute.

   ☑ I affirm.

4. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies. If your team has not yet submitted a full application, please affirm that you will commit to read and understand the charter school application, the charter school board's by-laws and all proposed policies at the time of its submission for review.

   ☑ I affirm.

Statement of Intent—All Applicant Group Members

5. Please provide a personal statement regarding the experience and skills that you bring to the table. Finance, business acumen, Board leadership, governance.

6. Please provide a personal statement regarding your role, responsibilities, and commitment in relation to the development and preparation of the application (as a member of the applicant group), and/or in relation to the operation of the charter school (if you are a member of the proposed initial board of trustees). Member of proposed initial Board of Trustees.

7. Please provide any other information that you feel is pertinent to the Department's review of your background. Deep need for this in the Rochester community

James M. Sperry
Printed Name

[redacted]

06/03/2022
Date

Background Information—Proposed Board of Trustees Only

8. Please affirm that you are or will be at least eighteen years old at the time of your appointment/election to the board.

   ☑ I affirm.

9. Please indicate whether you have ever been convicted of a misdemeanor and/or felony in state or federal court in any jurisdiction.

   ☑ This does not apply to me. ☐ Yes.

   If the answer to this question is yes, please provide the following details regarding your conviction(s): (1) the name of the criminal offense(s); (2) whether the criminal offense(s) was a misdemeanor or felony; (3) the facts and circumstances surrounding your conviction(s); (4) the date(s) of your conviction(s); and (5) the date(s) of disposition(s).

10. Please indicate if you currently have any criminal charge(s) pending against you in state or federal court in any jurisdiction.

    ☑ This does not apply to me. ☐ Yes. If yes, please provide an explanation.

11. What board position(s) and/or offices(s) will you hold? (e.g., member, parent representative, vice-president, Finance committee, etc.):
    Member of proposed initial Board of Trustees

12. Please explain why you wish to serve on the board. Deep need for education to be catalyst for Rochester's youth to build productive and rewarding pathways so

13. Please indicate whether you have previously served or are currently serving on a board of a school district, a non-public school or any not-for-profit corporation (to the extent not otherwise indicated in your response to Item 1, above). In addition, please describe any other experience, knowledge or skills you feel is relevant to service on the charter school board.

    ☑ This does not apply to me. ☐ Yes. (Include description here):
    All current NFP Board activity is listed on resume

Conflict of Interest - Proposed Board of Trustees Only

14. Please indicate whether you, your spouse, or other family member knows any of the other prospective board members.

☑ I / we do not know any such persons. ☐ Yes.
If your answer is yes, please indicate the precise nature of your relationship here:

15. Please indicate whether you, your spouse, or other family member knows any person who is a proposed charter school employee.

☑ I / we do not know any such persons. ☐ Yes.
If yes, please indicate the precise nature of your relationship here:

16. Please indicate if you, your spouse, or other family member or any corporation, business or other entity in which you, your spouse or other family member serve as an employee, officer, or director or own a controlling interest in, plans to contract or do business with, the proposed charter school, including but not limited to, the lease of real or personal property to the proposed charter school.

☑ No. ☐ Yes.
If yes, please describe the nature of the contract or business and, if applicable, the relationship of the person to the corporation, business or entity involved:

17. If the charter school is partnered with an educational service provider (a management company, whether for-profit or not-for-profit), please indicate whether you, your spouse, or any family member knows any employees, officers, owners, directors or agents of that provider. If your answer is in the affirmative, please describe any such relationship.

☐ Yes.
☐ Not applicable because the School does not/will not contract with a management company or charter management organization.
☑ I / we do not know any such persons.

18. If the charter school is partnered with an educational service provider, please indicate whether you, your spouse or other family member has a direct or indirect ownership, employment, contractual or management interest in the provider. For any interest indicated, please provide a detailed description.

☐ Yes.
☐ Not applicable because the School will not contract with a management company or charter management organization.
☑ I / we have no such interest.

19. If the charter school is partnered with an educational services provider, please indicate if you, your spouse or other family member anticipates conducting, or is conducting, any business with the provider. If so, please indicate the precise nature of the business that will be conducted.

☐ Yes.
☐ Not applicable because the School will not contract with a management company or charter management organization.
☑ I / we do not anticipate conducting any such business.

20. Please indicate the potential ethical or legal conflicts of interests (if any) that would, or are likely to, exist should you be approved for service on the charter school's board.

☑ None ☐ Yes

21. Please explain how you would handle a situation in which you believe one or more members of the charter school's board are involved in working for their own benefit, or the benefit of their friends and family. I would call out any conflicts of interest, obvious or perceived, and work with the board to resolve these expediently to properly mitigate risk.

22. Please indicate whether you, your spouse or other family member is a director, officer, employee, partner or member of, or is otherwise associated with, any organization which filed an application in conjunction with the charter school, i.e., is partnered with the charter school. To the extent you have provided this information in response to the previous items 16-23, you may so indicate.

☑ This does not apply to me, my spouse or other family members.
☐ Yes.

Educational Philosophy -Proposed Board of Trustees Only

23. Please explain your understanding of the charter school's mission and/or philosophy. Prepare students for career pathways that will be rewarding in the future global marketplace.

24. Please explain your understanding of the educational program of the charter school. Program features ~~allege~~ curriculum paths that link to partners (community college, industry partners, etc.) to enable successful and productive ~~[illegible]~~ development of knowledge and skills necessary for progress forward.

25. Please indicate what you believe to be the characteristics of a successful charter school. Please provide the specific steps you think the board of the charter school will need to take to ensure that this charter school is and remains successful.

- Enriching, encouraging ~~[illegible]~~ culture that enables students to realize their potential.
- Leadership necessary to instill and drive that culture in a community that is very challenged.
- Curriculum that enables students to find their own path and purposes them to be successful in it.
- Board needs to define culture necessary for success and attract and retain leadership to deliver.

STATEMENT OF ASSURANCE—PROPOSED TRUSTEES ONLY

I, James M. Sperry (name of proposed board member) state that I am the applicant for board member approval and I have read the questionnaire and any supporting documents and know the contents thereof; that the same is true to my knowledge except as to the matters therein stated to be alleged upon information and belief, and as to those matters I believe it to be true and further acknowledge that I am aware of the fact that, pursuant to Penal Law §175.30, a person who knowingly offers a false instrument for filing to a public official or public servant is guilty of Offering a False Instrument for Filing in the 2nd Degree, a Class A Misdemeanor.

[redacted]

06/07/2022
Date

Rochester Career and Technical Education Charter School

A Life Empowering Learning Model

Leading to a Diploma that Counts

At Rochester Career and Technical Education Charter School (RCTECS or the School) students in grades 6-12 gain the skills, knowledge, habits, and mindsets to empower their futures and transform their communities. Our highly supportive and career-focused program is designed to serve students who were historically underserved, or who have faced hardship or struggle in previous school settings. RCTECS and its Innovation Center, open to the community, will develop **a diverse talent pipeline for the future of Rochester and New York State.**

Our program is built on best practices in the science of learning and trauma-informed care to ensure our students:

- ➔ **Develop agency, ownership, and well-being**
- ➔ **Increase social mobility and develop the skills needed for high-demand careers**
- ➔ **Gain critical skills for college and lifelong learning**

To achieve this we offer a strong **cross-curricular literacy program** and career embedded learning, which are supported by trauma responsive **social-emotional learning**. This combination of programming ensures that our students access **rigorous academics** and gain the skills and knowledge for multiple **career pathways**.

In addition to our unique student programs, our model is distinct in its partnership with the **community**. From the start, we have worked with the community to understand their needs and provide programs tailored to the needs of families, employers, and other community partners. The community we create on campus is equally as important. For our students, we build a school family based on connection and mutual support. For our teachers, the sense of collaboration, mutual support, and continuous learning is equally powerful.

Foundational to this work is the dedication of our highly trained educators, the support of deeply passionate community partners, and our commitment to not just diversity and equity, but ultimately **inclusion, justice,** and multigenerational positive change designed for and with students.

Our educational model is based on educational and learning science research, feedback from the community, and best practices in education. Here is a deeper view at our signature program and practices. Our students are:

College Prepared	*We have a rigorous academic program with a strong focus on literacy and communication. Students learn to be critical consumers of text and digital information across a range of genres and content areas. In addition, we emphasize the importance of oral, written, and media communication through classroom discussions, presentations of learning, publication opportunities, CTE pathways and other learning explorations and internships. Students have multiple pathways to high school graduation with a Regents or Advanced Regents diploma, and the option to earn credits towards institutions of higher education.*
Wellness Centered	*Emotional and physical safety are the foundation for all learning and success. By infusing the student experience with social-emotional learning and attention to well-being, we help address inequities and empower young people to contribute to safe, healthy, and just communities (CASEL, 2015). These competencies are foundational to academic learning and build critical skills for students' future professional lives and are grounded in trauma-responsive care. Furthermore, they help students build the foundation for wayfinding skills such as agency, empathy, and goal achievement.*
Career Inspired	*Through strategic and thoughtful community partnerships, we offer two CTE pathways to students with support that follows them into their careers. Based on needs and opportunities in the community, students get to explore pathways for Health and Computer Sciences. These pathways allow students the opportunity to earn an industry-based certification and acquire the skills they need for their future professions and will be supported by a state of the art Innovation Center with lab learning. Additionally, aligned to upcoming future job needs in the Rochester and Finger Lakes region and NYS infrastructure projects, the school is creating a robust network for apprenticeships and internships in the skilled trades.*
Community Rooted	*At the heart of transformation is what we do with (and not to) the community. What makes our charter unique is the mutually beneficial and responsive relationship we have started and will continue to build. Community is also at the core of the student experience. They are part of one collective school family that will provide leadership opportunities and respond to the systemic and institutional barriers that our students face. We create a sense of community that creates opportunities for connection and leadership for all students. The ultimate goal of our work is to help students gain the skills they need to be agents of social and economic change in their community. We do this through our career and technical work, but also through school and community partnerships.*

RCTECS's CTE pathways offered will be a unique offering for students, families, industry and community stakeholders of Rochester. The School's plans include the development of an Innovation Center that will be available to local public and charter schools that cannot sustain CTE programs and facilities at their home sites. RCTECS and the Innovation Center will be an advanced training ground and support the development of a diverse talent pipeline for the future of Rochester, the Finger Lakes Region and New York State.

CERTIFICATION AND ASSURANCES STATEMENT

Proposed Charter School Name:	Rochester Career and Technical Education Charter School
Proposed School Locations (District):	Rochester City School District
Name of Exiting Ed. Corporation (If applicable):	N/A

I hereby certify that the applicant group/prospective Board of Trustees have all read Article 56 of the New York State Education Law, and understand the relationship between a charter school and the authorized chartering entity as defined in that statute. By submitting a charter school application to the Board of Regents, the applicant group/prospective Board of Trustees understands that the Board of Regents is the authorized chartering entity with the authority to approve our application to establish the proposed charter school and enter into a charter agreement setting forth the terms and conditions under which the Board of Trustees will operate the charter school. The applicant group/prospective Board of Trustees also understands that this charter school application serves as the first component of an application for a federal Charter Schools Program (CSP) Planning and Implementation Grant. We understand that if the charter application is approved and a charter is issued by the Board of Regents, the school is qualified to receive a CSP grant, pending available funding and final approval of additional materials – including budget materials - by NYSED and by the New York State Office of the Comptroller. We agree to complete all required budget information and assurances according to forthcoming instructions and a revised timeframe to be issued by NYSED.

I hereby certify that the information submitted in this application is true to the best of my knowledge and belief; and further I understand that, if awarded a charter, the proposed school shall be open to all students on a space available basis, and shall not discriminate or limit the admission of any student on any unlawful basis, including on the basis of ethnicity, race, creed, national origin or ancestry, gender, sexual orientation, disability, intellectual ability, measures of achievement or aptitude, athletic ability, age, religion, proficiency in the English language or a foreign language, or academic achievement. I understand that the Charter Schools Act allows, to the extent consistent with Federal law, "the establishment of a single-sex charter school or a charter school designed to provide expanded learning opportunities for students at-risk of academic failure or students with disabilities and English language learners."[1]

The applicant group also makes the following assurances pursuant to Section 7221b of the United States Code (USC), which will be incorporated into, and made a part of, the Charter School's charter, if granted, and be binding on the Charter School itself:

- An assurance that the charter school will annually provide the Secretary of the U.S. Department of Education and the State Education Department such information as may be required to determine if the charter school is making satisfactory progress toward achieving the objectives described in this application; [2]

[1] N.Y. Education Law § 2854(2)(a)
[2] 20 USC § 7221b(b)(3)(J)

- An assurance that the charter school will cooperate with the Secretary of the U.S. Department of Education and the State Education Department in evaluating the program assisted;[3] and
- That the charter school will provide such other information and assurances as the Secretary of the U.S. Department of Education and the State Education Department may require.[4]
- That the school will follow any additional procedures required by NYSED to ensure an orderly closure and dissolution process, including compliance with the applicable requirements of Education Law §§2854(2)(t), 219 and 220 and any Closing Procedures specified by NYSED.

I, *Enter name of Proposed Board Chair*, hereby certify that the information submitted in this Full Application to establish *Enter Name of Proposed Charter School* is true to the best of my knowledge and belief, realizing that any misrepresentation could result in disqualification from the application process or revocation after issuance of the charter.
Signature of Proposed [redacted]
Date: 06/26/2022

[3] 20 USC § 7221b (b)(3)(K)
[4] 20 USC § 7221b (b)(3)(N)

Rochester Career and Technical Education Charter School
A Life Empowering Learning Model
Leading to a Diploma that Counts

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Section 1: Mission, Key Design Elements, Enrollment, and Community

I.A. MISSION STATEMENT, OBJECTIVES AND GOALS

1. Mission Statement

Rochester Career and Technical Education Charter School (RCTECS or the School) will prepare students for career pathways in the future global marketplace. Through experiential learning, internships and post-secondary credits, students will access a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests.

2. Furthering the Objectives of the Charter Schools Act

a) Improve student learning and achievement;

RCTECS will improve student learning and achievement of students who are at risk of dropping out, have dropped out of school or whose formal education has been interrupted by re-engaging and enrolling them in RCTECS's educational program.

b) Increase learning opportunities for all students, with special emphasis on expanded learning experiences for students who are at-risk of academic failure;

RCTECS will seek to serve students who are at-risk of academic failure. At least two thirds of students will qualify as being identified in one or more of the NYSED priority categories: court involved or adjudicated youth, in the foster care system, interrupted formal education, living in temporary housing, McKinney Vento eligible, over-age and under credited.

c) *Encourage the use of different and innovative teaching methods;*

RCTECS will increase learning opportunities for students using an educational model for students at-risk of academic failure that utilizes different and innovative teaching methods. Please see ***I.B and II.C.*** for a detailed description of the key design elements and how they will support increased opportunities and expanded learning experiences using different and innovative teaching methods for RCTECS's target student population.

d) Provide parents and students with expanded choices in the types of educational opportunities that are available within the public-school system;

Rochester City School District (RCSD) does not offer the CTE pathways that will be part of RCTECS's design. RCTECS will be a unique offering in RCSD for students, families, industry and community stakeholders.[1]

e) Provide schools with a method to change from rule-based to performance-based accountability systems by holding the schools established under this article accountable for meeting measurable student achievement results;

RCTCS will adopt the academic, operational, financial and compliance goals outlined in the NYSED Charter School Performance Framework. The School has familiarized itself with the framework and CEI is an expert on the framework, providing governance training on the framework to other NYSED-authorized charter schools.

3. School Goals.

As required by the New York State Board of Regents, RCTCS will adopt the NYSED Charter School Performance Framework. As a school designed to serve students who have either dropped out or who are in danger of dropping out of school, RCTCS has closely reviewed Benchmark 1 goals, in particular, and details those below that the school believes reflect a commitment to student progress in line with its mission and educational program.

NYSED Charter School Performance Benchmark 1: Student Performance Indicators

[1] https://www.rcsdk12.org/Page/57247

1.a. Accountability: For all students and subgroups, an ESSA Accountability Designation of Good Standing.
1.b. Similar School Comparison: Comparison of the performance of all schools in NYS with similar grade configurations and similar population of students identified as students with disabilities, English language learners/multilingual learners, and economically disadvantaged students. Performance is based on charter schools' aggregate proficiency compared to similar schools (district schools and/or charter schools) on 3-8 ELA, math, and science assessments and high school cohort graduation rate outcomes. Comparative proficiency will be at least or greater than the mean.
2.a. Trending Toward Proficiency (Growth): i) Aggregate Standards-Based Trend Toward Proficiency – Math and ELA: 80% of students in the School will maintain a proficient testing level (3 or 4) or trending toward proficiency from one year's test administration to the next. ii) Subgroup Standards-Based Trend Toward Proficiency – Math and ELA: 80% of students with disabilities, English language learners/multilingual learners, and economically disadvantaged students in the School will maintain a proficient testing level (3 or 4) or trending toward proficiency from one year's test administration to the next.
2.b. Proficiency: i) Aggregate School Level Proficiency – Math, ELA, and Science: The % of students who score proficiently on 3-8 State assessments for all students at the school level will meet or exceed the district proficiency rate. ii) Subgroup School Level Proficiency – Math, ELA, and Science: The % of students who score proficiently on 3-8 State assessments by subgroup for students with disabilities, English language learners/multilingual learners, and economically disadvantaged students at the school level compared to the district proficiency subgroup rate. iii) Aggregate Grade Level Proficiency – Math, ELA, and Science: The % of students who score proficiently on 3-8 State assessments for all students by grade level will meet or exceed the district proficiency rate. iv) Subgroup Grade Level Proficiency – Math, ELA, and Science: The % of students who score proficiently on 3-8 State assessments by subgroup for students with disabilities, English language learners/multilingual learners, and economically disadvantaged students by grade level will meet or exceed the district proficiency subgroup rate.
3.a. Regents Exams Outcomes: i) Aggregate Total Cohort Regents Testing Outcomes: For all students, 4-year, 5-year, and 6-year cohort Regents testing outcomes equivalent to the state passing rate for ELA, Mathematics, Science, Global History and Geography, and US History and Government, or a NYSED approved equivalent, with an emphasis on the final testing outcome for students. Passing shall be defined as obtaining a Regents exam score of 65 or higher. ii) Subgroup Total Cohort Regents Testing Outcomes: 4-year, 5-year, and 6-year cohort Regents testing outcomes equivalent to the state passing rate for ELA, Mathematics, Science, Global History and Geography, and US History and Government, or a NYSED approved equivalent, by subgroup with an emphasis on the final testing outcome for students. Passing shall be defined as obtaining a Regents exam score of 65 or higher. iii) Aggregate College and Career Readiness: For all students, 4-year cohort Regents testing outcomes equivalent to the State College and Career Readiness Rate for ELA and Mathematics, or a NYSED approved equivalent, for graduating students. College and career readiness shall be defined as obtaining a Regents exam score of 75 or higher on the ELA Regents test and 80 or higher on any Regents Math test. iv) Subgroup College and Career Readiness: 4-year cohort Regents testing outcomes equivalent to the State College and Career Readiness Rate for ELA and Mathematics, or a NYSED approved equivalent, for graduating student subgroups. College and career readiness shall be defined as obtaining a Regents exam score of 75 or higher on the ELA Regents test and 80 or higher on any

Regents Math test.
3.b. Graduation Outcomes: i) Aggregate Cohort Graduation Rate: For all students, 4-year (August), 5-year (August), and 6-year (June) graduation rate equivalent to the state graduation rate for all students with an emphasis on the final graduation outcome for students. ii) Subgroup Cohort Graduation Rate: 4-year (August), 5-year (August), and 6-year (June) graduation rate equivalent to the state graduation rate for students identified as students with disabilities, English language learners/multilingual learners, and economically disadvantaged students with an emphasis on the final graduation outcome for students. iii) Aggregate On-Track to Graduate: % of all students in a cohort equivalent to the state graduation rate in a cohort who have passed 3 out of 5 Regents exams, or a NYSED approved equivalent, required for graduation by August of the end of the student's 3rd year of high school (overage/under-credited school cohorts will be measured by their 4th year of high school in passing 3 out of 5 Regents exams by August of that year). iv) Subgroup On-Track to Graduate: % of a cohort by subgroup equivalent to the state graduation rate that has passed 3 out of 5 Regents exams, or a NYSED approved equivalent, required for graduation by the end of the student's 3rd year of high school (overage/under-credited school cohort subgroups will be measured by their 4th year of high school in passing 3 out of 5 Regents exams).

I.B KEY DESIGN ELEMENTS

Rochester Career and Technical Education Charter: A Life Empowering Learning Model

Leading to a Diploma that Counts

At Rochester Career and Technical Education Charter School (RCTECS or the School) students in grades 6-12 gain the skills, knowledge, habits, and mindsets to empower their futures and transform their communities. Our highly supportive and career-focused program is designed to serve students who were historically underserved, or who have faced hardship or struggle in previous school settings.

Our program is built on best practices in the science of learning and trauma-informed care to ensure our students:

- ➔ Develop agency, ownership, and well-being
- ➔ Increase social mobility and develop the skills needed for high-demand careers
- ➔ Gain critical skills for college and lifelong learning

To achieve this we offer a strong **cross-curricular literacy program** and career embedded learning, which are supported by trauma responsive **social-emotional learning**. This combination of programming ensures that our students access **rigorous academics** and gain the skills and knowledge for multiple **career pathways**.

In addition to our unique student programs, our model is distinct in its partnership with the **community**. From the start, we have worked with the community to understand their needs and provide programs tailored to the needs of families, employers, and other community partners. The community we create on campus is equally as important. For our students, we build a school family based on connection and mutual support. For our teachers, the sense of collaboration, mutual support, and continuous learning is equally powerful.

Foundational to this work is the dedication of our highly trained educators, the support of deeply passionate community partners, and our commitment to not just diversity and equity, but ultimately **inclusion, justice,** and multigenerational positive change designed for and with students

1. List and Description of RCTECS' Key Design Elements

Our educational model is based on educational and learning science research, feedback from the community, and best practices in education. Here is a deeper view at our signature program and practices. Our students are:

College Prepared	*We have a rigorous academic program with a strong focus on literacy and communication. Students learn to be critical consumers of text and digital information across a range of genres and content areas. In addition, we emphasize the importance of oral, written, and media communication through classroom discussions, presentations of learning, publication opportunities, CTE pathways and other learning explorations and internships. Students have multiple pathways to high school graduation with a Regents or Advanced Regents diploma, and the option to earn credits towards institutions of higher education.*
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Career Inspired	*Through strategic and thoughtful community partnerships, we offer two CTE pathways to students with support that follows them into their careers. Based on needs and opportunities in the community, students get to explore pathways for Health and Computer Sciences. These pathways allow students the opportunity to earn an industry-based certification and acquire the skills they need for their future professions and will be supported by a state of the art Innovation Center with lab learning. Additionally, aligned to upcoming future job needs in the Rochester and Finger Lakes region and NYS infrastructure projects, the school is creating a robust network for apprenticeships and internships in the skilled trades.*
Community Rooted	*At the heart of transformation is what we do with (and not to) the community. What makes our charter unique is the mutually beneficial and responsive relationship we have started and will continue to build. Community is also at the core of the student experience. They are part of one collective school family that will provide leadership opportunities and respond to the systemic and institutional barriers that our students face. We create a sense of community that creates opportunities for connection and leadership for all students. The ultimate goal of our work is to help students gain the skills they need to be agents of social and economic change in their community. We do this through our career and technical work, but also through school and community partnerships.*

2. Rationale, Supporting Research and Evidence of Effectiveness

By creating a model combining rigorous academics and also robust pathways to careers, we will prepare students for successful futures. We have been inspired by other models that have been

successful in this work. For example:

- Health Sciences High and Middle College: HSHMC's mission is for students to receive a diploma that matters. The Healthcare focused CTE and internship programs coupled with a rigorous academic program have led to positive outcomes for students.
- Da Vinci RISE High: RISE High students master a real-world, project-based college- and career-ready curriculum. Their impact report demonstrates that a career focused model is working for students and communities.
- Thomas Edison High School: The mission of Thomas A. Edison Career and Technical Education High School is to develop leaders of tomorrow by preparing all students to meet the high academic, technical, civic and workforce challenges of the twenty-first century. Thomas Edison CTE High School continues to be a lead innovator in new program creation, high value partner collaboration (Apple, Amazon, GNYADA) and student achievement. The diverse study body rivals the performance of elite schools across NYC and beyond.
- Brooklyn STEAM Center: The Brooklyn STEAM Center delivers innovative, industry-informed experiences which empower students to take charge of their futures, and creates a diverse, skilled talent pipeline for the technology and manufacturing industries. The Brooklyn Steam Center provides eight schools access to five NYSED approved CTE courses of study through shared instruction. This innovative model is being expanded and replicated throughout NYC.
- The Young Women's Leadership School of Astoria: TYWLS of Astoria nurtures the intellectual curiosity and creativity of young women by supporting the 'whole girl' in order to maximize academic achievement, social emotional well-being, and postsecondary success. TYWLS of Astoria has created a community of lifelong learners and has been working towards preparing low income and minority women from diverse backgrounds for college and other postsecondary experiences.

Additionally, our key design elements are supported by employers. In particular, our focus on wellness and social emotional learning complement academic learning and lead to critical employability skills. In fact, many employers prioritize these skills when hiring. The National Association of Colleges and Employers (NACE) conducted a survey that found the top skills employers want from workers align with SEL competencies.[2]

An important element of our model is that we are rooted in community and at the heart of this is our commitment to diversity, equity, inclusion and justice (DEIJ). We are a place where all students, families, teachers, staff and partners feel a sense of community and are valued, safe, supported, and welcomed. According to holistic student research, students are entering the classroom with a wider worldview that challenges the traditions of educational practices (Hamrick and Klein, 2015). The current student profile illustrates that students are more aware of political and social influences, economics constructs, diverse gender themes, and conscious about race and cultural identities (Hamerick and Klein, 2015).

The design elements in our model support students to graduate ready for college, career and life. Additionally, please see ***II.A.*** and ***II.C.***

3. Waivers of Federal Statutory or Regulatory Provisions

[2] Naceweb.org. 2022. *Problem-solving Skills Top Attributes Employers Seek on Resumes*. [online] Available at: <https://www naceweb.org/talent-acquisition/candidate-selection/problem-solving-skills-top-attributes-employers-seeking-on-resumes/> [Accessed 23 August 2022].

RCTECS is not requesting waivers of any federal statutory or regulatory provisions.

I.C. STUDENTS AND EDUCATIONAL MILIEU

1. Educational Options and Academic Data about Rochester City, NY:

Rochester has 31 public elementary schools, 15 public secondary schools, and 7 alternative programs. The 2020-2021 Rochester City School District (RCSD) enrollment for grades 6-12 was 12,718 students. There are approximately 75 private schools in Rochester or Monroe County. The 2015 6-year June cohort graduation rate was 71%, 17 percentage points lower than the state's 2015 6-year June cohort graduation rate of 88%. The RCSD 6-year June cohort dropout rate was 26%, 18 percentage points higher than the state dropout rate of 6%. In RCSD, 6% of students earned a Regents with Advanced Designation diploma, while 34% of NYS students earned the Regents with Advanced Designation diploma.

RCSD 6-8 NYS Assessment Proficiency Percentages (Students Achieving Levels 3 or 4)

Years	6th	7th	8th
ELA			
2016-2017	5%	7%	9%
2017-2018	13%	6%	11%
2018-2019	14%	10%	10%
MATH			
2016-2017	6%	5%	16%
2017-2018	9%	7%	19%
2018-2019	12%	8%	2%

RCSD and NYS 6-Year Graduation Rates

Years	RCSD	NYS
2016-2017 (2011 June Cohort)	60%	84%
2017-2018 (2012 June Cohort)	61%	85%
2018-2019 (2013 June Cohort)	65%	86%
2019-2020 (2014 June Cohort)	68%	87%
2020-2021 (2015 June Cohort)	71%	88%

RCSD and NYS 4-Year Graduation Rates

Years	RCSD	NYS
2016-2017 (2013 August Cohort)	53%	82%
2017-2018 (2014 August Cohort)	57%	82%

2018-2019 (2015 August Cohort)	63%	83%
2019-2020 (2016 August Cohort)	68%	85%
2020-2021 (2017 August Cohort)	71%	86%

2. Target Student Population to be Served, Including the Anticipated Percentages of Students Meeting Priority NYSED Key Design Criteria, SWDs, ELLs, and ED

The RCSD student population in the 2020-2021 school year was approximately 23,359 students. Approximately 16% of the students were English language learners (ELL), 22% of the students were students with disabilities (SWD), and 89% were economically disadvantaged (ED) students.[3]

RCTECS will be located within the City of Rochester. RCTECS intends to serve students living in zip codes 14608 as well as surrounding zip codes including, but not limited to 14606 and 14611. Many of the students served live in the southwestern quadrant of the city, which includes, but is not limited to, census tracts 75, 62, 63, 64, 65, 67, 96, and 27. While RCTECS intends to serve students in these zip codes and census tracts, the School will serve interested students in the Rochester area, and anticipates similar ELL, SWD, and ED percentages as the Rochester City School District.

The economic, health and social data for the City of Rochester compared to the country where it is located, Monroe County, and the nine-county region that make up the Greater Rochester area demonstrate the need for a middle and high school focused on college preparedness, career readiness and access, and wellness, which are the key design elements of RCTECS:

Economic disparity: The total income in the City of Rochester is approximately $4.3 billion while the Rochester region's total income is $34 billion. While the city is home to 17% of the region's population, it only accounts for 12.6% of the region's gross income.[4]

Poverty: In 2016-20, 13% of both white and Asian children in the region were living in poverty. By contrast, 36% of Hispanic children and 46% of African American children in the region were living in poverty. While the region's Asian and white children had fairly similar rates of poverty as their statewide and national counterparts, the percentage of African American and Hispanic children in poverty within the region was substantially higher than among those groups in New York State or the nation as a whole. In the City of Rochester, 50% of Hispanic and 53% of African American children were living in poverty. Among African American and Hispanic children, poverty was concentrated in the City of Rochester in 2016-20, with 81% of the region's African American children who are in poverty living in the City, and 66% of Hispanic children.[5]

Disengaged Youth: In 2016-20, 6% of the region's youth, ages 16 and 19, were neither working nor in school, about the same as the state and nation (6% and 7% respectively). Monroe County's rate (6%) was similar to the region as a whole. For the City of Rochester, 9% of youth, ages 16 and 19, were neither working nor in school.[6]

Trauma: Young people in Rochester have experienced a considerable rate of complex trauma which experts tell us can lead to negative outcomes in learning, self-concept, health, and future

[3] https://data.nysed.gov/profile.php?instid=800000050065
[4] U.S. Census - American Community Survey for 2014-18.
[5] "ACT Rochester." *ACT Rochester*, https://www.actrochester.org/children-youth/children-in-poverty-race-ethnicity. Accessed 21 August 2022.
[6] "ACT Rochester." *ACT Rochester*. https://www.actrochester.org/economic-security/disengaged-youth-ages-16-to-19. Accessed 21 August 2022.

economic prospects.[7] Data from 2020 revealed that 48% of Rochester's youth under 18 are living in poverty, compared to 19% of children statewide.[8] Abuse and neglect are increasing in the Rochester area: 20 out of every 1000 children are abused or neglected, a rate well above the national average.[9]

RCTECS is actively recruiting for at least 67% of the students served to fall into one or more of the following categories, which have been identified by NYSED's as a priority as well:

- Court involved or adjudicated youth
- Gang involved youth
- In the foster care system
- Interrupted formal education
- Living in temporary housing
- McKinney Vento eligible
- Over-age and under credited

The design of RCTECS is to intentionally serve students that fall into one or more of these categories by implementing a quality program, grounded in the Key Design Elements.

3. Educational Needs of the Community That Will Be Met by RCTECS

RCSD has consistently fallen short of NYS graduation rates and assessment proficiency standards, as illustrated in the tables below.[10] The percentage of individuals with high school diplomas and bachelor's degrees in the tables further highlight the community's legacy of limited academic achievement.

Table	**New York State**	**Rochester**	**Zip Code 14608**
% With at Least a High School Diploma	87.2%	90.8%	75%
% With at Least a High School Diploma (Black/African American)	84.4%	78.9%	75%
% With at Least a High School Diploma (Hispanic or Latino)	71.4%	75.1%	70.3%
% With at Least a Bachelor's Degree	37.5%	35.6%	25%
% With at Least a Bachelor's Degree (Black/African American)	24.9%	15.2%	11.1%
% With at Least a Bachelor's Degree (Hispanic or Latino)	20.5%	17.9%	8.8%
% Under Poverty Line for Individuals with Less than High School Diploma	27.4%	29.5%	62.5%

Coupling the summary of academic achievement with the poverty rate and racial demographics by zip code for individuals without high school diplomas emphasizes the need for different paths to high school graduation in the community.

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[7] "Effects | The National Child Traumatic Stress Network." *The National Child Traumatic Stress Network |*, https://www.nctsn.org/what-is-child-trauma/trauma-types/complex-trauma/effects. Accessed 15 August 2022.

[8] "ACT Rochester." *ACT Rochester*, https://www.actrochester.org/children-youth/children-in-poverty. Accessed 15 August 2022.

[9] "ACT Rochester." *ACT Rochester*, https://www.actrochester.org/children-youth/rate-of-child-abuse-and-neglect. Accessed 15 August 2022.

[10] https://data.census.gov/cedsci/table?q=educational%20attainment&g=0400000US36_310XX00US40380_860XX00US14608,14611,14619,14620&tid=ACSST5Y2020.S1501

RCTECS's Key Design Elements, outlined in ***I.B***., are designed to ensure that the school provides a path to improved graduation rates and increased likelihood of post-secondary success for its intended students. The design of RCTECS is reflective of the current and projected labor market analysis and economic development of Rochester and the Finger Lakes Region.[11]
According to the Finger Lakes Regional Economic Development Council (FLREDC) Annual Report, there is evidence that regional industries are rebounding after the impact of the pandemic. As of April 2020, the increase in jobs in Trade, Transportation, and Utilities was 2,600, Construction 1,500, Health Care and Social Assistance 1,500, Manufacturing 1,400, and Professional and Business Services 1,400.
The median salary for skilled construction trades, manufacturing, and IT are $67,600, $75,354-$82,121, and $94,051. In both manufacturing and IT, job openings far exceed applicants. By preparing students with the tools to be successful in these sectors, RCTECS can support the needs of both its students and the community.
FLREDC has 5 strategic industry pillars from its 2021 Annual report that will be supported by the direct pathways or the acquired knowledge and skills at RCTECS.

- **Agribusiness & Food Production** which is forecasted to add several thousand jobs annually throughout the decade.
- **Health Care Delivery** where an estimated 20,090 more health care jobs will exist in 2028 than 2018, an increase of over 25%.
- **Information Technology** jobs span sectors and pay exceptionally well with a median salary of $94,051. This is coupled with an IT workforce shortage and the increasing presence of cyberattacks is one of the most pressing needs in the region.
- **Manufacturing** throughout the region continues to rebound from the pandemic, especially companies with a specific focus such as Optics, Photonics & Imaging; Cleantech & Renewable Energy; and Bio-Tech & Life Sciences. Jobs in this sector remain high paying and plentiful.
- **Skilled Construction Trades** jobs increased by 7.7% between 2016 and 2021, and increases should continue over the next decade. Federal and State public infrastructure investments ensure a sustained flow of projects over the next several years.

While RCTECS aligns with the 5 strategic pillars from the FLREDC, the School stands out due to the impact that it will have in addressing the gap between minority workforce participation and employment status relative to white residents in the Finger Lakes Region. In the Finger Lakes Region, there is a consistent negative differential in the labor force participation and unemployment rate between minority individuals and White individuals. This pattern underscores the need for programs like RCTECS to target the population that the School intends to serve.
The FLREDC reports that employers have emphasized a desire to connect with those still in the K-12 education system and introduce youth to potential career opportunities. Initiatives, such as the Finger Lakes Youth Apprenticeship Program, provide an essential link between employers and Career & Technical Education (CTE) programs in public schools. RCTECS would complement this program and provide valuable connections for students and employers, given the unique nature of the RCTECS design and instruction.
RCTECS can satisfy the request from FLREDC to connect youth with the training infrastructure that has been built to ensure the workforce meets the demands of the economy. RCTECS is engaged in conversations to create partnerships and opportunities for students with local colleges

[11] https://regionalcouncils.ny.gov/sites/default/files/2022-08/2022_Finger_Lakes_Progress_Report.pdf

and universities like Monroe Community College and SUNY Brockport, the latter from whom RCTECS has secured a letter of support. See ***Attachment 2c.*** At its newly opened Finger Lakes Workforce Development (FWD) Center, MCC provides summer programming to K–12 students, introducing them to STEM career fields. Another innovative Rochester program just launched is Foundry's ROC The Block fellowship program, empowering recent RCSD graduates to become contributing members of the blockchain community through education, exposure, expertise, and employment. The pathway program encourages recent RCSD graduates to join a two-year industry-based curriculum within Foundry, providing hands-on training, competitive salaries, and benefits.[12] The coursework and Key Design Elements at RCTECS will prepare students to engage in programs like Finger Lakes Workforce Development (FWD) Center, and can support the FWD Center by creating a pathway for students that enter the program with a strong foundation in the area of interest.

4. Rationale for Selecting the School Community and Target Population

Rochester is designated as a Target District by New York State.

Rochester has a higher proportion of schools identified as Comprehensive Support and Improvement (CSI) than Buffalo, Syracuse, and Yonkers. (Districts of comparable size in NYS)

RCSD's graduation rate has stayed below 70% for the last 20 years.

The tables above, highlighting the overall graduation rate, graduation rate for Black/African American students, graduation rate for Hispanic/Latino students, and the educational attainment data from the community support the selection of the Rochester community and target population for RCTECS.

RCSD does not offer either of the CTE pathways that will be part of RCTECS's design.

RCTECS will be a unique offering in RCSD for students, families, industry and community stakeholders.[13]

5. The School will enhance, expand, and the complement educational options in Rochester, and use innovative methods that differ from RCSD

RCTECS's Key Design Elements, outlined in ***I.B***., will drive its efforts in enhancing the educational options for Rochester students. The implementation of research based curriculum that leads students to individualized pathways to post-secondary education or industry certification is an innovative addition to the current options for Rochester students. The pathways in Data Analytics and Computing Sciences as well as the pathways in Health Sciences complement the current RCSD options and pair well with the post-secondary options in the Rochester area for both education and employment. At this time, RCSD does not offer either of the CTE pathways that will be part of RCTECS's design. RCTECS's Key Design Elements of literacy instruction embedded into the curriculum will support accelerated reading and writing development for students while the Data Analytics and Computing Sciences pathways will shape the accelerated development of conceptual understanding and procedural fluency in mathematics. The emphasis on family, community, and industry partners support the authentic and unique nature of Rochester Career and Technical Education Charter School's design and complementary addition to the educational options in Rochester.

6. Assessment of the depth and commitment of community support and/or opposition within the proposed sending district(s)/region for the proposed school

[12] https://www.prnewswire.com/news-releases/foundry-director-of-economic-and-community-development-adrian-hale-named-2022-ignite-award-finalist-301599713.html

[13] https://www.rcsdk12.org/Page/57247

Community support for the school has been overwhelmingly positive. The School has had hundreds of one-on-one conversations with stakeholders including local elected officials, Board of Regents representatives, local community organization leaders and potential parents and students. See ***I.E.***

Community assets will be leveraged through partnerships described above in ***3.*** and those already underway. RCTECS is enthusiastic about the opportunity to partner with the following organizations active and embedded in Rochester and the Finger Lakes region to provide a pipeline of diverse talent for the future of Rochester. See letters of support in ***2.c*** from:

- Executive Director of the Rochester Technology and Manufacturing Association (RTMA), which represents over 85 advanced manufacturing employers in the Finger lakes Region. RTMA's purpose is to involve youth in advanced manufacturing workforce development while still in high school.
- Executive Director of the Hillside Work-Scholarship Connection, a nationally recognized youth development program that helps at-risk youth stay in high school and graduate with the skills and confidence necessary to enter college or the workforce.
- Director of Economic & Community Development of Foundry's ROC The Block fellowship program empowering recent RCSD graduates to become contributing members of the blockchain community through education, exposure, expertise, and employment.
- Department Chair of African and African American Studies at SUNY-Brockport
- President and CEO of the Greater Rochester Chamber of Commerce
- UPREP Charter School for Yong Men of Rochester
- Executive Director of KMT Foundation, whose mission is to ensure children growing up in impoverished homes in Rochester receive a caring and rigorous education which will prepare them for college, career, and for life.

7. How the school will engage with, enroll, and retain students who meet the criteria of the school's chosen priority school design(s).

RCTECS will engage with, enroll, and retain a diverse group of students, including those who are over-aged and under-credited and those at risk of not graduating. The RCTECS administrative team will continuously gather and analyze data on engagement, enrollment, and retention of students to ensure that the enrollment and retention efforts of the School promote equity.

Students with Disabilities: RCTECS will actively seek out students with disabilities and will consistently review data on their enrollment and retention rates (for both IEPs and Section 504 plans). The School will look for any indications that such students do not perceive the school as a supportive place that is open to diverse learners, including students with significant needs.

Multilingual Learners/English Language Learners: RCTECS will actively seek out English Language Learners and multilingual students and will consistently review data on their enrollment and retention rates. Applications and marketing materials for the School will be distributed in multiple languages. The School will assess language skills and tailor support to meet the needs of students.

Economically Disadvantaged Students: Given the intended target population and community to be served, RCTECS expects to enroll predominantly students from families that are economically challenged. The School will ensure that all students are thriving in the school, will provide appropriate supports, will closely track retention and program-completion data and will make programmatic and operational adjustments as needed to sustain strong outcomes.

8. Connections the applicant group has made with RCSD and how the proposed school will work to disseminate and learn from effective educational practices.

The applicant group will disseminate and learn effective academic and social-emotional support practices from other educational organizations, such as district, charter, and non-public schools on an ongoing basis. The applicant group plans to partner with the Center for Educational Innovation (CEI), a nonprofit educational organization that partners with both district and charter schools. CEI is committed to sharing educational practices and seeks to create an innovation hub to cross-pollinate effective practices across sectors. CEI is in contact with Rochester City School District senior leadership about partnerships, as well as Rochester-area charter organizations like E3 (see letter of support in ***2.c***.) and the NY Charter Schools Association. CEI attended a meeting of charter school leaders of the local charter association to share information, and CEI has been involved in and in discussions locally with other educational organizations and efforts including the Rochester Education Fellowship and EdTrust – NY.

Once the RCTECS is launched, the School's plan includes the development of the Innovation Center to share practices across district and charter schools, and the greater Rochester community as a whole. CEI staff have first-hand experience in district-charter cross-collaboration previously in Rochester as district senior staff, and will facilitate meetings to share information and solicit feedback from the community on an ongoing basis, similar to the receivership school public hearing model by NYSED in which information is shared about the school and input is solicited for school improvement efforts. The Innovation Center will act as the research and dissemination arm of the school, with similarities to the Center for Urban Success which supports the East High School-University of Rochester partnership. The CEI partnership with RCTECS will ensure ongoing dissemination and learning effective practices.

I.D APPLICANT GROUP HISTORY AND CAPACITY

1. Members of the applicant group

Roderick Green: Roderick Green ("Rod") was named Executive Director of Hillside Work-Scholarship Connection (HW-SC) in April 2019, after 15 years with the organization. In the role he is responsible for providing leadership to this nationally recognized, evidence-based program which enables at-risk students to graduate from high school and be prepared for college, career, or the military. HW-SC currently serves over 3,000 urban students in Rochester, and Syracuse, NY as well as Prince George's County, Maryland. Prior to joining Hillside, he held management positions with Lifetime Health, a subsidiary of Excellus Blue Cross and Blue Shield of Rochester and Westside Health Services Inc., and the State University of New York, College at Brockport where he taught GED English as an adjunct faculty member at the Rochester Educational Opportunity Center. Rod has volunteered his time in the community, he served on the boards of directors at Penfield Youth Basketball; Leadership Rochester; Founding Board of Trustee Member for Rochester Career Mentoring Charter School; Mind Body Soul of Rochester; Rochester Area Fencing Foundation; and on the advisory board of Bryant and Stratton Colleges Health Services Administration Program. In 2010, he was selected by the Rochester Business Journal as a Forty Under 40 award recipient. In 2009, he was appointed by former Mayor Robert Duffy to the Monroe County/Rochester Youth Council. He received his Masters of Public Administration from State University of New York College Brockport and his Bachelors of Arts from North Carolina Central University in Durham,
North Carolina.

Rachel Musiker: Rachel writes about the national housing market for Redfin. Having recently relocated back to Rochester, NY, Rachel joined Redfin in 2010 as a real estate agent in

Washington, D.C., and joined the company's communications team in 2011. At Redfin, Rachel has built and run Redfin's editorial content strategy, managing a team of full-time data journalists who publish ~20 housing market articles per month, which are the primary driver of the company's earned media coverage. She founded and grew Redfin's in-house PR team, which includes media relations professionals, data journalists, data scientists and the company's Chief Economist. Redfin is a full-service real estate brokerage that uses modern technology to make clients smarter and faster. Rachel holds a Bachelors of Science from Cornell University.

David Simkins: David Simpkins is an Associate Professor at the School of Interactive Games and Media of Golisano College of Computing and Information Sciences at the Rochester Institute of Technology. He is a well published researcher and former project manager, where he led a team of 15 curriculum designers and programmers developing web-based training and classroom training for an enterprise case management system for the state of Oregon's department of human services. David holds a PhD Curriculum and Instruction from the University of Wisconsin-Madison, a MS in Curriculum and Instruction from the University of Wisconsin-Madison, and a Bachelor of Science from Earlham College.

James Sperry: James Sperry is a senior vice president and managing director for Tompkins Financial Advisors. He is responsible for establishing and executing the wealth management strategy for the western New York region. With more than 20 years of experience in consulting, business development and new venture creation, Jim was named managing director in 2016. Prior to his new role, he was vice president of Tompkins Insurance Advisors and directed the risk management group where his primary role was to lead the growth of that practice area. He worked with high net worth families, executives and business owners to help them protect and grow their assets, transition their businesses, and secure their legacies. James earned his Bachelor of Arts degree with Honors in geosciences from Williams College in 1987, his Ph.D. in engineering from Duke University in 1997, and his MBA from the Simon Graduate School of Business Administration at the University of Rochester in 2002. He holds the FINRA Series 6, 63, and 65 registrations, a Life and Health Insurance license in numerous states, as well as appointments for Long Term Care, including New York State Partnership for Long Term Care.

Amari Tevell-Simpson: Amari is the Associate Director of Affinity Networks and Equity, Diversity, and Inclusion at the University of Rochester. While there, he has developed comprehensive strategies for building, managing, and/or supporting programing and events for Black and LGBTQ+ constituents. He has contributed to and executed on strategic communications plans to better engage underrepresented constituents and partners and co-hosts 21 virtual and in-person events with on-campus organizations and departments with over 1400 attendees. Amari holds a Doctor of Philosophy from the University of Illinois Urbana Champaign, a Master of Education from Boston University and a Bachelor of Arts from Middlebury College.

Jenifer Wheaton: Jenifer (Jen) Wheaton is a special education itinerant teacher for ages birth to five for Clinical Associates of the Finger Lakes. Students she serves reside in Monroe, Ontario, and Wayne counties and she continually coordinates across stakeholders with Early Intervention Service Coordinators, families, daycare providers and preschool teachers. Jen also has previous first-hand experience working in a Rochester area charter school and as a parent to two charter school students. She taught English in the Brighton Central School District (two years) and special education in the Rochester City School District (ten years). Jen is a teacher with 19 years of experience with students in grades preschool-12, and holds a M.S. and B.A. from Nazareth College.

2. How the applicant group formed, any pre-existing relationships among members

The applicant group formed through networking across the Rochester community for individuals passionate about education, the need for more high quality seats for students in Rochester and a commitment to career and technical education. There are no pre-existing relationships among members.

How the school design and application were developed: The school design was developed after a needs assessment of the education landscape in Rochester and input from the education community and industry and college partners. The applicant group also conducted extensive community outreach to inform the school model. The application was developed with pro bono support from CEI.

*How public outreach was conducted***:** Public outreach was conducted by Leslie Andino, community organizer. With a background in child protective services and human resources at Monroe County, Leslie used her professional relationships to network in Rochester to conduct grassroots organizing and engagement, including holding multiple public meetings and participating in community events and fairs to gather feedback and support on RCTECS's proposed educational design.

3. Primary author(s) of the final application

The primary authors of the final application were from CEI. CEI was not paid in any capacity by the applicant group.

I.E. PUBLIC OUTREACH

1. Describe who participated in public outreach on behalf of the founding group.

Public outreach was conducted by members of the founding group and by the Center for Educational Innovation (CEI), RCTECS's proposed comprehensive management organization partner. The following persons have been involved in public outreach:

- Roderick Green, RCTECS proposed board member
- David Simkins, RCTECS proposed board member
- Leslie Andino, RCTECS Community Organizer
- Mary Doyle, CEI Rochester, Director of School Improvement, Development, and Partnerships
- Karen L. Fahy, Ed.D, CEI Rochester, Executive Director of School Transformation and Accountability
- Dylan Burrows, CEI Data Analyst
- Michael Kohlhagen, CEI Chief Executive Officer
- Stephanie Mauterstock, CEI Executive Director of Charter Schools

2. Provide a summary of public outreach activities.

To date, RCTECS has coordinated four public meetings or focus groups and participated in four community events in different areas of Rochester held on May 19, June 1, June 9, and July 9, 2022. One was an in-person meeting at the Ryan Center in Rochester, NY, a popular community hub for activities and sports and three were virtual meetings to maximize participation. Over 30 community members participated in focus groups, during which there was in-depth discussion around Rochester's needs, the strengths and needs of its public schools and Rochester's future. During the public meetings, the mission, vision and founding group of RCTECS was shared and the following questions were posed for community feedback:

- What are key challenges facing Rochester today?
- How could a middle and high school support students with these challenges?
- What are the current strengths of Rochester's public schools?

- In what areas could Rochester's public schools better support middle and high school students?
- How could a new, small public school engage and prepare students for higher education?

The School also participated in dozens of community events and was able to engage with over 700 community members. This included community leaders, parents, family members as well as students. These events were held in the southwest quadrant of Rochester, the targeted student demographic. See ***Table 2.***

The School gathered input from community members through in person meetings, virtual meetings, and through the use of surveys. The School's efforts at informing community members about the proposed charter school includes posting of fliers at different community centers and libraries, providing fliers to community centers for distribution to students and families, and distributing fliers at events. Fliers included QR codes for additional information as well as the electronic survey. The school also utilized social media to advise the community of events and encourage participation and elicit input.

During meetings and events community members were advised of the intended location, the target student population, the grades to be served, and a description of the educational program(s) to be offered. Through these efforts, the School has engaged in conversations with over 700 community members, distributed over 500 fliers and obtained 146 RCTECS completed surveys.

See ***Table 2*** and ***Attachment 2b.*** for detailed notes and evidence of communication, meetings and events.

3. Describe any notable public input that significantly shaped the school design.

RCTECS held virtual and public meetings and participated in community events. RCTECS participated in the 13th Annual Peace Fest held at Jones Square Park, 170 Saratoga Ave, Rochester, NY 14608, which is a targeted zip code for RCTECS. The event was hosted by Roc the Peace and Youth for Peace. The focus of the event was youth encouraging youth to stop the violence. RCTECS also participated in a community event held for youth and families. The event was hosted by the B.L.A.S.T. Youth Ministry from Aenon Missionary Baptist Church of Rochester, NY and Molina Health. This event was held at 175 Genesee St Rochester, NY 14619 which is another targeted zip code for RCTECS.

Overall, the Rochester community is in favor of the new proposed charter school. Community members are aware of the challenges faced by students and are open to other educational options. During these events RCTECS was able to elicit input from the community via face to face conversations as well as written surveys. Based on conversations and completed surveys areas of concern have been identified:

Some key challenges facing Rochester today:

- Crime & violence in the community
- Poverty/ low wages/ unemployment
- Lack of commitment to the children in our community
- Basic disconnectedness between youth and elders
- Regarding organizations, too many silos not enough partnering and sharing of information and resources amongst agencies
- Low graduation rates
- Lack of leaders taking action
- Lack of safe housing

Ways RCTECS can support students facing these challenges:

- Schools should be child and family focused
- Higher levels of engagement with families throughout middle school and high school years
- Ongoing contact with caretakers of students, not just when the children have done something wrong
- Incorporate financial literacy curriculum
- Listen to the children and families, as opposed to thinking you know what best for them
- Have mentors for children
- Assist families with addressing basic needs
- Listen to student and family's concerns
- Monthly parent meetings requirement

Rochester public schools' strengths identified:

- Big budget
- Diversity
- Choices in focus areas/schools (School of the Arts)
- Some athletic programs are doing well and an increase in athletic scholarship recipients

Ways Rochester's public schools better support middle and high school students:

- Schools should be child and family focused
- Higher level of engagement with families
- Listen to the children and families, as opposed to thinking you know what best for them our
- Have mentors for the children
- Allow creativity in the child's learning & think outside of the box as opposed to cookie cutter curriculum
- Include local history regarding race, institutional racism and barriers faced due to race and socio-economic status, and how those barriers have evolved today
- Ensure schools are physically and environmentally safe
- Acknowledge positive behaviors, strengths, and hard work regularly
- Provide outlets (sports, out of county sports events, competitions)

Ways RCTECS can engage and prepare students for higher education:

- Have a higher & deeper concentration on development/creation of new technology not just how to use or operate it
- Financial literacy curriculum
- Provide a Montessori educational program
- Encourage communication between grade level teachers
- More hands-on education and field trips to historical sites, museums, etc.
- More exposure to and visits to colleges
- Small class sizes, best practice would be about 15
- Relationship building with kids and families
- Teach cursive handwriting, children are losing this skill
- Teaching coding and utilizing Open Source (a coding software code publicly accessible that allows for hands on learning and sharing with peers)
- Bring debating teams back
- Allow, encourage and help students identify their strengths and develop into leaders
- Connecting students to colleges and organizations that provide vocational and higher education services

- Mentors
- Field trips/ exposure to their history (Underground RR, Nat Museum of African American History, Rock & Roll Hall of Fame)
- Monthly Scholars Day or end of the year Scholar's Day where kids research and present/educate on a cultural topic of their choice

Ways RCTECS can engage and prepare students for the workforce:

- Instead of focusing on workforce preparation, focus on life skills and developing students into entrepreneurs, not employees
- Financial literacy curriculum (learn and practice investing, banking, help them open a bank account prior to graduation)
- Partner with RochesterWorks
- Partner with REOC
- Partner with BOCES
- Monthly workshops around resume writing, interviewing, job searches

4. How the applicant group has interacted with the proposed school district of location to determine how the application complements current options within the district.

The applicant group is closely familiar with the Rochester community and RCSD. An initial analysis included all schools in the Rochester area and what was offered and what was still needed to determine our approach. The group is familiar with the schools provided in the proposed school district that serve students in grades 6-12. In particular, Edison is the main CTE secondary school in the RCSD. Our school would complement Edison in providing CTE courses and pathways not currency offered in the RCSD.

I.F. ENROLLMENT, RECRUITMENT, AND RETENTION

1. Projected Enrollment Table.

Projected Enrollment Over the Charter Term						
Grades	Ages	2023-24	2024-25	2025-26	2026-27	2027-28
6	10-13	75	75	75	75	75
7	11-14		75	75	75	75
8	12-15			75	75	75
9	13-18	75	75	75	75	75
10	14-19		75	75	75	75
11	15-20			75	75	75
12	16-21				75	75
Totals		150	300	450	525	525

2. Rationale for this enrollment plan.[33]

RCTECS will implement a small school design to maximize opportunities for interactions between teachers and students. By enrolling 75 students per grade, with three sections per grade, classes will be able to average fewer than 30 students, supporting our commitment to the Collaborative Learning Model and cultivating student voice, choice, and leadership beyond the

classroom. RCTECS will offer a smaller class size than RCSD public schools and serve a similar number of students per grade as other small charter middle and high schools in Rochester. The decision to enroll only grades 6 and 9 in year 1 is to ensure that each student's needs are met as the school grows to full capacity. The decision to start in 6th grade is consistent with RCSD's reconfiguration of public middle schools from serving grades 7-8 to grades 6-8. Given the high level of support offered, we anticipate that students will return to the School once enrolled until they graduate from our program, unless they move. The School will backfill empty seats. The School will reach full enrollment during the first charter term and does not plan to continue to grow after the first charter term.

3. **The student recruitment plan, including how families in the community will be informed about the charter school and any community assets that will be leveraged to recruit students, including practices to be used to enroll and retain a comparable number of SWDs, ELLs, and EDs should be provided.**

RCTECS will utilize a multifaceted approach to student recruitment through door-to-door canvassing, social media, community event attendance, and partnerships with community organizations. The mission of the student recruitment campaign is to ensure that as many students, parents, and community members as possible are informed on the name, location, and opportunities of RCTECS. The student recruitment efforts have included and will include, but are not limited to:

- Community meetings as schools, community centers, churches, and other community buildings
- Presentations to groups that are most likely to have frequent contact with students that would most benefit from attending RCTECS
- Flyers posted and handed out at community events, festivals, and in neighborhoods in Rochester
- Door to door canvassing in neighborhoods where students are likely to enroll in RCTECS
- Social media posts advertising the school and any community events/opportunities to learn about the School

Practices to enroll and retain a comparable number of SWDs, ELLs, and EDs, will include:

Economically Disadvantaged (ED):

- Presentations and applications distributed at all local churches and community organizations serving our community and students, which is designated as economically disadvantaged, as per the most recent census
- Applications delivered to the YWCA, YMCA, affordable housing locations, public libraries, supermarkets
- Attendance at community functions, including community parades, school fairs, street fairs, in order to meet and speak with potential ED parents

English Language Learners:

- Recruitment flyers printed and distributed in Spanish
- Flyers and applications (both in Spanish) delivered to the Chamber of Commerce, restaurants, churches, and YWCA and YMCA that potential ELL students frequent
- Presentations at Latino community events.

Students with Disabilities:

- Develop relationships with local elementary schools that serve a high percentage of SWDs.
- Meetings with the public libraries to connect the School with potential SWD families.

4. **Evidence of interest in and demand for the proposed school.**

Of the 146 RCTECS surveys collected by the School's community organizer, over 90% of parent and community responses support the application and opening of the proposed RCTECS. Of the current Rochester public parents surveyed, over 60% would consider applying to RCTECS.

5. Proposed application, admissions, and enrollment process, including for a public lottery.

Please see ***Attachment 1***.

6. Enrollment preferences.

RCTECS will adhere to the following admissions preferences, applying admissions preferences in this order:

- Currently enrolled returning students
- Siblings of students currently enrolled at RCTECS
- Students living in the RCSD school district boundaries
- The children of RCTECS staff with a limit of no more than 15% of the total number of students enrolled at the school.

RCTECS is not proposing any enrollment preferences for students at-risk of academic failure at this time, given that recruitment has been focused on the target community to be served. The Board may consider preferences in the future should the initial cohort of students not be representative of the School's mission.

7. **Backfilling vacancies and any date by which the school will no longer fill such vacancies.** RCTECS will backfill all seats through March 31st of that academic year.

8. Enrollment and Retention Targets Table

Enrollment and Retention Targets		
	Enrollment # / %	**Retention # / %**
Economically Disadvantaged	89%	Within 5% of RSCD
Students with Disabilities	22%	Within 5% of RSCD
English language learners	16%	Within 5% of RSCD

9. Plans to Meet or Exceed the Enrollment and Retention Targets

RCTECS will recruit, enroll and retain a broad and diverse range of students, including those at risk for dropping out or academic failure. The school will take a thoughtful and an effective approach to this crucial element of its work, gathering data on enrollment and retention patterns and making adjustments as needed to ensure equity and inclusiveness. It is the mission of RCTECS to engage and serve students who are at risk of dropping out or at risk of struggling to progress through middle and high school and to provide them a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests. The School will be fully committed to identifying and recruiting students who fit this profile. It will do that through actively recruiting from neighborhoods within Rochester where students are most at-risk as identified as being low income, minority and where census data indicates the crime index not only greatly exceeds the national average, but is among the highest in Rochester. It will also actively recruit from youth support services organizations who share a mission for breaking the cycle of multigenerational poverty, and other entities that are in contact with students who are at-risk for walking permanently away from school.

SWDs: RCTECS will actively seek out students with disabilities and will consistently review data on their enrollment and retention rates (for both IEPs and Section 504 plans). The School will look for any indications that such students do not perceive the school as a supportive place that is open to diverse learners, including students with significant needs.
ELLs: RCTECS will actively seek out ELLs and multilingual students and will consistently review data on their enrollment and retention rates. Applications and marketing materials for the school will be distributed in multiple languages. The School will assess language skills and tailor support to meet the needs of students.
ED students: Given the intended target population and community to be served, RCTECS expects to enroll predominantly students from families that are economically challenged. The School will ensure that all students are thriving in the School, will provide appropriate supports, will closely track retention and program-completion data and will make programmatic and operational adjustments as needed to sustain strong outcomes.

I.G. PROGRAMMATIC AND FISCAL IMPACT

1. Assessment of the projected programmatic impact of the proposed school on other public and nonpublic schools in the area.

RCSD does not offer either of the CTE pathways that will be part of RCTECS's design. RCTECS will be a unique offering in RCSD for students, families, industry and community stakeholders.[14] Additionally, RCECS will serve NYSED priority school design, actively recruiting for at least 67% of the students served to fall into one or more of the following categories: interrupted formal education, living in temporary housing, McKinney Vento eligible, in the foster care system, over-age and under credited, court involved or adjudicated youth and/or gang involved youth. These categories of traditionally at-risk students have been historically underserved in Rochester (see ***I.C.***) and RCTECS seeks to provide students with a new educational opportunity and pathway to higher education and the workforce.
The programmatic impact of the RCTECS provides a notable opportunity for the Rochester community, with the development of the Innovation Center which will provide a computer science and health science labs and act as the research and dissemination arm of the school, with similarities to the Center for Urban Success which supports the East High School-University of Rochester partnership.

2. Assessment of the projected fiscal impact of the proposed school on other public and nonpublic schools in the area using the Fiscal Impact Table below.

RCTECS will have a .24 to .9% projected fiscal impact on the district of location.

Projected Fiscal Impact upon District of Location							
Year	**Number of Enrolled Students**	**Charter School Basic Per Pupil Tuition Rate**	**Total Charter School Per Pupil Cost to District**	**Estimated Additional Costs to District (e.g., SPED funds)**	**Total Projected Funding from District**	**Total District General Fund Budget**	**Projected Impact on District Budget**
2023-24	150	$13,995	$2,099,250	$289,617	$2,388,867	$983,000,000	0.0024%
2024-25	300	14,415	4,030,569	556,066	4,586,634	983,000,000	0.0047
2025-26	450	14,847	6,414,032	884,893	7,298,925	983,000,000	0.0074
2026-27	525	15,292	7,707,528	1,063,347	8,770,875	983,000,000	0.0089
2027-28	525	15,751	7,938,754	1,095,247	9,034,001	983,000,000	0.0092

[14] https://www.rcsdk12.org/Page/57247

I.H COMMUNITY

1. Definition of community to be served.

RCTECS will be located within the City of Rochester. RCTECS intends to serve students living in zip codes 14608 as well as surrounding zip codes including, but not limited to 14606 and 14611. Many of the students served live in the southwestern quadrant of the city, which includes, but is not limited to, census tracts 75, 62, 63, 64, 65, 67, 96, and 27. While RCTECS intends to serve students in these zip codes and census tracts, the school will serve students in the southwestern and southeastern quadrants of Rochester and will serve interested students from the Rochester area. In the southwestern and southeastern quadrants of Rochester, many students and families will come from the Upper Mount Hope, Highland Park, South Wedge, Plymouth-Exchange, Genesee-Jefferson, and 19th Ward neighborhoods. Outside of these quadrants, the EMMA, Beechwood, and Marketview Heights neighborhoods are likely to enroll students in RCTECS.

2. Processes, practices, and policies by which community input and "voice" will be included in school-level decision making and be represented on the school's board of trustees and shall ensure a diverse set of voices are included in the operation of the proposed school and adhere to the principles of diversity, equity, and inclusion.

Monthly RCTECS parent meetings will encourage parents to share any concerns with both administrators and board members in a timely and transparent way. The School will assess family and student feedback and satisfaction through the NYSED CSO Parent and Student Surveys, school-created parent surveys, and informal school-created student and family surveys. With a commitment to diversity, equity, inclusion and justice at all levels of the school- including on the board, leadership, staff- diverse set of voices will be included in the operation of the School.

Serving all students within our community, regardless of need, and are committed to their academic success and social-emotional development, we know that we are most effective in our mission when we foster collaboration within our community. Founded by a diverse and highly skilled board and leadership team, RCTECS' commitment to diversity, racial equity and inclusion has been long-standing and we have created intentional structures throughout the organization to tap into diverse viewpoints, navigate challenges, and foster transparency. Through communication and collaboration, we meaningfully engage students and families so that our choices are informed by a deep understanding of their experiences and perspectives. Our mission of cultivating lifelong learners extends to our professional community and we are intentionally engaging in a collective learning journey, providing staff members with the training, skills, and resources they need to bring RCTECS's diversity, racial equity, inclusion and justice (DEIJ) commitment to life, in our classrooms, throughout our organization, and in our community.

To achieve our DEIJ vision, we will embark on a collective learning journey and have outlined pillars for creating and maintaining these conditions within our classrooms and throughout our organization. RCTECS commits to assessing and measuring the effectiveness of our DEIJ initiatives.

Develop and Embed DEIJ Strategy: RCTECS will strengthen internal capacity to assess, monitor progress, and sustain DEIJ efforts across the organization by setting goals, metrics, and frameworks to hold ourselves accountable for making progress and for making equitable decisions. We will:

- Establish DEIJ structure & supports to align future strategic priorities
- Develop a DEIJ framework to guide inclusive organization-wide decision-making
- Develop & implement an equity framework for ongoing audit policies, structures & systems

Inclusive Organizational Culture: Creating the cultural conditions for trust are a high priority for our organization. We recognize the need for cultural shifts and deepened investments in not only having a diverse workforce, but also ensuring that these diverse perspectives feel included and heard. We will:

- Update and implement SEL and DEIJ learnings/ tools into our school and staff systems and structures (e.g., arrival, discipline, staff meetings)
- Create DEI and SEL tools to promote best self
- Continue to develop and deliver DEIJ training sessions on culturally responsive teaching and on growing into our staff members' own understanding of themselves and the work we do through a DEIJ lens

Operationalizing Equity: As with constructing an inclusive organizational culture, developing equitable processes will be a key area of focus during the coming years. In particular, we are committed to building increasingly transparent processes for our staff, which will include clear information about career advancement, performance management, compensation, and work sustainability. We will:

- Build centralized, equitable and transparent processes to ensure our human resources language and policy reflects our DEIJ commitment
- Refresh performance management system, including competency models
- Develop, refine and share equity-driven, competency-based career pathways
- Establish supports for better work/life balance

3. How the school design, both academic and social-emotional, support the needs of, and are responsive to, the community and how input to determine and respond to changing community need will be determined and implemented.

In section ***I.C***, a summary of graduation, bachelor's degree, and degree/poverty correlation was discussed. The academic and social-emotional design of the School aims to directly improve those statistics in the intended communities. The implementation of high-quality CTE pathways and industry partnerships will increase the likelihood of student success in post-secondary programs and will lead to more job and internship opportunities for our students. Whether RCTECS graduates pursue bachelor's degree programs, associate's degree programs, certification programs, or apprenticeship, our program is designed to equip students with the necessary knowledge and skills to be successful in their post-secondary pursuits. The curriculum resources, quality of implementation, and quality of partnerships will be continuously evaluated to ensure that the program empowers students, prepares them for post-secondary opportunities, and meets the changing needs of the associated professional industries.

RCTECS will communicate and collaborate with parent/guardian groups, local community organizations, its board of trustees, partners, and the community to ensure that the program design and outcomes are representative of the strength of its stakeholders.

4. Partnering with a Community-Based Organization.

RCTECS does not plan to establish a formal partnership with any Community-Based Organizations, but plans to utilize its informal partnerships and relationships to ensure that all school programming reflects the needs of the students and the Rochester community. To effectively meet those community needs, RCTECS will continuously monitor academic

achievement and growth and social-emotional well-being and growth and identify areas that could be bolstered through partnerships with groups in the community.

5. Evaluating community partnerships.

Before implementing any community partnerships, RCTECS will outline clear metrics to evaluate and monitor the intended need that the partnership will meet. The RCTECS administrative team and the board of trustees will oversee the progress and effectiveness of the partnership using the established metrics.

I.I. DISSEMINATION

1. Disseminating and learning effective practices from other educational organizations such as district, charter, and non-public schools on an ongoing basis.

The applicant group will disseminate and learn effective academic and social-emotional support practices from other educational organizations, such as district, charter, and non-public schools on an ongoing basis. The applicant group plans to partner with the Center for Educational Innovation (CEI), a nonprofit educational organization that partners with both district and charter schools. CEI is committed to sharing educational practices and seeks to create an innovation hub to cross-pollinate effective practices across sectors. CEI is in contact with RCSD senior leadership about partnerships, as well as Rochester-area charter organizations like E3 and the NY Charter Schools Association. CEI attended a meeting of charter school leaders of the local charter association to share information, and CEI has been involved in and in discussions locally with other educational organizations and efforts including the Rochester Education Fellowship and EdTrust – NY.

Once the School is launched, it will simultaneously launch the Innovation Center (IC) to share practices across district and charter schools, and the greater Rochester community as a whole. CEI staff have first-hand experience in district-charter cross-collaboration previously in Rochester as district senior staff, and will facilitate meetings to share information and solicit feedback from the community on an ongoing basis, similar to the receivership school public hearing model by NYSED in which information is shared about the School and input is solicited for school improvement efforts. The IC will act as the research and dissemination arm of the School, with similarities to the Center for Urban Success which supports the East High School-University of Rochester partnership. The CEI partnership with the RCTECS will ensure ongoing dissemination and learning effective practices.

2. Sharing and learning effective educational practices with RCSD, neighboring school districts of location, other charter schools, and other educational entities.

RCTECS's IC will be a shared instructional facility for local public and charter schools that desire CTE programming but cannot sustain programs at their home site, addressing equity concerns regarding access to high quality programming. The IC will provide multiple career pathways based on current labor market demand and industry and college partnerships. All participants will have access to; high-quality CTE programming, work-based learning opportunities, college-level coursework, industry site visits, enhanced family engagement, and industry-recognized and NYSED-approved technical assessments. Students will have the chance to learn through project-based learning relevant to the rigors of postsecondary education and industry requirements.

Postsecondary partners such as SUNY Brockport, Monroe Community College, and others, will support the alignment of CTE courses of study with college readiness level work. CTE programs at the center, will earn students in good standing credits for course completion and potentially enhanced admissions standing. See ***Attachment 2c.***

High value industry partners will advise the school on courses of study, technical knowledge and create work based learning and modern apprenticeships within in demand industries. Partnerships work best when they prove to be mutually beneficial. The IC hopes to fill a community need for advanced training as well as aided partners with skilled entry level employees.

3. Points of contact and high-level summaries of conversations to enact such plans with the entities enumerated above.

Please see above for high-level summaries of conversations from those enumerated above and ***I.C.3 and 6*** as well as ***Attachment 2c*** for letters of support.

Section 2: Educational Plan

II.A EDUCATION PHILOSOPHY

1. Applicant group's education philosophy, including core beliefs and values about teaching and learning.

At RCTECS all students will have access to educational experiences that help them to excel in academic, social, and workplace settings. Our program is built on research-based practices in teaching and learning and trauma-informed care to ensure our students

- ➔ Develop agency, ownership, and well-being
- ➔ Increase social mobility and develop the skills needed for high-demand careers
- ➔ Gain critical skills for college and lifelong learning

In other words, our students are college prepared, career connected and wellness centered.
We believe that by creating a model that centers around our community's most underserved students and their unique needs, we can provide the education and opportunities they truly deserve and build a proof-point for what a high-quality, high-support, innovative model can look like for all students.
Further, we believe that each and every student, regardless of personal circumstances, should have the opportunity to learn through authentic, real-world experiences that hold relevance and meaning in their lives.
In order to achieve this we believe the following:

- Every student has the potential to achieve in college and careers, regardless of a child's background, cultural experiences, and or history,
- Students thrive when learning is meaningful and relevant.
- Strong home, school, and community partnerships lead to better student outcomes.
- Learning occurs where students feel safe and supported in a caring school environment that nurtures student identity and agency.
- Social Emotional Learning and Wellbeing are critical to academic learning and career preparedness.
- An excellent high school program doesn't force students to choose between college or career paths, but prepares students to excel in both.
- Teachers must have ample resources, including time, training and coaching, to develop their skills and talents.
- Data must be used consistently, continuously and effectively to adapt curriculum to individual students' needs. Effective assessment tools and efficient data systems help educators continually assess and refine their curriculum's impact on each individual student throughout the school year.
- Substantive, rigorous content motivates students to master literacy and communication

skills as they investigate engaging topics and communicate their discoveries

2. Research or theories, or school performance results that substantiate this philosophy.

RCTECS's philosophy is supported by research, evidence-based best practices, and similar school models that have proven successful for student achievement. Young people in Rochester have experienced a considerable rate of complex trauma which experts tell us can lead to negative outcomes in learning, self-concept, health, and future economic prospects.[15] Data from 2020 revealed that 48% of Rochester's youth under 18 are living in poverty, compared to 19% of children statewide.[16] Abuse and neglect are increasing in the Rochester area: 20 out of every 1000 children are abused or neglected, a rate well above the national average.[17] RCTECS's model addresses the reality that young people in Rochester are facing, and prepares them for a productive and prosperous future. Our philosophy is rooted in research that supports our most vulnerable learners-- preparing students for the future by making learning meaningful and giving students the support they need for college, careers and life through career development opportunities, experiential learning and trauma informed practices that lift up social emotional learning and well-being. We have seen this type of learning work successfully in other places. Similar school models detailed in ***I.B.***

Research supports these models in the following ways:

Experiential Learning: Learning science research has found that deep understanding occurs when a learner actively constructs meaning based on his or her experiences and interactions in the world. Passive activities such as simply reading a book, do not translate to skill building outside of the classroom environment. When students learn contextually, they can access prior knowledge and experience to synthesize and deepen connections with conceptual understanding. Additionally, research supports the effectiveness of active learning, "particularly in improving the achievement level of the lowest-performing students and minorities."[18] Active learning can take on many forms, but the common thread is that students are not simply sitting listening to a teacher lecture[19]. Instead, true mastery of content best occurs when students are given the means to explore, question, solve problems, reflect, make mistakes, try again, and demonstrate their knowledge.[20]

Student Agency: Teenagers and young adults crave autonomy and independence. Educators must facilitate opportunities to make academic choices and decisions – this has been shown to increase students' motivation in their education[21]. As students feel empowered by exercising choices and decision-making, they gain a sense of control or ownership over their own learning; in turn, helping them develop a sense of responsibility and self motivation.[22] When students understand they have ownership of their educational experience they are more likely to take responsibility

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[15] "Effects | The National Child Traumatic Stress Network." *The National Child Traumatic Stress Network* |, https://www nctsn.org/what-is-child-trauma/trauma-types/complex-trauma/effects. Accessed 15 August 2022.

[16] "ACT Rochester." *ACT Rochester*, https://www.actrochester.org/children-youth/children-in-poverty. Accessed 15 August 2022.

[17] "ACT Rochester." *ACT Rochester*, https://www.actrochester.org/children-youth/rate-of-child-abuse-and-neglect. Accessed 15 August 2022.

[18] dropoutprevention.org; Johnson, Johnson, & Holubec, 1992; Kagan, 1994; Slavin, 1983

[19] Freire, P. (1970). Pedagogy of the oppressed. New York, NY. Herder and Herder.

[20] 39 Freire, 1972

[21] Developing Responsible and Autonomous Learners: A Key to Motivating Students, Teacher's Modules, Barbara McCombs, PhD, University of Denver. http://www.apa.org/education/k12/learners.aspx

[22] Developing Responsible and Autonomous Learners: A Key to Motivating Students, Teacher's Modules, Barbara McCombs, PhD, University of Denver. http://www.apa.org/education/k12/learners.aspx

for their learning. Further, studies have shown that "students are more motivated, engaged, and responsible when their education is connected to who they are and what they care about", demonstrating the value of identity and leadership development. These elements are to ensure students feel confident in their skill sets and empowered to positively impact their community
Social Emotional Learning, Wellbeing and Connectedness: Research shows that SEL interventions that address self-awareness, self-management, social awareness, relationship skills, and responsible decision-making increased students' academic performance by 11 percentile points. Also, students participating in SEL programs showed improved classroom behavior, an increased ability to manage stress and depression, and better attitudes about themselves, others, and school.[23]
Career Technical Education: CTE opportunities have a positive impact on students, particularly for those at risk of failing. Students who participate in CTE programs are more likely to graduate high school, and see economic benefits after graduation.[24] Low income students also saw an increase in test scores. The National Dropout Prevention Center/Network states quality CTE and related guidance programs are "essential for all students" and coupled with other strategies have the most impact on the dropout rate.[25] CTE has been found to increase school connectedness, reduce behavioral problems related to suspensions and expulsions, and reduce dropout rates among all student groups — especially among students most at risk of dropping out.
Trauma Informed Care: Research supports that even one traumatic event influences the brain enough to alter development, such as increasing symptoms of depression, irritability, aggressive behaviors, and anxiety while decreasing attention/focus, short- and long-term memory, communication and language skills.[26] The effects of trauma can make learning difficult. Creating a physically and emotionally safe environment, establishing trust and boundaries, supporting autonomy and choice, creating collaborative relationships and participation opportunities and using a strengths and empowerment-focused perspective to promote resilience are ways in which the principles of Trauma-Informed Care work to reduce re-traumatization and promote healing.[27]
Diversity Equity Inclusion and Justice: DEIJ provides a holistic response to the diverse needs of students. According to holistic student research, students are entering the classroom with a wider worldview that challenges the traditions of educational practices (Hamrick and Klein, 2015). The current student profile illustrates that students are more aware of political and social influences,

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[23] Dymnicki, A., Taylor, R., Durlak, J., Weissberg, R. and Schellinger, K., 2022. *The Impact of Enhancing Students' Social and Emotional Learning: A Meta-Analysis of School-Based Universal Interventions*. [online] Casel.s3.us-east-2.amazonaws.com. Available at: <https://casel.s3.us-east-2.amazonaws.com/impact-enhancing-students-social-emotional-learning-meta-analysis-school-based-universal-interventions.pdf> [Accessed 16 August 2022].
[24] Shaun M. Dougherty; The Effect of Career and Technical Education on Human Capital Accumulation: Causal Evidence from Massachusetts. *Education Finance and Policy* 2018; 13 (2): 119–148. doi: https://doi.org/10.1162/edfp_a_00224
[25] Chappell, S. L., O'Connor, P., Withington, C., & Stegelin, D. A. (2015, April). A meta-analysis of dropout prevention outcomes and strategies (A Technical Report in Collaboration with The Center for Educational Partnerships at Old Dominion University). Clemson, SC: National Dropout Prevention Center/Network at Clemson University.
©2015, The Center for Educational Partnerships at Old Dominion University and the National Dropout Prevention Center/Network at Clemson University.
[26] 0 How Does Trauma Affect Children? Retrieved from http://traumaawareschools.org/impact on 4/4/19
[27] Substance Abuse and Mental Health Services Administration (2014). A Treatment Improvement Protocol: Trauma-Informed Care in Behavioral Health Services, Tip 57. U.S. Department of Health and Human Services, 14-4816

economics constructs, diverse gender themes, and conscious about race and cultural identities (Hamerick and Klein, 2015). As students continue to bring their social and personal lense to the classroom, educators are responsible for responding to their authentic inquiry through DEIJ methods. DEIJ is also a tenant of the holistic student approach, by allowing educators to pluralistically engage with student inquiry. For example, through DEIJ educators have the opportunity to focus on the whole student while simultaneously addressing the interdependence of the student (Eutsay, 2020). Overall, DEIJ is an essential tool for student engagement and academic development.

RCTECS provides a rigorous blueprint of student success rooted in research that demonstrates a commitment to holistic student growth.

II.B. CURRICULUM

1. The school's processes for selecting and/or developing curriculum.

RCTECS, with the support of its comprehensive management organization, the Center for Educational Innovation (CEI), will create a library of internal curriculum items that include scope and sequences, pacing guides, unit outlines, and lesson resources that align with the NYSLS or the corresponding CTE, Advanced Placement, or Dual-Enrollment standards. For instances where selecting curriculum resources are required, RCTECS and CEI will utilize a team of school administrators, content area experts, and teachers to review, select, and plan for implementation and continuous monitoring of the effectiveness of the selected curriculum. CEI will take the lead on curriculum identification, recommendation and development, all the while engaging the School as a partner on key decisions. Please see ***Attachment 6c*** for a description of the decision making process between the School and CEI. Please see ***Attachment 6a*** for a description of the support that CEI will provide the School. All curriculum or instructional resources will align with ***I.B, II.A*** and ***II.C***.

Please see ***Attachment 3b***, for an example of the CTE curriculum that CEI is recommending to the School based on the New York State Education Department's (NYSED) requirement to have approved materials for programs to receive state approval. Project Lead the Way (PLTW) has long offered industry vetted and state approved programming, professional development and training for teachers and administrators, and is formally articulated to Rochester Institute of Technology (RIT).[28]

2. Horizontally aligning curriculum across subjects and vertically aligning curriculum across grades, and for reviewing and revising curriculum: timelines, who will be involved, and the role of teachers in these processes.

RCTECS will utilize a team of school administrators, content area experts, and teachers for the organization and review of the curriculum. During this process, the team will undergo a thorough review of horizontal alignment of all content areas at each grade level as well as a thorough review of vertical alignment within each content area. The goal of this process is to ensure that content areas support the well-rounded development of student understanding and that there are no gaps in concepts as students progress through the grades.

Professional Learning Communities will ensure that all teachers and support staff collaborate in the review, selection, implementation, and monitoring of rigorous curriculum that best meets the needs of all learners.[29] It is vital to effective teaching and learning that our curriculum recognizes and is reflective of the racial and cultural lived experiences of our students as well as their unique learning needs.

[28] https://www.rit.edu/pltw/

[29] https://www.iste.org/explore/professional-development/4-benefits-active-professional-learning-community

Teacher teams will support the deepening of pedagogical processes such as collaborative team teaching, cooperative learning, critical thinking and social emotional awareness and learning. These teams are charged with ensuring that all students are provided with meaningful content taught in a manner that is conducive to their unique learning styles. As teachers collaborate formally through curriculum committees and PLC teams, they will improve their practice and increase student engagement and achievement.

3. **How curriculum will be organized and the curriculum resources that will be used to determine what teachers should teach and when they should teach it. Who will create/select, evaluate, and revise these resources.**

RCTECS curriculum resources will be organized using a cloud-based storage provider that is accessible by all RCTECS staff. Within the larger Instructional Resources folder will be subfolders that organize the curriculum resources by grade level and content area.
Each course folder will contain the scope and sequence, pacing guide, unit outline, and lesson resources. Teachers will be provided with unit and lesson templates to support the internalization and implementation of the curriculum.
The initial creation and selection of the curriculum resources will be completed by the team of school administrators, content area experts, and teachers. The evaluation and revision of these materials will be done by the teaching staff and overseen by a team of curriculum experts and administrators.

4. **Materials that will be used to deliver the curriculum, including any textbooks, commercial programs, software and/or teacher developed materials. Who will create/select, evaluate, and modify these resources.**

RCTECS will utilize a team of school administrators, content area experts, and teachers for the selection and evaluation of textbooks, commercial programs, and software to complement the courses of study described in ***Attachment 3***. RCTECS will leverage relationships with postsecondary institutions to ensure that all course work will prepare students to be college ready upon graduation and industry partners to ensure that the materials and tools are current and relevant. The creation, selection, and evaluation process of all supplemental instructional materials will prioritize cultural responsiveness, relevance to post-secondary and industry standards, alignment with course standards, and appropriateness for all students, including SWD and ELL students.

5. **Unique or innovative aspects of the curriculum and explain how the proposed curriculum aligns with the educational philosophy, mission, key design elements.**

RCTECS's organization of its class schedule provides innovative opportunities for students in math and ELA. From grades 6-10, students receive between 80 and 90 minutes of instruction at least 4 days per week. The decision to provide additional instructional minutes for math and ELA was grounded in the authentic implementation of the educational philosophy and instructional practices. RCTECS's educational philosophy, in section II.A, emphasizes the impact of active learning on a student. Because of the additional instructional minutes, RCTECS will be able to select and implement curricula that provide sufficient time for students to explore, question, and solve problems.[30] While the curricula will provide ample opportunities for students to develop fluency in literacy and procedural fluency in math, the additional instructional minutes allow RCTECS students to develop conceptual understanding through the active learning curricular activities.
The presence of digital skills in the global economy has dramatically increased over the past 15

[30] 39 Freire, 1972

years, as illustrated by the change in the number of information technology workers in the United States.[31] The RCTECS curriculum and course progression provides an innovative design to reflect the changes in the need for digital skills. Starting in 6th grade, all RCTECS students will participate in computer science courses that are aligned with NYS standards and prepare students with the foundational skills for their high school and postsecondary courses in computer science, information technology, and other technological disciplines. Over the course of seven years at RCTECS, students can participate in the computer science CTE pathway that develops their foundational digital skills and literacy and provide opportunities for multiple college credit courses.

The 2022 report by Common Ground Health describes the critical skills and training needs of the healthcare workforce as well as the need to improve the diversity and cultural competence of the healthcare workforce. The Health Sciences CTE pathway allows students with the unique opportunity to develop their understanding of health and biomedical sciences, and set themselves apart from peers as they pursue postsecondary aspirations in health sciences.

6. **Research or existing models that support the use of the proposed curriculum.**

For research supporting RCTECS's education philosophy, see request 2 in section ***II.A*** and request 4 in section ***II.C***.

7. **How the proposed curriculum will allow the school to meet Benchmark 1.**

The proposed curriculum will allow the school to meet and exceed the student performance benchmark, set forth by the state, by implementing research-supported curriculum that aligns with the NYS standards and implementing an effective assessment system. The implementation of the assessment system, described in section ***II.E,*** allows teaching and administrative staff to monitor the effectiveness of instruction and curriculum, and make targeted instructional decisions to ensure that students are progressing towards the achievement indicators for academic proficiency and high school graduation.

8. **Supplemental curriculum that will be developed and/or selected for interventions, students meeting the identified priority school design criteria, special populations, and/or social emotional development or character education that will meet the needs of all students, including special populations.**

For descriptions of the way in which curriculum will be developed and/or selected for interventions and the student populations described, see request 1 in section ***II.D.***

II.C. INSTRUCTION

1. **Instruction and Instructional Strategies to Meet the Needs of All Students, Including SWDs, ELLs and Those at Risk of Academic Failure**

At RCTECS, students in grades 6-12 gain the skills, knowledge, habits, and mindsets to empower their futures and transform their communities. By braiding academic rigor, emotional well-being and career-embedded learning, students gain critical knowledge and skills for college, careers and lifelong learning.

Our highly supportive and career-focused instructional program is designed to serve students who were historically underserved, or who have faced hardship or struggle in previous school settings. To achieve this we offer a strong cross-curricular literacy program (literacy taught across all content areas and all teachers trained to offer high-quality reading support) alongside career-embedded learning (career engagement and experiences that begins in middle school and lead to robust CTE coursework in both computer and health sciences). Both of these are

[31] https://itif.org/publications/2021/11/29/assessing-state-digital-skills-us-economy/

supported by trauma-responsive, social-emotional learning. This combination of programming is not just, as we note below, supported by research, but also ensures that our students access rigorous academics and gain the skills and knowledge for multiple career pathways.

The following provides a detailed description of RCTECS instructional strategies. To be clear, instruction at our school starts first with the Next Generation Learning Standards. These drive the creation of lesson plans and the assessment of both student and teacher achievement. Our teachers will collaboratively plan units of study using the 'backward design' guidelines described in Understanding by Design (Wiggins & McTighe, 1998). This strategy advises teachers to "begin with the question: What would we accept as evidence that students have attained the desired understandings and proficiencies – before proceeding to plan teaching and learning experiences." There are three steps to this process:

1. Identify desired results:

Beginning with the Next Generation Learning Standards, teachers will determine a three-tiered hierarchical set of learning expectations:

- *Enduring understandings:* How will students internalize the standards such that they are linked to an authentically meaningful big picture understanding of the material?
- *Information and skills worthy of familiarity:* What prior knowledge do my students need to make meaning of this new information?
- *Important knowledge and skills:* What foundational knowledge and skills do students need to master this material?

As teachers select and prioritize these learning expectations, they will be guided by thinking about the extent to which the idea, topic or process: (1) represents a 'big idea having enduring value beyond the classroom; (2) resides at the heart of the discipline, and is tied directly to standards and standardized testing; (3) requires "uncoverage" to the extent that parts of these concepts are difficult for students to understand; and (4) offers potential for engaging students.

2. Aligning Assessments to the Desired Results:

Recognizing that teachers will be shaping their standards-based instruction into larger projects and thematic units, it is essential that they assess mastery in an explicit way. Teachers will assess throughout the unit of study using a variety of assessment methods including both formative and summative assessments. Methods will include online assessments, quizzes or tests aligned with the style students will encounter on standardized- assessments as well as more comprehensive or authentic checks for understanding such as informal checks, student observation, 1:1 conferencing, performance tasks and projects. Teachers will match an appropriate assessment method to each standard and establish and articulate clear criteria for reaching proficient performance.

3. Differentiating Instruction to Meet the Needs of All Learners:

Now that the learning expectations (knowledge and skills) have been identified, teachers will work together to determine the most effective teaching methods and select the appropriate materials and resources to achieve their goals with all of their students. Teachers will design innovative instructional strategies by differentiating the content, process, and products delivered to students in order to provide equal access for all learners (including English language learners and students with special needs). Teachers will write effective standards-aligned lesson plans and utilize a repertoire of research-based instructional strategies, including the developmentally appropriate strategies recommended by NASET for students with learning disabilities, to increase student achievement.

As teachers implement their lesson plans, they will continuously be assessing their own efficacy

and impact on individual students in the classroom by utilizing specific data and analysis of sub-groups. Our instructional program will be driven by student data gathered by the teachers themselves in order to make informed decisions about assessment, curriculum, pedagogy, and student services. Teachers will continuously look at student work and questions in order to inform, structure, and refine their instructional practice and utilize a Multi-Tiered System of Support (MTSS) to support all students.

MTSS helps us serve our diverse population, including English Language Learners (ELLs), Students with Disabilities (SWDs) and those at risk for academic failure. MTSS is a tiered framework of interventions designed to help educators provide the best academic, behavioral and social-emotional support strategies for students with various needs. MTSS, helps schools to identify struggling students early so that they get the help they need quickly. MTSS has a broader scope than Response to Intervention (RTI). Whereas RTI addresses the academic needs of struggling students, MTSS addresses both academic and social-emotional areas, including things like behavior, attendance, school culture, teacher learning, and collaboration between school and family.

RCTECS focuses on implementing a robust MTSS plan that supports all students to prepare for college, be career inspired, maintain well-being and positively impact the community. By using MTSS as the foundation of the instructional model we help guide educators in identifying students in need of additional support by using evidence-based intervention strategies and monitoring progress with data.

The following describes in more detail the strategies we will employ to ensure our students will master the content and how MTSS supports the work of becoming:

- College Prepared
- Career Connected
- Wellness Centered

2. Unique and Innovative Aspects, Alignment with the School's Educational Philosophy, Furtherance of the School's Mission and Key Design Elements *and*

3. Defining, Supporting, and Ensuring Rigorous and Engaging Instruction *and*

4. Research That Supports the Use of Instructional Strategies

College Prepared Strategies:

Learning Acceleration: In order to close the opportunity gap and ensure all students graduate ready for college and careers RCTECS will focus on learning acceleration for all students. A study by Bellwether shows students who start a grade below grade level rarely catch up.[32] If we focus only on remediation and remove students from grade-level content, we will perpetuate structures that are riddled with repetitive and ineffective efforts. Additionally, the New Teacher Project's research suggests that, even when students are behind, grade-level content is one of the clearest paths to success and strong outcomes.[33] Considering this research, our instructional program ensures students are accessing grade content with appropriate scaffolds and differentiation, with a specific focus on literacy.

The following strategies all support the idea of accelerating learning.

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[32] "Unfinished: Insights From Ongoing Work to Accelerate Outcomes for Students With Learning Gaps." *Bellwether Education Partners* |, 1 September 2019, https://bellwethereducation.org/sites/default/files/Unfinished%20-%20Insights%20From%20Ongoing%20Work%20to%20Accelerate%20Outcomes%20for%20Students%20With%20Learning%20Gaps.pdf. Accessed 15 August 2022. (slide 11)

[33] "The Opportunity Myth." *TNTP*, 25 September 2018, https://tntp.org/publications/view/student-experiences/the-opportunity-myth. Accessed 15 August 2022.

Small Group Instruction- Small-group instruction provides opportunities for flexible and differentiated learning. With the smaller number of students, students have more chances to participate. Teachers are able to monitor the students better, thus providing better and more individualized feedback and support. Small-group instruction can be used in all content classes and is beneficial for students of all levels including SWD and ELL and students at risk of failing. Learning science research has shown that small-group instruction improves academic achievement, relationships with classmates and faculty, and promotes psychological well-being.[34]

High Dosage Tutoring: RCTECS will provide one-on-one tutoring or tutoring in very small groups for about 50 hours over a semester for students with learning gaps that can not be addressed during universal instruction. In such small groups, teachers can better customize teaching to the specific content gaps a student has missed or the prerequisite skills they need to practice as a tier 3 intervention. And it's easier for a student to develop a relationship with a tutor they see at dedicated hours several times a week. High dosage tutoring is a proven method for increasing student outcomes.[35]

Academic Discourse: In all content areas, students engage in academic discourse. Through this students consider the sources of their information, the bias of the author and the validity of the information posed by texts or other communication. They participate in both organic conversations about the content they are learning and structured exchanges of information such as pair-shares, circle conversations, debates, interviews and presentations of learning. They acquire the academic vocabulary to speak precisely about the content they are studying. We also teach effective listening and speaking as a habit to develop and the foundation of effective communication and academic discourse. Speaking is very important to vocabulary and language development and contributes to social development. Students learn habits of active listening in order to respond to, build, and revise ideas in partners and groups. Teachers explicitly teach students to participate in academic discourse by using tools such as sentence frames, talking chips, and structured conversations (Kagan, Council, Socratic Seminar). Students may build up to advanced levels of academic discourse such as Socratic Seminar. Teachers maximize opportunities across all areas to ramp up student talk by decreasing teacher talk.

Literacy: Paulo Freire developed the distinction between reading the word and reading the world.[36] After learning to read the word, the next step is to use it to read the world – to interrogate it and think critically about it. Read, not just for the meaning of the words but to help understand our own world. Woven across all content courses and learning experiences at RCTECS are significant opportunities for students to develop as critical readers, writers, creative thinkers, and problem solvers as they develop literacy skills to help them navigate the world. The ability to read and understand content-specific texts and effectively communicate content knowledge is critical to discipline-based learning and academic success (Lattimer, 2010; Wineburg, 2001).

- The ability to critically read and evaluate a range of print materials and media-based texts

[34] Davidson, N., Major, C. H., & Michaelsen, L. K. (2014). Small-group learning in higher education—cooperative, collaborative, problem-based, and team-based learning: An introduction by the guest editors. Journal on Excellence in College Teaching, 25(3&4), 1-6.

[35] Files.eric.ed.gov. 2022. *ACCELERATING STUDENT LEARNING WITH HIGH-DOSAGE TUTORING*. [online] Available at: <https://files.eric.ed.gov/fulltext/ED613847.pdf> [Accessed 17 August 2022].

[36] Freire, P. and Macedo, D., 2022. *Literacy: Reading the Word and the World*. [online] Routledge & CRC Press. Available at: <https://www.routledge.com/Literacy-Reading-the-Word-and-the-World/Freire-Macedo/p/book/9780710214171> [Accessed 17 August 2022].

and communicate effectively to a range of audiences for clear purposes through appropriate forms is essential to success in career advancement and civic participation.
- The ability to define and describe a problem, generate potential innovative solutions, and implement and evaluate solutions is essential for success in the workplace and for the benefit of the community.
- The ability to integrate the arts in addressing critical social issues is vital to both understanding and solving problems.

Researchers Doug Fisher, Nancy Frey, and John Hattie claim, "Literacy is among the major antidotes to poverty… Literate people have more choices in their work and personal lives, leading to greater freedom."[37]. Our strategies for supporting English learners to access our literacy focused curriculum are also backed by best practices and current research in the field from the National Council of Teachers of English.[38] (Special consideration must continue to be made for students with IEPs and ELs). To ensure that students develop the literacy skills necessary for success in college, career, and community participation, students are assessed three times annually to determine their reading levels using a school identified reading assessment, and Lexile level through NWEA MAP data. Ongoing professional development enhances teachers' understanding of literacy expectations and effective instructional practices. Particular attention is paid to the development of students' written and oral presentation skills as the ability to communicate effectively has been shown to be a "threshold skill" for college achievement and professional advancement (National Commission on Writing, 2004). Common instructional practices that are followed across content areas and learning experiences to support the development of literacy may include but are not limited to, the following: The use of common writing, presentation, and performance assessment rubrics built on the Next Generation Learning Standards for English and the Blueprint for English Language Learner and Multilingual Learner Success, writing rubrics, and National Writing Project and National Council of Teachers of English guidelines.

Experiential and Applied Learning: RCTECS will make education relevant and engaging for all students by connecting educational experiences to their life and career goals. This process starts in the 6th grade with experiential learning opportunities. Through hands-on experiences and reflection, students will learn not just the academic knowledge, but also how to apply that knowledge both in and beyond the classroom. Middle school students will have opportunities to take STEAM (science, technology, engineering, art math) classes including robotics, coding and art. This begins a course progression that leads into our high school applied learning CTE pathways. We offer two relevant, in-demand pathway options for students: computer science and health sciences. Through partnerships with local industries and organizations, students will have opportunities to participate in exciting internships and earn work experience that will prepare them for jobs they wish to pursue in the future. Students will be supported through work readiness and financial literacy courses. Our school will work closely with community partners to capitalize on opportunities that support students in work-readiness and internships alongside their coursework.

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[37] Fisher, Douglas, et al. *Visible Learning for Literacy, Grades K-12: Implementing the Practices That Work Best to Accelerate Student Learning*. SAGE Publications, 2016.

[38] Fisher, Douglas. "English Classroom." *NCTE*, https://cdn ncte.org/nctefiles/resources/books/sample/27049chap02_x.pdf. Accessed 15 August 2022.

College Prepared		
*We have a rigorous academic program with a strong focus on **literacy** and **communication**. Students learn to be critical consumers of text and digital information across a range of genres and content areas. In addition, we emphasize the importance of oral, written, and media communication through classroom discussions, presentations of learning, publication opportunities, CTE pathways and other learning explorations and internships. Students have **multiple pathways** to high school graduation with a Regents or Advanced Regents diploma, and the option to earn credits towards institutions of higher education.*		
Tier 1 Supports Universal Instruction	**Tier 2 Supports Targeted, Group Interventions**	**Tier 3 Supports Intensive, Individualized Interventions**
CCSS, daily lessons, learning targets, Goal setting, Council Small Group instruction, academic discourse, Cross-curricular literacy, academic discourse	Student Success Teams (SST) Learning Acceleration Techniques High dosage tutoring Evidence-Based Instructional Strategies/ Interventions and Progress Monitoring Behavioral Interventions and Attendance monitored	Student Success Teams (SST) Progress Monitoring Learning Acceleration Techniques High dosage tutoring Individual behavior plans using evidence-based approaches Functional behavioral assessments Attendance monitored
Data Collection: Achieve 3000, NWEA MAP Math and ELA, or equivalent assessment that provides sufficient data on effectiveness and correlation with academic achievement and growth. Unit Assessments and quizzes aligned with standards, class exit tickets, rubric-based projects, and rubric-based discussions. See ***II.E***.		

Career Connected Strategies:

Career Pathways: Every student will have career engagement, work experiences and mentoring as part of our career development model. Our school will provide a rigorous college and career curriculum that focuses on preparing students for the workforce and further education. The curriculum will integrate (a) relevant technical knowledge and skills and workplace know-how in the context of the specialization; (b) employability skills such as critical thinking, teamwork, and communication; (c) as well as rigorous content subjects such as science, math, and language arts based on state and local standards. The Center for an Urban Future highlighted this approach in their 2008 Schools that Work Report, "The secret of career and technical education is context and relevance. Rather than wondering why it's important to learn geometry, students grasp that the concept on the chalkboard relates to something real1." The curriculum will be culturally relevant and aligned with NYS content standards that define what students are expected to know and be able to do to advance to postsecondary education, such as applying academic content and skills to real-world projects, as well as with industry-validated technical standards and competencies that prepare students to apply problem-solving skills in the workforce. As such, the curriculum will include Advanced Placement (AP), dual enrollment, and industry credential courses. We begin our focus on career development in middle school (6,7,8 grade) through STEAM focused experiential learning experiences and career exposure (see more about this in the Experiential and Applied Learning Section). In high school we expand these experiences to include two Career Technical Education Pathways (CTE): Computer Science and Health

Sciences. These pathways may include internships, mentorships, and community engagement as a regular part of the school day. These pathways allow students to make connections between academic content and the world of work and are designed to prepare students for careers in high-wage, high-growth industries. Through CTE Pathways our students will:

- Engage in meaningful learning aligned to high wage, high growth careers.
- Develop skills through hands-on learning, authentic experiences and real world challenges.
- Learn directly from industry through Work-Based Learning experiences.
- Earn industry recognized certifications or college credit in many programs.

By integrating career concepts into core curriculum, giving students hands-on learning experience, providing them with models from industry through work-based learning, and providing rigorous CTE, pathways students will be prepared for careers in high-wage, high-growth industries.

Future Planning: Students develop plans that contribute to their future success-- be it through college, trade school, travel, the military, or the workforce. We will visit college and industrial settings, give access to local industry experiences and invite leaders from multiple pathways to expose students to real world options. Through our efforts, students will create formal career plans, inclusive of short and long term goal setting, benchmarking and a narrative description of their future plans.

Mentoring: Teachers work as advisors and guides, helping students identify experts and experiences aligned to their interests. Rigorous standards and assessments support student development but do not limit or define the scope of possibilities. Learning happens on-site, off-site, and online. Students earned rewards and recognition for work in a wide range of settings. Career opportunities, job-embedded experiences, higher education opportunities, internships, mentorships, and community engagement are a regular part of the day-to-day experiences for students.

Community Partnerships: To further develop and apply skills, industry partners play a key role in the School's learning approach. They will work closely with high school and college faculty to connect academic content to real-world situations and to ensure that workplace readiness skills are also addressed.[39] Internships with industry partners will offer real-world experience, enhance students' skills in the areas of specialization and offer them the opportunity to practice and demonstrate employability skills. In the course of a student's time with us, they will investigate many real world interests and utilize community mentors to further and deepen their knowledge and understanding of our world and their future. Our community partners will provide internships, and exposure to various jobs and careers, as well as serve as mentors. With Rochester industry leaders in Health Career and Information Technology, the school is positioned well to harness their unique future employment needs, willingness to support and host students, and provide technical assistance.

World of Work: The World of Work framework supports a personalized learning approach by connecting student interests into a comprehensive career learning to gain exposure to, and build interest in various career paths. World of Work supports teachers as they work to create context and relevance for students to connect what they are learning. The career development framework deploys a four-level process to expose students from all grade levels to a broad range of careers.

[39]WORK-BASED LEARNING CAN ADVANCE EQUITY AND OPPORTUNITY FOR AMERICA'S YOUNG PEOPLE By Martha Ross, Richard Kazis, Nicole Bateman, and Laura Stateler *November 2020*

The four levels, Exploration, Simulation, Meet A Pro and Practice, all work together to help students skills and knowledge needed to prepare to make future educational choices and career decisions.[40]

Cultivating Student Voice, Choice and Leadership Beyond the Classroom: An important part of career technical education is student leadership development. Therefore, student leadership opportunities will be an integral part of RCTECS. Core to the School's culture will be building students' self-efficacy, students' voice and choice, and students' shared responsibility for the school environment as a sanctuary of learning. To enable student ownership of their own academic achievement, the school will deliver a personalized approach to learning, tailored to students' individual needs and goals. The fundamentals of leadership will be taught in the classroom and fostered and built through a range of student-led activities beyond the classroom. Leadership development opportunities for students will extend to networking with students with similar career pathways, participating in leadership conferences, and presenting to civic organizations. Major leadership development will include students' participation in the Career and Technical Student Organization where students will have the opportunity to reinforce major employability skills and interact with industry professionals.

Career Connected		
Through strategic and thoughtful community partnerships, we offer two CTE pathways to students with support that follows them into their careers. Based on needs and opportunities in the community, students get to explore pathways for Health and Computer Sciences. These pathways allow students the opportunity to earn an industry-based certification and acquire the skills they need for their future professions and will be supported by a state of the art Innovation Center with lab learning. Additionally, aligned to upcoming future job needs in the Rochester and Finger Lakes region and NYS infrastructure projects, the school is creating a robust network for apprenticeships and internships in the skilled trades.		
Tier 1 Supports Universal Instruction	**Tier 2 Supports Targeted, Group Interventions**	**Tier 3 Supports Intensive, Individualized Interventions**
Goal setting CTE classes Internships/work experiences Mentorship Restorative Practices Council DEIJ	Group Coaching Collaborative Pods Student job and leadership opportunities Restorative Practices Council DEIJ	Spot coaching/1-1 support Executive Function support On job site support Restorative Practices Council DEIJ
Data Collection: interest surveys, readiness skills assessment, aptitude/personality survey, student interviews. See ***II.E***.		

Our CTE programming is grounded in research as noted in the educational philosophy section. In addition to that research, data from the 2017 PDK Poll of the Public's Attitudes Toward the Public Schools shows us that a changing workforce demands career focused school models.[41]

[40] https://www.worldofwork net/

[41] Shaun M. Dougherty; The Effect of Career and Technical Education on Human Capital Accumulation: Causal

82% of Americans are in support of career skills classes and 86% believe schools should offer certificate or licensing programs to prepare students to work after graduation.[42]

Wellness Centered Strategies:

Safe, Nurturing and Supportive Environment: RCTECS is committed to being a place where all students, families, teachers, and staff feel a sense of community and are valued, safe, supported, and welcomed. Staff and students will be held to high expectations that balance accountability, respect, and love. Therefore, diversity, equity, inclusion, and justice (DEIJ) will be integrated into all levels of school policy, practice and accountability systems. The School will have dedicated time and resources to support this work; such as during summer teacher training by DEIJ experts on recognizing implicit bias and building asset-based and DEIJ mindsets and skills that enable teachers to serve and support students and create spaces that enable students to bravely advocate for themselves. The School will have an Equity Committee to continually ensure that systems, processes, and policies are free of bias and that reflect the diverse beliefs, voices, and experiences of the school community, and support transparent and consistent communication and action. This includes ensuring that our curriculum is culturally relevant to students- English language arts and social studies curriculum will reflect a diverse set of perspectives, including social justice units, and our mathematics teaching practices will be culturally responsive.

Trauma-Responsive: While we cannot take away students' experiences, we can ensure our educators teach with heart and our students build resilience through the creation of trauma-responsive schools with strong social-emotional learning ("SEL"). Research has repeatedly shown that the effects of trauma can make learning difficult. Thus, to fulfill our promise of preparing our students academically for college and careers RCTECS understands that this inherently requires a proactive approach to educating the whole child, particularly for underserved students. We aim to 'heal the heart so that the brain can learn.' Based on our research and experience we have identified six components that make a school trauma-responsive:

1. school-wide awareness of trauma and resilience;
2. establish safety
3. build positive adult relationships
4. support and invest in staff
5. collaborate with families and community
6. prioritize social-emotional learning

School is the place children spend most of their waking hours, and as the one safe space for many, we believe there is no better place to support the social-emotional wellness of children. Thus, being a trauma- school will be central to the School's teaching philosophy.

Culturally Sustaining Pedagogy: RCTECS classrooms are "environments that pay careful attention to knowledge, skills, attitudes, and beliefs that learners bring to the educational setting.[43] This term includes teaching practices that have been called 'culturally responsive,' 'culturally appropriate,' 'culturally compatible,' and 'culturally relevant.'" The implications for

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Evidence from Massachusetts. *Education Finance and Policy* 2018; 13 (2): 119–148. doi: https://doi.org/10.1162/edfp_a_00224

[42] Shelley, Allison, and Joshua P. Starr. "Academic achievement isn't the only mission." *AWS*, https://pdkpoll.org/wp-content/uploads/2020/05/pdkpoll49_2017.pdf. Accessed 15 August 2022.

[43] 47 Bransford et al (2000) (p.133-4); see also Nocon & Cole, 2009; Banks et al, 2007; Solano-Flores, 2008; LCHC,2010; Spencer, 2008.

teachers are that they must be "aware that learners construct their own meanings, beginning with the beliefs, understandings, and cultural practices they bring to the classroom"[44] As Linda Darling-Hammond has written, this sense of truly understanding students' lived experiences outside of school is key to ensuring meaningful learning: if what students "know and believe is not engaged, learners may fail to grasp the new concepts and information that are taught, or they may learn for purposes of a test but not be able to apply them elsewhere, reverting to their preconceptions outside the classroom.[45] This means that teachers must understand what students are thinking and how to connect with their prior knowledge if they are to ensure real learning." Through culturally relevant pedagogy, our teachers work to incorporate a student's culture and lived experience into how they are taught, providing them with examples and reflections of their life and culture in course content and valuing their forms of expression in class[46]. In English Language Arts, for example, teachers will select texts that reflect a range of cultural backgrounds. Through exposure to works with varied cultural influences, students have a greater likelihood of connecting with the text and constructing knowledge.

Social Emotional Learning: Interwoven in all we do at RCTECS will be an emphasis on students' self-actualization through high standards for student behavior, applied learning, student choice and continuous feedback. We will emphasize solid decision-making and self-regulation in the pursuit of ambitious goals, and yet our students also will understand that some of the greatest learning can come from reflection on "failures." Students will be active participants in their own learning, reflecting on their own learning modalities and styles, to help them develop awareness and responsibility for their own growth and prepare for future careers.

Restorative Justice and Circle Practices: A sense of belonging and connection make up the foundation that our entire program is built upon. Our teachers, leaders, support staff, parents and students see themselves and each other as valuable, contributing members of a thriving community. We use circle practices to help our students hone the skills of speaking and listening from the heart. One of these practices, Council (www.circleways.org), which at its core is a heightened awareness of self and others, is an opportunity for students to hear about each other's lives, thoughts and beliefs. Circle practices ask students to listen compassionately as others speak and to imagine experiences different from their own. This is the core of empathy. Even when students are connected and skilled at listening and speaking, they are still learning about the world around them, and about the effect their choices have on themselves and on others. As adults, we also help students navigate the logical consequences to their decisions through restorative practices. This means that when students break something, be it a relationship or a student project, we provide an opportunity for them to contribute to fixing it. When a relationship has been harmed, students come to circle. This is a special space where all voices can be heard. Through circles, students better understand each other's feelings and their impact on each other. They are held responsible for their actions and for repairing the relationship. During a reparation circle, an adult asks the following questions:

- What happened?
- What were you thinking at the time?
- What have you been thinking of since?

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[44] Bransford et al, 2000, p.136

[45] Darling-Hammond, 2008

[46] https://news.education.wisc.edu/news-publications/learning-connections/archive/2013-fall-winter/q-a-withgloria-ladson-billings

- Who has been affected? How have they been affected?
- What do you need to do to make things right?

We also help students see that sometimes we need to take a break and recollect ourselves before re-engaging with a peer or group. And, of course, students may lose privileges if they are unable to be safe and productive with others.

System of Care: The system of care model is an organizational philosophy and framework that involves collaboration across agencies, families, and youth for the purpose of improving services and access and expanding the array of coordinated community-based, culturally and linguistically competent services and supports for children and youth with a serious emotional disturbance and their families. The system of care philosophy is built upon these core values and guiding principles:

The core values of the system of care philosophy specify that the system of care:

1. Should be child-centered and family-focused, with the needs of the child and family dictating the types and mix of services provided.
2. Should be community-based, with the locus of services as well as management and decision-making responsibility resting at the community level.
3. Should be culturally competent, with agencies, programs, and services that are responsive to the cultural, racial, and ethnic differences of the populations they serve.

Wellness Centered		
*Emotional and physical safety are the foundation for all learning and success. By infusing the student experience with **social-emotional learning** and attention to **well-being**, we help address inequities and empower young people to contribute to safe, healthy, and just communities (CASEL, 2015). These competencies are foundational to academic learning and build critical skills for students' future professional lives and are grounded in **trauma-responsive care**. Furthermore, they help students build the foundation for wayfinding skills such as agency, empathy, and goal achievement.*		
Tier 1 Supports Universal Instruction	**Tier 2 Supports Targeted, Group Interventions**	**Tier 3 Supports Intensive, Individualized Interventions**
Mentoring Bullying Prevention Suicide Prevention Drug Prevention Mindfulness School-wide PBIS classroom PBIS Social Emotional Learning Restorative Practices Council DEIJ	Social skills groups/clubs Trauma intervention Emotional Regulation work Behavior contracts Check In Check Out (CICO) Check & Connect[47] Student Jobs/leadership opportunities Restorative Practices Council DEIJ	Functional behavioral assessments System of care model Individual plans using evidence-based approaches Seamless referral to community-based services Behavior Support Plans Restorative Practices Council DEIJ

[47] https://www.pbisrewards.com/blog/check-in-check-out-behavior-intervention/

Wellness Centered
Data Collection: student interviews, student/teacher surveys, behavior data collection as needed. See ***II.E***.

The research based benefits of Social Emotional Learning is discussed in ***II.A***. In addition to that research, there is a litany of research to support the benefits of direct instruction and facilitation of socioemotional and "soft" skills in students, including the following:

- Harvard's Graduate School of Education has launched the Making Caring Common project to highlight the importance of teaching empathy. Their research shows that "when young people have empathy, they display more classroom engagement, higher academic achievement, better communication skills, lower likelihood of bullying, less aggressive behaviors, and more positive relationships."[48]
- Carol Dweck's research on growth mindset has demonstrated the power of teaching students about brain plasticity – "how connectivity between neurons can change with experience. With practice, neural networks grow new connections, strengthen existing ones, and build insulation that speeds transmission of impulses."[49] Her multiple case studies have shown that teaching a growth mindset can lead to greater academic achievement, a reduction in bullying and aggression, a willingness to accept and incorporate feedback, and an orientation around continuous learning and growth, based in the belief that the mind is constantly able to learn and tackle new challenges.
- The Stanford Center for Opportunity Policy in Education published a report in 2015 demonstrating the power of socioemotional learning (SEL) in urban schools.[50] Their findings concluded that students in schools with an SEL focus were more likely to:
    - Report a positive school climate and stronger relationships with teachers and peers
    - Feel safe and supported in school
    - Feel motivated to attend school
    - Experience greater engagement with their schoolwork
    - Be resilient
    - Value helping others in the community
    - Express ambitious goals for their future

II.D. SPECIAL STUDENT POPULATIONS AND RELATED SERVICES

1. Specific processes, methods, strategies and/or programs for identifying and serving students who are struggling academically and are at risk of academic failure, those who qualify for the identified priority school design, SWDs, ELLs, gifted, advanced students.

To best serve students who are struggling academically, and/or are at risk of academic failure, RCTECS will provide Multi-Tier Support Strategies as the foundation of the instructional model

[48] "How to Build Empathy and Strengthen Your School Community — Making Caring Common." *Making Caring Common*, 1 November 2018, https://mcc.gse.harvard.edu/resources-for-educators/how-build-empathy-strengthen-school-community. Accessed 15 August 2022.

[49] "Changing Mindsets." *Mindset Works*, https://www.mindsetworks.com/science/Changing-Mindsets. Accessed 15 August 2022.

[50] Hamedani, MarYam G., and Linda Darling-Hammond. "Social Emotional Learning in High School: How Three Urban High Schools Engage, Educate, and Empower Youth." *Stanford Center for Opportunity Policy in Education* |, https://edpolicy.stanford.edu/sites/default/files/publications/scope-pub-social-emotional-learning-research-brief.pdf. Accessed 15 August 2022.

we help guide educators in identifying students in need of additional support by using evidence-based support strategies for students who are at risk of meeting promotion or graduation standards (see ***II.F***). For students who are struggling academically, qualify for the identified priority school design, SWD, ELLs, gifted or advanced, these instructional strategies primarily include Academic Intervention Services (AIS), Special Education Teacher Support Services (SETSS) or an Integrated Co-Teaching (ICT) classroom setting.

At-risk students, who are struggling to achieve learning standards in ELA or mathematics, and do not have a current IEP are eligible to receive Academic Intervention Services (AIS). AIS may be provided indirectly, (consulting with teachers to provide supports and interventions in the classroom), or directly (providing intensive, small group instruction or high dose tutoring). Students who have an active IEP are eligible to receive Special Education Teacher Support Services (SETSS), and related services, (Counseling, Speech, Occupational and/or Physical Therapies), to address academic and social-emotional difficulties, but will receive all settings and services as set forth in his or her IEP. Additionally, RCTECS will offer one Integrated Co-Teaching class per grade, with three sections per grade. With the addition of two grades per year, starting at 6th grade and 9th grade and growing a grade up to service 6-12th grades at scale, this will require the addition of two Special Education/Integrated Co-Teaching teachers per year.

Key Concepts: Response to intervention (RTI) is a framework that many schools use to help students who are struggling with academics. This framework is used below with regard to special education, as aligned to NYS. There are three levels of intervention in RTI. Most students can make progress in the first level, which uses high-quality instruction to help kids catch up. Students who need more intensive help can get it in the second and third levels of RTI.

Multi-Tier System of Supports (MTSS) is more comprehensive. It includes the three levels of RTI but goes beyond just academics. It also covers social and emotional supports. That means it can include behavior intervention plans. MTSS covers the adults at school, too. It includes things like professional development for teachers. MTSS also focuses on creating ways for adults to team up to help struggling kids. MTSS is used throughout this application for the purposes of the educational plan. RTI is used below for the purposes of identification of special education students who may be struggling academically.

<u>Response to Intervention (RTI)</u>

RCTECS will be committed to appropriately and effectively serving all of its students, including those with disabilities. In order to deliver the best possible service, regardless of whether the student is ultimately in need of a referral, RCTECS will institute the RTI Plan described below. The RTI plan outlined below is based on a three-tier model which identifies and supports struggling students and students with disabilities.

RTI is the practice of providing high quality instruction with multiple tiers of support and intervention to ensure the academic success of all RCTECS students, and to identify students potentially at risk of academic difficulty. Early intervention will take place prior to a student's referral and is part of the process by which a struggling learner is differentiated from a student with a disability. The school will do everything possible to support students prior to a referral. The School's RTI process will involve:

- Highly qualified teaching staff provides rigorous instruction to **all** students in the general education class using research-based programs & best practices.
- Periodic school-wide assessment facilitates early identification of students struggling to make appropriate academic progress, (See ***II.E***).
- Instructional Coaches provide ongoing support and supervision of teaching staff.

Teachers will provide coaches with names of struggling students for consideration of additional supports and services.

- For struggling learners, teachers develop a 'Tier 1 Student Profile,' to document the academic and/or behavioral difficulties for students in need of additional support.
- A Student Success Team (SST), consisting of general educators, curriculum coaches, special educators, and related service providers will analyze data from multiple sources, e.g., standardized tests, NYS Exams, teachers, intervention specialists, etc. Data is used to make informed decisions regarding changes to a student's educational program and generate a range of Tier 1 In-Class Interventions.
- Provision and implementation of a range of in-class instructional supports and accommodations by general education staff (Tier 1 Interventions).
- Provision of intensive, small group instruction for students who continue to struggle despite receiving in-class supports, (Tier 2 Academic Intervention Services, AIS).
- Continual monitoring of student progress.
- Making informed referrals to the Committee on Special Education to determine if a child has a disability and requires special education services (Tier 3 Interventions).

A) Tier 1: Prior to receiving Academic Intervention Services

Identification of Struggling Students & Student Profile Development: Prior to receiving Academic Intervention Services (AIS), a Tier 1: Response to Intervention Student Profile will be developed. Teachers provide an accurate and comprehensive representation of a student's academic difficulties, including current levels in math and reading, areas of need, and factors that are impeding the student's success in the classroom.

Multi-Disciplinary Team Meeting and Goal Setting: If a student is not making appropriate academic gains in the classroom, he/she may be eligible for more intensive remediation. Following the creation of a Tier 1 Response to Intervention Student Profile, a multi-disciplinary intervention team, a Student Success Team, will convene to analyze cumulative data and develop an individualized academic intervention plan to address areas of student need. Teachers will be given a range of instructional supports, strategies and/or programs to be implemented in the classroom.

In-Class Interventions: In addition to providing comprehensive, balanced instruction to all students, classroom staff will implement a range of in-class modifications, accommodations and interventions to support the engagement of struggling learners. Classroom staff will have access to supplemental materials to work with students individually or in small groups. Coaches and classroom staff will monitor the relative efficacy of in-class interventions. If a student continues to fall significantly behind peers despite attempted interventions, the student will be eligible to receive more intensive Academic Intervention Services (AIS), in a separate location.

B) Tier 2: Academic Intervention Services (AIS)

The aim of Academic Intervention Services at RCTECS is to provide systematic and meaningful instruction to address the academic needs of individual students. Through AIS, students will develop a range of independently applied skills and strategies to better engage the classroom curriculum. Intervention staff will:

- Generate current assessment data to further target problem areas in struggling students
- Share assessment findings with the Student Success Team
- Create groupings of students with similar strengths and needs
- Provide meaningful instruction to increase global reading, language and math skills
- Increase student's range of independently applied strategies to decode and understand

written content
- Assist students to minimize distractions and focus on a given task at hand
- Increase self-esteem through positive reinforcement and tracking of relative progress

Instructional Discrepancies Between General Education and Academic Intervention:

- Smaller groupings allow for increased attention to individual students
- Increased opportunities for ongoing review
- Focus is on **mastery** of a narrower scope of content or skills
- Intervention can include remediation and review of earlier skills, in addition to assistance with current classroom content
- Pace and content of lessons is to be determined by a student's relative mastery of a given skill or concept

C) Tier 3: Referral to CSE and Review of Procedural Safeguards

If it is determined that a student requires special education services to fully participate in the general education curriculum, then RCTECS staff will work with the parent(s) to review Procedural Safeguards and their respective legal rights to ensure the provision of a free and appropriate public education, and will inform the Committee on Special Education of the school district of residence of the student. Parents are informed of steps in the Special Education process, i.e., referral, evaluation, determining eligibility, creating an IEP and participating in annual reviews.

a) Students with Disabilities

Special education programs and services at RCTECS will be provided in accordance with federal laws and regulations relating thereto and with the individualized education program ("IEP") recommended by the Committee on Special Education ("CSE") serving the student's school district of residence. The School is committed to abiding by all policies and procedures required by federal and state special education, in addition to state charter school rules and regulations. Enrolled students will fully participate in the general education curriculum and state assessments and receive a range of special education services and accommodations in accordance with their most recent IEPs.

Identification of Students with Disabilities: To identify students with disabilities and ensure prompt delivery of service, the Special Education Coordinator will ensure that IEPs are available on site for all enrolled students, including newly admitted students. RCTECS will monitor special education data, including referrals, provision of services, and tracking of student progress and reporting. Within the first two weeks of school, the Special Education Coordinator will meet with all RCTECS staff to review relevant authorities and a student's most recent IEP, including classification, current levels of performance, annual goals and testing modifications. The Special Educator Coordinator will work with relevant agencies to acquire services on IEPs. Teachers will be provided with a copy of RCTECS' confidentiality guidelines and a hard copy of their students' IEPs, which is stored in a locked file cabinet in the classroom.

Description of the Referral Process: Request for Referral and Initial Evaluation Process: Subsequent to the three tier Response to Intervention model employed by RCTECS to identify struggling learners and provide timely intervention, the following procedures are used to initiate a referral and evaluation for a student suspected to have a disability to the Chairperson of the Committee on Special Education (CSE).

- *School Initiated Referrals:* Informed by assessment and classroom data, the teacher and Special Education Coordinator and Academic Intervention Specialist will confer with the Principal and complete a written request for an initial evaluation to the Chairperson of the

Committee on Special Education. The purpose of this request is to: A) Clearly outline difficulties the student is having in the classroom; B) Describe Tier 1 and 2 interventions and supports provided to the student; and C) Describe the extent of parental involvement prior to the referral request. Following approval by the Principal, the request for referral is forwarded to the CSE.

- *Parent Initiated Referrals:* RCTECS will provide support and guidance to parents who wish to independently initiate a referral of their child to CSE. Parents are given a copy of procedural safeguards and sample letter that outlines necessary information to be contained in a request for referral and initial evaluation. If requested by the parent, the School is able to write a request on their behalf and obtain the parent signature.

Please refer to ***Attachment 13*** for a focus on students identified as ELLs.

2. Rationale for these approaches, alignment with the school's mission and education philosophy.

RCTECS' educational philosophy stands on the commitment to serve the intellectual pursuit of a diverse body of learners through rigorous content, creative expression, development of habits, promoting individual student agency, all while working collectively on problem-solving and project-based learning. The approach to having designated ICT teachers will enable RCTECS to follow through on this commitment and will allow for a more focused and supportive learning environment for students with disabilities, struggling students, and gifted and talented students. This approach will also benefit English Language Learners (see Attachment 13). This approach also aligns closely with RCTECS' mission, which is centered around preparing students for careers in the future global marketplace. This is done through experiential learning, internships and post-secondary credits, where RCTECS provides students with access to a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests.

3. Research or evidence that supports the school's approach to serving special populations.

Response to Intervention is a research based approach and NYS required identification process for students with disabilities as described in detail above. Sheltered Content Instruction is a research based approach for supporting ELLs as described in ***Attachment 13***.

4. Staff members who will be responsible for meeting the needs of special populations and their responsibilities and qualifications.

At RCTECS, the staff members who will be responsible for meeting the needs of special populations include: 1) The Principal, who will supervise the Assistant Principal, Director of Special Education, Special Education Teachers and Integrated Co-Teachers and ensure effectiveness of instructional methods used and student success, 2) The Assistant Principal, who will provide direct support to the Principal in their efforts to ensure the needs of special populations are met, while also supervising and providing support to teachers and service providers, 3) Special Education Teachers and Integrated Co-Teachers, who will be responsible for providing instructional support RCTECS' Students with Disabilities, build relationships with all students, participate in and facilitate team meetings and engage in regular professional development, ensure that all Students with Disabilities receive appropriate testing accommodations, attend IEP meetings and coordinate parent and student participation, ensure IEPs are updated and submitted in a timely fashion, and communicate regularly with parents, and 4) Social Workers, who will promote a healthy school culture through counseling services, observations, behavior analyses, and the development of behavior plans. Social Workers will

rely heavily on restorative practices to ensure a healthy school climate.
The responsibilities and qualifications of planned staff are described in ***Attachment 8a.***

5. **Services for special populations will be coordinated with general education instruction.**

RCTECS' instructional practice will feature integrated co-teaching, which is effectively a partnership between general and special education instructors. It will also be grounded in collaborative learning theory, which involves peer-to-peer learning and thus, fosters deeper critical thinking in the classroom. Students have the opportunity to utilize each other's perspectives and experiences to solve problems and develop a shared understanding of meanings. Rigorous collaborative assignments and classroom discussions help students learn key academic content and practice critical thinking through collaboration, communication, consensus building and compromise. Teachers assume a role more akin to a facilitator, as students learn together in small and larger groups, which helps students feel comfortable with discussing their ideas and helps students prepare for professional environments.
Please refer to ***Attachment 13*** for a focus on students identified as ELLs.

6. **Ancillary and support services the school expects to offer students and their families, such as counseling, family outreach, and/or relationships with community organizations or service agencies.**

RCTECS will build upon existing relationships with community organizations and industry partners, as they play a significant role in the School's learning approach. They will work closely with high school and college faculty to connect academic content to real-world situations and to ensure that workplace readiness skills are also addressed. Internships with industry partners will offer real-world experience, enhance students' skills in the areas of specialization and offer them the opportunity to practice and demonstrate employability skills. Ancillary support services will include CEI's mobile treatment team, adding additional clinical staff and instructional specialists to the school community as a resource for professional learning, student advisories, student and staff trauma induced interventions, counseling and supportive group work aligned to restorative practices and developing a whole school climate of a supportive community of learners.
Given the school's focus on wellness, the staffing plan provides for four social workers/ counselors to support students and families using the multi-tier support services approach outlines in II.C. in particular the "System of Care" approach that will involve collaboration across agencies, families, and youth for the purpose of improving services and access and expanding the array of coordinated community-based, culturally and linguistically competent services and supports for children and youth with a serious emotional disturbance and their families.
Please refer to ***Attachment 13*** for a focus on students identified as ELLs.

7. **Process to evaluate the effectiveness of the programs employed to support special student populations and meeting the needs of these students**

The School will seek and review input from a range of sources as to the effectiveness in meeting the needs of students with disabilities. This will include both formal and informal feedback from families of students receiving services through satisfaction surveys and periodic check-ins. RCTECS will also annually review data relating to RTI, student identification rates for IEPs and Section 504 plans and student discipline, noting indicators of significant trends and problems. It will focus on ensuring positive outcomes for students with disabilities – including academic performance and effective transition planning for exiting students.
Please refer to ***Attachment 13*** for a focus on students identified as ELLs.

II.E ASSESSMENT SYSTEM

1. **Use of diagnostic, formative, interim, and summative assessments to evaluate academic progress and achievement, including each assessment's purpose, design, and format.**

RCTECS will implement high quality, standards aligned assessments to measure academic growth and achievement on a per lesson, unit, quarter, semester, and school year basis. Assessments empower board members, administrators, teachers, and non-teaching staff to support students as they progress on their College and Career Pathways. Assessments will inform all stakeholders on the academic achievement and growth of students, and will also be used to assess the quality of the programs and effectiveness of program implementation at RCTECS. Board members and administrators will use assessment data to measure the progress of short and long term goals, continuously monitor student progress, and best support teachers in their development as instructors and their implementation of RCTECS curriculum resources. Assessments will empower teachers to measure the effectiveness of their own instruction and implementation of curriculum, adjust instructional practices to best support students, continuously monitor student progress towards grade-level proficiency, and to provide RCTECS administration and board members with feedback on programs and resources that are backed by data. Unit assessments, quarterly assessments, and interim benchmark assessments will be created by a group of RCTECS staff, composed of teachers, administrators, instructional coaches, and may involve input from education and industry professionals.
A summary of the different assessment types is provided in the tables below.

6-8 Assessments	
Assessments	Academic Progress

Diagnostic/ Screening	• Achieve 3000, NWEA MAP Math and ELA, or equivalent assessment that provides sufficient data on effectiveness and correlation with academic achievement and growth.
	  ○ Diagnostic assessment selection process will occur during the pre-opening phase. The decision will be made by a group of key stakeholders and knowledgeable professionals.
	  ○ Format: Standardized, computer-based
	  ○ Frequency: Beginning of year, end of first semester, end of second semester.
	• NYSITILL
	• NYSESLAT
	Frequency: 2-3 times per year.

Formative	• Fountas and Pinnell
	  ○ F&P testing or equivalent reading assessment will occur
	Frequency: 2-3 times per year.
	• Course Assessments: Unit Assessments and quizzes, class exit tickets, rubric-based projects, rubric-based discussions.
	  ○ Course assessments are administered on a daily, weekly, per unit, and quarterly basis.
	  ○ Course assessments are developed by school-based content teams, composed of teachers, instructional coaches, and administrators. Course assessments align with NYSED standards.

Interim	• End of semester ELA and Math interim assessments. ○ Interim assessments are developed by school-based content teams, composed of teachers, instructional coaches, and administrators. Interim assessments align with NYSED standards.

	Frequency: 2-3 times per year.
Summative	• Benchmark Assessments (All content areas) ○ Benchmark assessments are a combination of multiple choice, open response, or essay questions. Benchmark assessments may also take the form of a rubric-based project. • NYSESLAT **Frequency**: 2-3 times per year.

9-12 Assessments	
Assessments	Academic Progress

Diagnostic/ Screening	• Achieve 3000, NWEA MAP Math and ELA, or equivalent assessment that provides sufficient data on effectiveness and correlation with academic achievement and growth.
	  ○ Format: Standardized, computer-based
	  ○ Frequency: Beginning of year, end of first semester, end of second semester.
	• NYSESLAT
	• NYSITILL
	
	Frequency: 2-3 times per year.

Formative	• Course Assessments: Unit Assessments and quizzes, class exit tickets, rubric-based projects, rubric-based discussions.
	  ○ Course assessments are administered on a daily, weekly, per unit, and quarterly basis.
	  ○ Course assessments are developed by school-based content teams, composed of teachers, instructional coaches, and administrators. Course assessments align with NYSED standards.

Interim	• End of semester ELA and Math interim assessments. ○ Interim assessments are developed by school-based content teams, composed of teachers, instructional coaches, and administrators. Interim assessments align with NYSED standards. **Frequency**: 2-3 times per year.
Summative	• NYSED released practice state tests • Benchmark Assessments (content areas without state, AP, or equivalent end-of-year assessment) ○ Benchmark assessments are a combination of multiple choice, open response, or essay questions. Benchmark assessments may also take the form of a rubric-based project. • NYSESLAT **Frequency**: 2-3 times per year.

2. **Use of diagnostic, formative, interim, and summative assessments/instruments to evaluate the social-emotional well-being and growth of students.**

The School's administrative team and the full-time social workers will oversee the selection, implementation, and continuous monitoring of a research-backed assessment system for evaluating the social-emotional well-being and growth of students. The assessment system will be composed of effective qualitative instruments that inform the RCTECS staff on the students'

social-emotional well-being and growth and will include student interviews, student/teacher surveys and behavior data collection, as needed. This team will lead the professional development and training necessary to ensure that the entire RCTECS staff is knowledgeable on the assessment system and able to adjust their practice based on the assessment system data.

3. **Ensuring all assessments are authentic, embedded in teacher practice, ongoing, lead to targeted supports/interventions, and aligned to state standards. *and***
4. **How both the academic and social-emotional assessments/instruments will be selected and/or created and who will be involved in this process.**

RCTECS will utilize a team of school administrators, content area experts, and teachers to review, select, and plan for implementation and continuous monitoring of the effectiveness of the selected assessment instruments. In the review and selection process, the RCTECS team will look for alignment with Next Generation Learning Standards, alignment between assessment items and cross-curricular literacy philosophy and social-emotional learning philosophy described in section ***I.B*** and ***II.C***., which will include student interviews, student/teacher surveys, behavior data collection as needed.

In particular, RCTECS is considering selection criteria for a reading assessment. Literacy focus will include a) all teachers trained in comprehensive literacy infused into each content area, allowing students to access grade level, engaging, relevant and appropriate materials aligned to pathways and job training needs in the community as well as technology based literacy instruction to include reading writing speaking, college to career content and SEL wellness content, and b) a strong individualized tiered intervention program anchored in use of strong diagnostic/prescriptive assessments with multiple interventions delivered by trained reading and instructional specialists.

RCTECS knows that best practice recommendations are that a universal screener be used and that benchmarking be conducted at least two other times during the school year, typically in the winter and spring (Johnson, Mellard, Fuchs, & McKnight, 2006). Although every individual student may have differences in their reading profiles, struggling readers in Grades 4–12 will, in general, fall into one of the following categories:

- Late-Emergent Reading Disabled Students: These are students who were able to keep up with early reading demands but for whom later demands became too great. Several research studies confirm that there is a category of students who will progress as typically developing students or respond positively to early intervention, only to develop reading problems in the later grades (Compton, Fuchs, Fuchs, Elleman, & Gilbert, 2008; Leach, Scarborough, & Rescorla, 2003; Lipka, Lesaux, & Siegel, 2006).
- Instructional Casualties: Although there has been a strong emphasis on improving reading instruction in the early grades, not all schools have strong reading programs in place. There will continue to be students who have not been the recipients of strong reading instruction in the early grades who will require supports in the later grades (Vaughn et al., 2008).
- English Language Learners: In the past decade, the number of English language learners (ELLs) has increased by 57% (Maxwell, 2009). All schools will need to provide instruction and intervention to meet the needs of a growing ELL population.
- Students Requiring Ongoing Intervention: Students who received intervention at the early grades may make progress, but perhaps not at a rate that is sufficient to allow them to be successful in the general education program without ongoing intervention. These students may require continued intervention in later grades before they are able to successfully

perform at grade-level benchmarks.

This initial pool of identified students then requires additional assessment to determine the extent and nature of their reading problems. A common perception is that the problems that older struggling readers face are primarily due to a lack of vocabulary and comprehension skills (Catts, Hogan, & Adlof, 2005). However, evidence suggests that older struggling students may have problems with comprehension, decoding, and/or fluency (Compton et al., 2008; Leach et al., 2003; Lipka et al., 2006). Among the initial pool of identified at-risk students, targeted screening tests of word-level reading skills, fluency, and comprehension can be used to identify students for specific intervention placements within a school (Torgesen & Miller, 2009).

With this in mind, RCTECS will consider the following types of assessment when selecting a reading assessment:

- Informal reading inventories (IRIs): An IRI is an individually administered reading assessment that allows a reading specialist to assess a student's strengths and needs in a variety of reading areas. Several published IRIs are available.
- Decoding measures: Research suggests that some older students who struggle with reading have decoding problems. Assessments such as the Test of Word Reading Efficiency (Torgesen, Wagner, & Rashotte, 1999), the Scholastic Phonics Inventory (Scholastic, n.d.), and the Woodcock Reading Mastery Test–Revised/Normative Update (Sutton, 1999) can be used to identify students who struggle with basic reading skills.
- Comprehension measures: Both informal and formal measures can be used to identify students who will struggle with reading comprehension. In the content areas, a maze procedure or a Content Area Reading Inventory (CARI; Vacca & Vacca, 1999) can be administered to identify students who will likely have difficulty comprehending content area texts without receiving additional support. Formal measures of reading comprehension can identify students who struggle with reading more generally. A test bank of assessments developed by the National Institute for Literacy provides information on a variety of reading assessments appropriate for use with older readers.
- Fluency measures: Although oral reading fluency has been shown to be highly correlated with reading performance, some researchers caution that a focus on fluency when reading to learn does not promote the use of good comprehension strategies such as rereading, asking questions, and summarizing key points (Samuels, 2007). Fluency measures can be used to inform the assessment of a student's reading difficulties, but interventions should not be limited to increasing a student's reading rate.
- Interest inventories: Another problem for adolescents with reading problems is a lack of motivation and engagement in school. Students with difficulty learning to read often experience problems across the board.

5. Annual assessment calendar.

The assessment frequency is included in the summary of the assessments above.

6. Ensuring the validity and reliability of all of its assessments and how the school will benchmark the results of such assessments against local, state and/or national norms.

To ensure the validity and reliability of the assessments, the School's administrative team will design, review, and support teachers in the implementation of RCTECS assessment policies. These policies will shape the professional development and training for staff on effective assessment implementation and monitoring. When possible, the testing policies and procedures should mirror those set forth by New York State during the state assessments and Regents exams. For high school students, Advanced Placement, ACT, SAT, and dual credit testing

policies should be considered.
Following the assessment design/selection process described above, the results should provide reliable predictions for end of year and Regents exams. The predictive results will provide the school with opportunities to evaluate the progress towards established academic performance goals and compare the results against local, state, and/or national norms.

7. **Processes for administering all assessments and collecting, storing, and analyzing data.**

Unit-level assessments, including but not limited to unit tests, quizzes, exit tickets, and projects will be administered in class by the classroom teacher. The process for administering summative, interim, and diagnostic assessments will be established and overseen by the school administrative team and Data Protection Officer. Policies and processes for storing data will be overseen by the Data Protection Officer and will meet the requirements described in part 121 of the Regulations of the Commissioner of Education.
Analysis of data is expected by every member of the school staff. Teachers and coaches will participate in student data analysis. Administrators will analyze individual student, cohort, grade, and school wide data to evaluate the effectiveness of programs and instruction. The entire staff, led by the social workers and administrative team, will participate in social-emotional data analysis to best support students. This analysis will align with section ***II.A*** and ***I.B***.

8. **How stakeholders will use data: teachers, mental health/social work professionals, administrators, board members, families, and students.**

Teachers: Teachers will use data to evaluate and adjust their instruction and implementation of the curriculum. Teachers will analyze exit ticket data daily to identify trends to best support students. Teachers will participate in a more formal data analysis with instructional coaches for end of unit assessments and will participate in a more robust analysis of data for summative and interim assessments with the teaching staff.
Social Work Professionals: Social work professionals will use academic and social-emotional quantitative and qualitative data to measure and adjust their work with students. Social workers will also use data to support the administrative and teaching staff with any programs or strategies that best support students and align with the wellness described in section ***I.B***.
Administrators: School administrators will use data to measure the progress towards goals and the effectiveness of instruction and programs. Administrators will use teacher observation data to shape the type of coaching that teachers receive and the professional development that is provided for teachers. Administrators will participate in thorough end of year data analysis with the board of trustees to evaluate the overall effectiveness of the School.
Board Members: Board members will analyze school-wide data to make recommendations and decisions to support administrative and teaching staff. Data will be used to evaluate the effectiveness of programs and instruction. Any programs that are adopted/implemented and any partnerships established with the school will have clear metrics to measure the success. The board will oversee the analysis of this data to determine the best course of action regarding programs and partnerships.
*Families and Students***:** Families and students will use data to best understand the strengths and areas for improvement for students. Families will work with teachers to understand their student's data with the goal of supporting their academic and social-emotional growth. Students will develop their academic and social-emotional data analysis skills in order to develop agency and ownership of their well-being described in section ***I.B.***

9. **How individual student, student cohort and school-wide results will be used for both academic as well as social-emotional measures.**

The academic and social-emotional results will be used to determine the strengths and areas for improvement for instruction, administration, and the school as a whole. School-wide results will provide year-to-year comparative data as well as a way to compare the results to the beginning of year goals and similar/surrounding schools and districts.

Student cohort results will support teachers in reflecting and adjusting their instructional practice and serve as a way for instructional coaches and administrators to support in the coaching conversations with teachers. The student cohort results should also allow the teachers, coaches, and administrators to evaluate the effectiveness of the MTSS strategies described in section ***II.C***.

Individual student results will be used to shape data meetings between teachers and students and should also inform the content of conversations with families. These results will provide students with data points to refer to as they reflect on their academic and social-emotional goals. Teachers and coaches will use individual student data to evaluate the effectiveness of the teacher's instructional strategies and adjust instruction as necessary.

Administrative Goal Setting: The School's administrative team will participate in a robust goal-setting before the beginning of the year. This process should involve the board of trustees and CEI to formalize the key priorities of the School and to clearly establish the primary and secondary indicators that can be used to measure the progress of the established goals.

Teacher Goal Setting: Teachers will set goals at the beginning of each semester and reflect on those goals at the end of each semester. The format or template used for this goal setting will be selected/designed by the school administrative team, in collaboration with the instructional coaches and teachers. These goals will be grounded in the Danielson Framework for Teaching and will determine the way in which coaches support the teacher's development.

Student Goal Setting: Students will participate in quarterly goal setting using a structured template that is selected/designed by the school administrative team, in collaboration with teachers. Goal setting has shown effectiveness by motivating students and increasing academic achievement.[51] The goal setting will include academic categories associated with the selected benchmark and diagnostic assessments as well as course or report card grades. The social-emotional goal setting will be selected/designed by the team of school social workers, in collaboration with the school administrative team. Both the academic and social-emotional goal setting included achievement and growth goals.

10. Informing families and students about academic and social- emotional progress and achievement/growth.

RCTECS teachers will follow the communication guidelines set forth by the School's administrative team that outline the frequency with which they should communicate via a preferred method with families. These more frequent conversations with families will provide opportunities for brief summaries of academic and social-emotional progress and achievement/growth. During the quarterly report card conferences, teachers will participate in more formal conversations with families regarding the academic and social-emotional progress and achievement/growth. The structure of these conversations will be introduced and supported by the School's administrative team.

II.F. PERFORMANCE, PROMOTION, AND GRADUATION STANDARDS

1. Student Promotion

RCTECS will serve students whose completion of credits, as denoted on transcripts, classify them in grades 6-12. The promotion of a student will be determined by both academic

[51] https://scholarworks moreheadstate.edu/cgi/viewcontent.cgi?article=1018&context=msu_theses_dissertations

achievement, credit completion and results of assessments. Promotion will be based on yearly growth and a student will not progress to the next grade level if adequate credits have not been attained within a year and the teachers and administrators determine that retention is the right course for student success. The teacher evaluates the study assignment, and after successfully completing the unit the teacher assigns a unit test or some other appropriate assessment. The test shall be completed for a percentage grade. RCTECS will utilize the following grading scale:

A = 100% to 90%
B = 89% to 80%
C = 79% to 70%
D = 69 to 60%
F = 59% and below

When a student passes a course with a 60% grade or better, the student receives the associated credit. All course grades along with the student's grade point average will be included on the student transcript. It is the intent of RCTECS to mirror the transcript of the Rochester school district so that student records are easily understood when transfers or new enrollments occur. Elective courses offered at RCTECS will align with the state and district requirements and will be based on student interest. A significant number of the electives will focus on Career and Technical courses in order to continue the progression to career certifications that may be available to students.

Several strategies and metrics will be used to identify successful transitions between grade-levels and post-graduation. Dropout rates in specific grade levels can indicate a specific hurdle in the curriculum. RCTECS will be able to respond quickly by adopting different instructional approaches or curriculum support, thus putting a focus on the identified difficulty. Similarly, the grade point average (GPA) can be an indicator of a successful grade-level transition. GPA class ranks can be listed on all student transcripts in grades 11 and 12 to motivate students to place within the top 10% of their class and thus be competitive for college admission after graduation. Partnerships will be formed with other Rochester community initiatives, such as MCC, RTMA and Hillside Work-Scholarship Connection, to help students further their education after high school graduation and become productive citizens in the Rochester community.

Promotion and graduation requirements will be provided to families and students upon enrollment and during orientation sessions and will be provided in writing in the RCTECS Student Handbook. Additionally, instructional staff will work one on one with students and inform parents of promotion and graduation requirements during Parent Teacher conferences.

2. Supports for Students Not Meeting Promotion or Graduation Requirements

As a charter school dedicated exclusively to serving a student population who have likely not met the state or district required graduation requirements, RCTECS that will have an educational program implemented from day one, with numerous systems, structures and supports. Our instructional program will be driven by student data gathered by the teachers themselves in order to make informed decisions about assessment, curriculum, pedagogy, and student services. Teachers will continuously look at student work and questions in order to inform, structure, and refine their instructional practice and utilize a Multi-Tiered System of Support (MTSS) to support all students. MTSS is a tiered framework of interventions designed to help educators provide the best academic, behavioral and social-emotional support strategies for students with various needs. By using MTSS as the foundation of the instructional model we help guide educators in identifying students in need of additional support by using evidence-based support strategies for students who are at risk for not meeting promotion or graduation standards,

including the following: Small Group Instruction, High Dosage Tutoring, Mentoring, Trauma-Responsive, Restorative Justice and Circle Practices, and System of Care. See ***II.A.*** and ***III.C.***

3. High School Graduation Requirements

RCTECS will follow all New York State statutes, regulations and guidelines that pertain to New York State high school graduation requirements. SWD will be held to the same promotion standards as other RCTECS students and will be held to the same standards for Regents and Local Diplomas as other students in New York State.

Subject	Number of Credits Required
English	4 Units
Social Studies	4 Units (two units Global Studies, one unit of U.S. History, ½ unit Participation in Government, ½ units Economics)
Math	3 Units
Science	3 Units (at least two in Life Science and two in Physical Science)
Foreign Language	1 Unit
Physical Education	2 Units
Health	½ Unit
The Arts	1 Unit
Other Electives (CTE Course including CFM)	3 ½ Units
Total	22 Units

Additionally, students must pass Regents exams with a score of 65 or higher in the following subjects: Global History and Geography, United States History and Government, English, Mathematics, and Science. SWD may qualify for a Local Diploma with a score of between 55-64 on one or more required Regents Exam.

II.G. SCHOOL CULTURE AND CLIMATE

1. Vision of school culture that aligns with the school's mission and education philosophy.

At RCTECS, we will expect every member of our school community to treat one another with dignity and respect. This is a core component of successful social-emotional learning. We see discipline as a method through which we support students in developing a strong internal moral compass that helps them make choices in alignment with their larger values. Intentionally collaborative relationships between the school staff, families and students is imperative to developing this skill. Our school thrives on strong relationships, routines, and consistency. Our classroom expectations reflect this. Our approach to discipline is through a teaching lens, rather than a punitive lens.

Every reasonable effort will be made to correct inappropriate behavior through counseling and other school-based interventions such as restorative practices. Supports and interventions are essential because inappropriate behavior or violations may be symptomatic of more serious problems that scholars are experiencing. It is, therefore, important that school personnel be sensitive to issues that may influence the behavior of scholars and respond in a manner that is

most supportive of their needs. Appropriate disciplinary responses should emphasize prevention and effective intervention, foster resiliency, prevent disruption to scholars' education, and promote positive school culture. When a scholar's misconduct results in a placement out of the classroom, the school will consider, where appropriate, using the restorative circle process as an effective strategy to support a successful return to the scholar's regular program. This aligns with our mission of preparing students for career pathways in future global markets as SEL skills go hand-in-hand with independence and professional success. Creative expression, development of habits, and promoting individual student agency are all key components of our education philosophy, and strong social-emotional learning and programming sets the foundation for success in all three areas.

2. Provide any research or proof of effective existing models that support the proposed approach to school culture and discipline.

In 2018, NYSED released *Social Emotional Learning, Essential for Learning, Essential for Life,* in which it states SEL "is the process through which children, youth, and adults acquire and effectively apply the knowledge, attitudes, and skills necessary to understand and manage emotions, set and achieve positive goals, feel and show empathy for others, establish and maintain positive relationships, and make responsible decisions" (Collaborative for Academic, Social, and Emotional Learning (CASEL), 2015)**.** These competencies complement academic learning and lead to critical employability skills. As such, many employers prioritize these skills when hiring. RCTECS will include SEL training, aligned with the NYSED SEL Framework and included benchmarks, in its curricula. Using the NYSED developed guidance, Social Emotional Learning: A Guide to Systemic Whole School Implementation, as well as The Leader in Me, by Franklin Covey, SEL practices will be incorporated in several ways from being embedded in decisions around discipline and school climate, academic lessons to direct explicit instruction and interventions, and professional learning for families. Please see ***II.A***. and ***II.C*** for further research that supports RCTECS's approach to school culture and discipline.

3. Explain who has primary responsibility for school culture and discipline.

At RCTECS, the Principal and Assistant Principal will have primary responsibility for school culture and discipline, working closely with the social worker(s) and counselor(s).

4. Describe the strategies and staff the school will employ to develop and sustain this school culture.

Staff at RCTECS will employ the following strategies to develop and sustain a positive, healthy school culture:

- Staff are intentional about how they teach and reinforce behaviors, and this starts by planning for and weaving in Social-Emotional learning into each day.
- Staff discuss and demonstrate implementation of the school rules from the very first day of school. The rules are tied into the students' day-to-day and applicable to their lives outside of school.
- Staff puts emphasis on the impact of actions and helps students explore what cause-and-effect looks like by modeling expectations and building conversations around behaviors and supporting the reparation of harm through critical thinking strategies.
- Staff employs a student-centered, constructivist and critically-conscious approach to behavior modeling and learning.
- As part of our commitment to restorative justice, the School will use circle practices. When students break something, be it a relationship or a student project, we provide an opportunity for them to contribute to fixing it. When a relationship has been harmed,

students come to circle to better understand each other's feelings and their impact on each other. They are held responsible for their actions and for repairing the relationship.

At RCTECS, we believe that a Responsive and Restorative approach to discipline is directly aligned with our objective to increase learning opportunities for our students. Our approach centers the student--their identity, values, ideas, and the impact of their actions on the community.

5. Explain how the school will establish a safe and orderly school environment that is conducive to learning.

RCTECS will promote a welcoming and nurturing school culture that enhances positive interpersonal and intergroup relations and embraces diversity among scholars and between scholars and staff. This environment will provide all scholars with a supportive and safe environment in which to grow and thrive academically and socially. The ability of scholars to learn and meet high academic standards and RCTECS' ability to educate its scholars are compromised when scholars engage in discrimination or harassment, bullying, or intimidating behavior toward other scholars. Therefore, everyone in the school community—teachers, support staff, safety agents, cafeteria, custodial staff, bus drivers, guidance counselors, scholars, and families—needs to understand what bullying is and the rules that prohibit such behavior. Clarifying school-wide rules that prohibit bullying and discrimination and discouraging bystander behavior (on-looking) are vitally important to helping scholars play a pivotal role in bullying prevention. Integral to preventing scholar-to-scholar bullying and/or bias-based behavior is effective social-emotional learning that helps scholars develop social-emotional core competencies. These fundamental life skills are recognizing and managing their own emotions, developing caring and concern for others, establishing positive relationships, making responsible decisions, and handling challenging situations constructively and ethically.

6. Promoting, monitoring and assessing the social-emotional development of students.

RCTECS' will promote social-emotional development of all of our students, through the restorative practices described herein and will monitor and assess them through the MTSS tiered practices described in ***II.C. Wellness Centered*** and ***II.E.***

7. Approach to student behavior management and discipline for both the general student population and for SWDs.

When disciplinary action is needed, school leaders and staff at RCTECS will use professional judgment and our philosophy of discipline to identify the appropriate course of action. Several factors, including the ones listed below are used to guide this process:

- The student's age and maturity level
- The nature and seriousness of the infraction and the circumstances that led to the infraction
- The student's previous disciplinary record
- The effectiveness of other forms of discipline
- Information from parents or guardians, teachers and/or others, as appropriate

When a student does not meet behavioral expectations and a violation of the school's Code of Conduct has occurred, clear and consistent disciplinary action will ensue, and other consequences as further described below. Progressively more serious disciplinary consequences shall be imposed upon any student who repeatedly commits one or more disciplinary offenses. The school reserves the right to consult with law enforcement when appropriate.

When students break the rules, one of the ways RCTECS teachers will respond is with logical consequences, which are non-punitive and help students recognize the impact of their actions. These consequences are respectful of the student, relevant to the specific behavior demonstrated and reasonable for both the teacher to implement and the student to see through. Loss of privilege, Break It, Fix It, and Positive Time Out are all approaches to logical consequences, as detailed below:

- Loss of Privilege – A privilege is an opportunity for students to learn to be responsible when acting autonomously, such as choosing a partner or using classroom equipment. When a student struggles to manage that responsibility the privilege is removed for a brief period of time, generally a class period or a day.
- Break It, Fix It- This type of consequence gives students the opportunity to fix or clean up something they've broken or spilled, whether on purpose or by accident. It reinforces the fact that we all make mistakes and when we do, it's our responsibility to clean up after ourselves.
- Space and Time – This logical consequence lets a student who is losing focus or having trouble controlling their words or actions go to a designated space in the classroom to calm down and refocus.

Egregious behaviors, including continual disruption, extreme disrespect to the teacher or others, or any physical altercation, may result in removal from the class and referral to the assistant principal or principal, followed by a phone call home and/or suspension. The effective implementation of Logical Consequences drastically reduces the number of suspensions. However, at times, student conduct has so violated the norms of the community that a period away from the community is required to support the child's eventual reintegration to the community and the repair of harm done. Please see ***Attachment 4*** for more detail around RCTECS' approach to discipline.

8. **Monitoring and evaluating the efficacy of school culture and discipline**.

The School will follow and faithfully implement the Code of Conduct provided in ***Attachment 4***. It establishes a comprehensive approach to student discipline that is clear and provides appropriate notice to students about the School's culture and the rules that help us to foster and maintain it, as well as the consequences for violating School rules. RCTECS will annually assess the effectiveness of our disciplinary policy. We will review suspension and expulsion data, looking for any indications of patterns, disparate impact, or other inequities. RCTECS will periodically seek input from families and staff regarding school culture and discipline and will carefully consider making positive changes to its policies. The School will also stay abreast of national best practices regarding student discipline and consider adapting its practices to maximize equity and effectiveness.

II.H. SCHOOL SCHEDULE AND CALENDAR

1. Explanation of the school calendar.

The school calendar is designed to look similar to the RCSD calendar. There will be families that have one or more students enrolled at RCTECS and have one or more students enrolled in another school in the district. To ensure that our calendar does not cause families any challenges with childcare, the RCTECS school calendar is designed to look similar to the district calendar. The organization of the school year is in quarters and there are 184 school days for students. Teachers will participate in 5 additional professional development days during the school year and 11 summer professional development days.

2. Account of the instructional day, from three student perspectives: on-grade level, at risk for academic failure, and above grade level.

All students will participate in more math and ELA minutes than required, as described in ***II.B***. On-grade level students will have the opportunity to participate in computer science courses, CEI Introduction to Careers, and will be assigned to an intervention class that accelerates their learning with other students on-grade level. Students above grade level will have the same opportunities as the on-grade level student, but will be in an intervention class that provides above grade level work and challenges them. The above grade level students may have the opportunity to advance one year in mathematics by taking the Algebra I exam in middle school and starting the Health Sciences CTE pathway before their peers. Below grade-level students or students at risk for academic failure will still participate in computer science courses, but their intervention block will be designed to address their specific needs and support them in passing their courses. These students may have courses where a co-teacher is present in order to support their needs.

3. Explanation of the student weekly schedule.

Middle school student weekly schedules will provide opportunities for 90 minutes of math and ELA at least 4 days per week with one day per week of 45 minutes. Students will have all other classes 3 or 4 times per week for 45 minutes. This design allows for the additional minutes of math and ELA, the inclusion of unique courses (computer science, intervention, and CEI Introduction to Careers), and a reasonably longer instructional day.

The high school student schedule is a hybrid block schedule. Students will have 80 minutes of math and ELA instruction everyday through at least 10th grade, and will continue to have 80 minutes of math and ELA every day or every other day through high school, based on their academic achievement. Students will have the opportunity to participate in one or more CTE pathways and the 55 minute blocks every other day allow for elective courses and CEI Introduction to Careers to fit in the schedule. In 12th grade, students have the opportunity to participate in Work Based Learning blocks, designed to best meet the needs of each student and prepare them for their next steps after high school graduation.

4. Explanation of the teacher weekly schedule.

Teachers will teach approximately 240 minutes per day and have 160 minutes of planning time or professional development/coaching meeting time. Elective teacher schedules may vary from day to day based on the 3 or 4 days per week of electives present in the middle school schedule. The school administrative team will assign duties and responsibilities appropriately to ensure equity in the teaching load, regardless of content area.

5. Research or other evidence that supports the school's calendar and schedules.

Research shows that block scheduling has many advantages over the traditional high school schedule. For teachers, it provides a more manageable schedule. Teachers teach fewer classes and can devote 25 percent of their day to planning instruction, and in particular, to common planning. The benefits of increased common planning that RCTECS seeks to foster though its block scheduling include: 1) teachers may feel more confident and better equipped to address their learners' learning needs, and they may become more willing to participate in the type of self-reflection that leads to professional growth, and 2) more teaching innovation may take hold in classes and educational programs, and educators may begin incorporating more efficient and evidence-based approaches teaching strategies that are being used by colleagues.[52] For students, the approach also offers a simpler, more practical schedule. Students have more opportunities

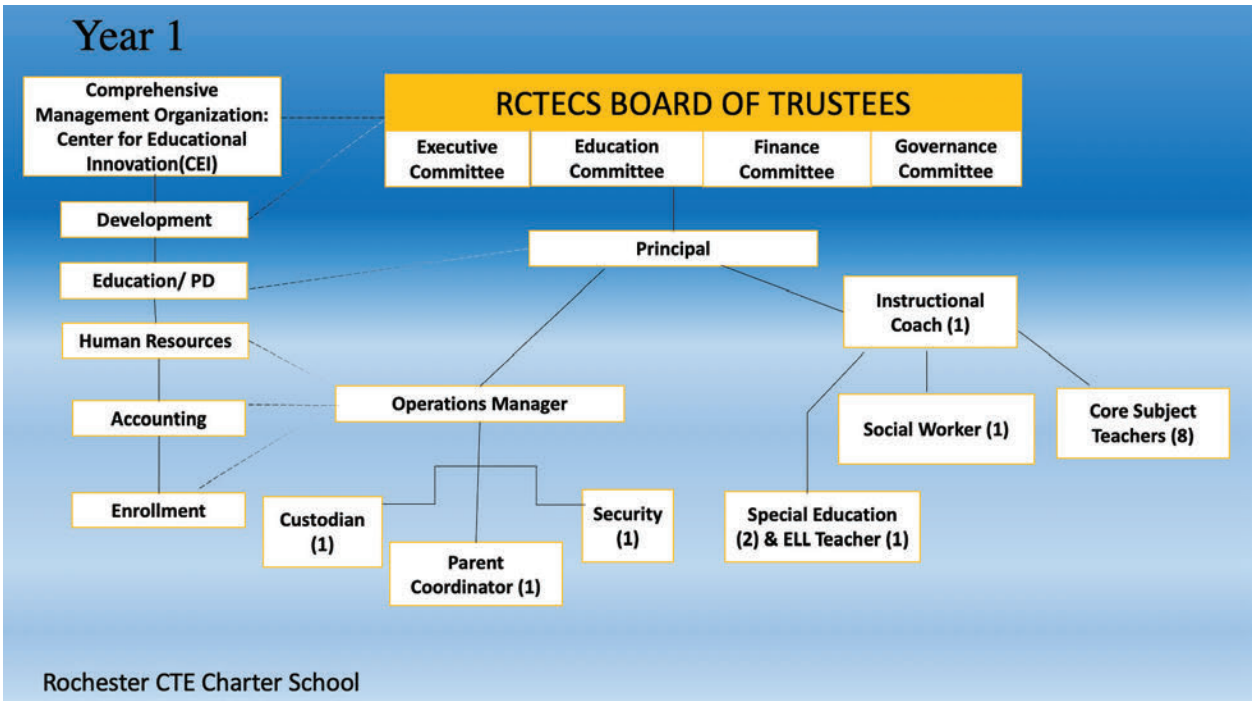
[52] https://www.theedadvocate.org/how-to-effectively-use-common-planning-time/

to complete required courses. In particular, research supports that "Students also gain time to acquire the prerequisite skills to succeed in a rigorous high school program of study."[53]

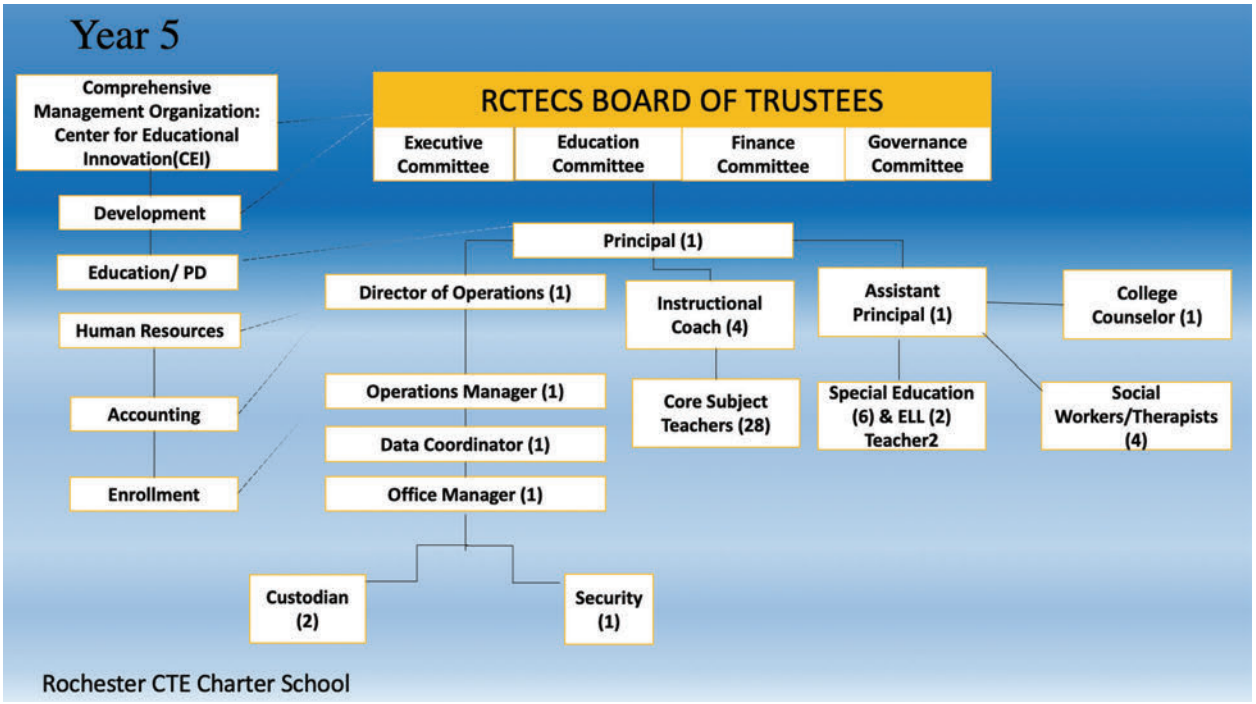
Section 3: Organizational and Fiscal Plan

III.A. ORGANIZATIONAL STRUCTURE

1. Organizational chart that shows the staffing structure and lines of reporting for the board, administration, and staff over the charter term.



[53] https://www.ascd.org/el/articles/the-4x4-plan



2. Rationale for the organizational structure of the school.

RCTECS Board of Trustees will hold the charter if awarded by NYSED. The Board will hire the Principal to lead the School. The Principal will hire all other staff members. The unique learning model of the School, including small group and one-on one-instruction delivered by teachers and tutors, is reflected in the instructional staffing that scales with the Year 1-5 student enrollment plan and allows for lean non-instructional staffing.

RCTECS proposes to contract with CEI as a comprehensive management organization to provide the educational program, including curriculum, assessment, materials and professional development; support with hiring and human resources management; student recruitment, marketing and enrollment; support fundraising; and provide financial management services.

III.B. BOARD OF TRUSTEES AND GOVERNANCE

1. Roles and responsibilities of the school's board of trustees.

Each Trustee shall perform all duties of a Trustee, including duties on any Board committee, in good faith and with that degree of diligence, care and skill, including reasonable inquiry, as an ordinary prudent person in a like position would use under similar circumstances. As members of the governing body of the Corporation, Trustees shall refrain from taking actions that abuse their authority.

2. **Proposed governance practices of the school, including:**

Board size: As described in ***Attachment 5b***, the number of Trustees of the Corporation shall be not less than five (5) nor more than seventeen (17).

Qualifications for board membership: The Board may elect any person who in its discretion it believes will serve the interests of the Corporation faithfully and effectively and believe in the mission of the School. The proposed board includes individuals with a diversity of professional experience that serves the school and its mission, and it seeks to maintain this diversity with the recruitment of additional board members. All board members must be willing to dedicate the necessary time and energy to ensure the effective and smooth operation of the school, adhering

to all guidelines in the bylaws. A Trustee may hold any number of offices, except that neither the Secretary nor Treasurer may serve concurrently as the President.

Board member recruitment and selection: CEI will provide governance training to the Board, which includes the suggestion of establishing a Nominating Committee. The practices of the committee will include developing a Trustee Job Description and a Board Recruitment Tracker- a document that helps the committee identify outstanding experience needed on the Board and prioritize candidates in the pipeline based on priority areas identified to round out the board.
Board member appointment or election: The Board shall elect the Officers annually at the Annual Meeting or a regular meeting The Board shall elect Trustees by the vote of a majority of the Trustees then in office. Board members will be required to submit to NYSED the required paperwork and seek approval before being officially seated.
Member terms: As described in ***Attachment 5b,*** each Officer serves at the pleasure of the Board, holding office until resignation, removal or disqualification from service, or until his or her successor is elected. The term of each Trustee shall continue for three (3) years, except the term of any Trustee who is a parent of a child enrolled in the charter school shall be one (1) year.
Ex officio and/or representative positions: One ex officio Board seat shall be reserved for a parent of a student currently enrolled in the school.
Structure of the board, including officers and committees: The Officers of the Corporation consist of a President, Vice President, a Secretary and a Chief Financial Officer (hereinafter "Treasurer"). See ***Attachment 5b.*** The Board may create committees for any purpose, and shall appoint members to, and designate the chairs of such Boards. A Board standing committee ("Standing Committee") will consist of not fewer than three (3) Trustees, who shall serve at the pleasure of the President of the Board. An Executive Committee shall consist of not fewer than five (5) members who shall serve at the pleasure of the President of the Board. The Standing Committees of the Board will include the following:

- An Executive Committee responsible for setting Board direction and taking action on the Board's behalf in situations where convening the full board would not allow for resolution in a timely manner;
- A Finance Committee that presents monthly and annual financial statements to the Board, that proposes the annual budget for Board approval, and that reviews and approves the annual audited financial statements;
- An Education Committee that: 1) monitors the academic achievement of Rochester CTE CS students based on data from the schools' comprehensive assessment program, 2) monitors the progress of the Corporation's overall educational program in relation to the goals and objectives stated in each school's charter application, and 3) conducts the annual performance evaluation of the Corporation's Principal and negotiates the terms of his/her contract; and
- A Governance Committee that is responsible for evaluating the Board's effectiveness and nominating new Trustees.
- Ad Hoc Committees.

*Conduct of board and committee meetings***:** Board Meetings shall be held at the Corporation's Principal Office, or at such other location designated by the Board. The location of any Board meeting shall comply with the requirements of the Open Meetings Law. The Board may from time to time elect to conduct meetings remotely via video conferencing equipment in a manner that is consistent with the Open Meetings Law and other applicable authorities. An Annual Meeting shall be held in the month of June of each year for the purpose of electing Trustees,

making and receiving reports on corporate affairs, and transacting such other business as comes before the meeting. Regular meetings shall be held at least one time per month (12 times per year) and other times as the Board determines. A Special Meeting shall be held at any time called by the President, or by any Trustee upon written demand of not less than one-fifth of the entire Board. A majority of the Trustees present at a meeting, whether or not a quorum, may adjourn the meeting to another time and place.
Process to govern multiple schools under one educational corporation: N/A
*Process to promote parental/guardian and staff involvement in school governance***:** One ex officio Board seat shall be reserved for a parent of a student currently enrolled in the school. Further, board meetings will be advertised to promote guardian and staff attendance.
Adherence to Open Meetings Law: In accordance with the Open Meetings Law, if a Board of Trustees' meeting is scheduled at least one week in advance, notice of its time and place shall be given to the news media and conspicuously posted in one or more public locations at least seventy-two (72) hours before the meeting. If a meeting is scheduled less than one (1) week in advance, notice of the time and place of the meeting shall be given to the news media, to the extent practicable, and shall be conspicuously posted in one or more public locations at a reasonable time before the meeting. Notice of all Board Meetings, including annual, regular and special meetings, shall be given to the public in a manner consistent with the Open Meetings Law. To the extent there are any conflicts between any provision of these Bylaws and the Open Meetings Law, the Open Meetings Law will control.
Board training and development and for new and veteran members: Board training will be provided by CEI to the RCTECS board as part of the management agreement. Annual board self evaluations and the work of the Nominating Committee will determine training priorities for the board. All new trustees will receive training and orientation on how to be effective board members, including in-depth knowledge of the School's mission and goals. Members of the board of trustees, as well as school staff members, will meet with new board members several times to ensure that the orientation training has achieved its desired goals.

2. Expertise and backgrounds of the proposed members of the initial board of trustees and any vacant positions that will be filled between charter approval and school opening.

See ***I.D.*** The application group has identified legal experience as a recruitment priority.

4. Authority the board of trustees will retain and authority it will delegate to school employees or others.

The table below sets forth key decision rights between the board and the Principal, or the authority the board and authority it will delegate to the leadership of the school. In highly culture-driven organizations it is tempting to say many key decisions are collaborative. Though many decisions will be arrived at collaboratively, in alignment to NYSED's charter amendment guidelines for requesting material and non-material changes, the following decisions will be held by the board using the RAPID decision rights framework:

- R = Recommend - Makes proposals, consults with input providers, provides data & analysis that inform decision
- A = Agree - Negotiates modifications with Recommender if they have concerns, exercises veto power if necessary
- P = Perform - Executes decisions once made, ensures actions are prompt & effective
- I = Input - Provides relevant information to the Recommender to inform feasibility, sustainability, and practicality
- D = Decide - Ultimate point of accountability, closes the decision-making process, commits the organization to a decision

Category	Decision Type	Board of Trustees	Principal	Notes
Strategy	Mission, vision, key design elements	D	R/P	*Strategy and mission-related decisions are made by the Board with Principal recommendations.*
	Changing the name of the School	D	R/P	
	Strategic/Business Plan	D	R/P	
	Annual strategic priorities and goals	D/I	R/P	
	Annual school goals/academic and financial benchmarks	D/I	R/P	
	Contracting or discontinuing contract with an educational services provider	D	R/P	
Curriculum & Instruction	Instructional Model: educational philosophy or program	A/I	D/R	*Decisions about the curricular and instructional model are made by the Principal and informed and/or vetoed by the Board.*
	Curriculum	A/I	D/R	
School Culture & School Design	Academic calendar/ School Schedule	A	D/R	*Decisions about the school design and school culture are largely made by the Principal and informed and/or vetoed by the Board. Those that require material changes to the School's charter are decided by the Board.*
	Admissions and Enrollment Policy	D	R/P	
	Increases or Decreases to the maximum enrollment and/or grade span	D	R/P	
	Student/Family Handbook	A	D/R	
	Adding or removing a summer school program	D	R/P	
	Discipline Policy	A	D/R	
	Promotion Policy	A	D/R	
Talent Recruitment and Hiring	Teacher/Staff Handbook	A	D/R	*Decisions are largely made by the Principal and informed and/or vetoed by the Board. Those that require material changes to the School's charter are decided by the Board.*
	Personnel Policies	A	D/R	
	Complaint/ Grievance Policy	A	D/R	
	Code of Conduct	A	D/R	
Finance	Annual budget development and approval	D	R/P	*Board makes decisions based on Principal recommendations and input.*
	Annual budget management	D	R/P	
	Financial policies and procedures	D	R/P	
	Long range budget planning	D	R/P	
Development, Communications, Community & Parent Engagement	Fundraising plan	D/R	R/P	*The Board makes decisions about fundraising needs and stewardship of fundraising in alignment with annual and strategic financial goals.*
	Donor relationship management	A/I	D/R/P	
	Partnership Development - funding	D	R/P	
	Partnership Development – educational program	A/I	D/R/P	
Operations	Organizational Structure/ Organizational Chart	D/R	R/P	*Board makes decisions with Principal recommendations.*
	Merger or Restructuring of Education Corporation	D/R	R/P	
HR Policy and Processes	HR processes and policies	A	D/R	*Decisions are largely made by the Principal and informed and/or vetoed by the Board. Those that require material changes to the School's charter are decided by the Board.*
	Employee handbook	A	D/R	
	Employee benefits	A	D/R	
Facilities	Acquisition of a new facility or building	D	R/P	*Board makes decisions with input from the Principal.*
	Lease negotiation	D	R/P	
	Financing Arrangement	D	R/P	

4. Holding school management and management organizations accountable for achieving the school's mission and goals.
See ***III.E***.
5. Incorporating the principles and practices of diversity, equity, and inclusion in policies and practices as well as board membership and in framing the academic and social-emotional supports for students and the community.
See ***I.H.2.***
6. Training and supports the proposed board of trustees will engage in.
CEI will be the professional learning provider for the board of trustees. CEI provides governance training to other NYSED approved charter schools. Governance experts include Stephanie Mauterstock, CEI Executive Director of Charter Schools, and Paul O'Neill, Tugboat Education President. Proposed training includes:

1. Overview of Board of Trustees Responsibilities: Accountability to your charter authorizer (NYSED), General NYS regulations, Specific accountability measures included in the school's charter, and Roles and responsibilities outlined in the school's charter by-laws.
2. Board and School Leaders – Roles & Responsibilities: Governance and/vs Day-to-Day School Leadership, Progress Monitoring - Explanation of Data/Accountability Measures, and Reporting to charter authorizer (NYSED).
3. Role of the Charter Management Organization (CMO): Overview of CMOs and NYS charter legislation, Role of the BoT in relation to CMOs, Review of CEI's roles, responsibilities and scope of work in relation to RCTECS.
4. Charter Performance Goals & Monitoring: Overview of the 2019 NYSED Performance Framework & Benchmarks, and Overview of the BoT's role in reviewing progress and benchmark data.
5. Annual Meeting/ Board Retreat: Refresher on role of the board, Identify priority action items for the board to address, and Create one-year plans to address priority action items.

7. How the board of trustees will evaluate their capacity and identify the need for additional expertise to serve on the board of trustees.
The Board will self-evaluate annually to determine training for the upcoming year and to identify skill areas needed on the Board. The Board will use this self-evaluation tool.
8. Supports the applicant group is putting into place to familiarize itself with effective board governance practices, applicable laws, Board of Regents expectations, the dichotomy between governance and management, and other areas integral to the operation of a high performing charter school board.
RCTECS will work with CEI to receive training and familiarize itself with effective board governance practices, applicable laws, Board of Regents expectations, the dichotomy between governance and management, and other areas integral to the operation of a high performing charter school board of trustees. See ***III.C.5.*** for more details on management and governance.

III.C. MANAGEMENT AND STAFFING

1. Complete the staffing table below for all positions employed over the first charter term.

Proposed Staffing Chart						
Positions	**Avg. Starting Salary**	**FTE**				
		Year 1	**Year 2**	**Year 3**	**Year 4**	**Year 5**

Principal	$125,000	1	1	1	1	1
Assistant Principal	$100,000		1	1	1	1
Instructional Coach	$70,000-80,000	1	2	3	4	4
Director of Operations	$100,000			1	1	1
Operations Manager	$65,000	1	1	1	1	1
Data Coordinator	$50,000				1	1
Parent Coordinator	$50,000	1	1	1	1	1
Office Manager	$50,000		1	1	1	1
ELA Teachers	$60,000	2	4	6	6	6
Math Teachers	$60,000	2	4	6	6	6
Science Teachers	$65,000	1	2	3	4	4
Computer Science Teachers	$60,000	1	2	3	4	4
Social Studies Teachers	$60,000	1	2	3	3	3
Art/Music Teachers	$60,000	0	0	1	1	1
PE Teachers	$60,000	1	1	2	2	2
Foreign Language Teachers	$60,000	0	0	1	2	2
Special Education Teachers/ Academic Intervention Services	$65,000	2	4	5	6	6
ELL Teachers	$60,000	1	1	2	2	2
Social Workers/Counselor	$65,000	1	2	3	4	4
College/ Career Counselor	$60,000	0	0	1	1	1
Custodian	$35,000	1	1	2	2	2
Security	$30,000	1	1	1	1	1

2. Explain the staffing plan, including delegation of responsibilities and relationships with key stakeholders, and provide a rationale for the proposed staffing plan.

The Principal will be the head of school and all staff will report to the Principal. The School's Director of Operations beginning in Year 3 and the Operations manager in Years 1 and 2, supports the Principal with all non-academic functions of the School. The School will have few non-instructional staff and lean management staffing as CEI, through a management contract with the Board of Trustees. See ***Attachment 6a*** for a summary of services to be provided by CEI.

3. Describe the roles, responsibilities, and desired qualifications of the school leader.

The Principal is required to have, develop, or hire experience and expertise in school leadership, administration, and governance; curriculum, instruction, and assessment; data-driven decision making; serving special populations (including, but not limited to English learners and students

with disabilities); professional development; performance management; and, parent and community engagement. Please see ***Attachment 8a*** for a complete job description of the Principal including roles, responsibilities and desired qualifications.

4. Plans for the recruitment and selection of a school leader.

A proposed Principal has not yet been identified. The applicant group, CEI Rochester team and national team have been working through their networks to identify a leader and CEI's Talent Team is also actively recruiting. Please see ***Attachment 8a*** for a complete job description of the Principal including roles, responsibilities and desired qualifications.

5. Explain the management roles and responsibilities of key administrators with respect to the education program, school operations and finance.

RTCECS understands that the board of trustees holds the charter with the charter authorizer. The duties of the Board are that of governance and they will use their standing committee work, in addition to monthly board meeting to over key administrators. The Principal will report to the Academic Committee and the board as a whole and the Director of Operations (DOO) will report to the Finance Committee and to the Principal.

The Principal is responsible for the overall management of the school, specifically the educational program and is also the public face of RTCECS, and is responsible for managing all relationships with the community, parents, the authorizer, and for all operations, fundraising and development and meeting the operational and financial goals of the school's accountability plan. The Principal oversees instruction at the school and works closely with the Assistant Principal to ensure that academic and instructional standards are met. Higher stakes decisions, particularly around vision, large-scale initiatives, and personnel, are made by consensus between the Principal, DOO and Assistant Principal and with the CEI's input and the board's input as needed or required. RCTECS believes that this model leads to decisions being more thoroughly vetted and thought out than had they been under the purview of just one person. The Principal and DOO jointly hire and fire all staff and strongly consider recommendations from the instructional coaches and DOO in the hiring and firing of instructional and program staff. The Principal and Assistant Principal supervise and evaluate all instructional and program staff including teachers, counselors, dean, and support staff. They ensure that the educational program is meeting the goals of the charter by coordinating the educational programs, professional development, curriculum design, and staff accountability. The principals supervise the Special Education staff and ELL staff, to ensure that SWD and ELLs are receiving mandated services.

The DOO is responsible for finance, operations, human resources, information systems, facilities and other non-academic operations, such as food service, custodial and nursing with the Operations Manager leading in these non-instructional areas and reporting to the Principal until the DOO is hired in Year 3.

6. Describe management and staffing plans for identifying and serving SWDs and ELLs.

RCTECS will follow all statutes and guidelines that pertain to serving ELLs and SWDs. Please see ***Attachment 13*** for a description of plans for identifying and serving ELLS and ***II.D*** for identifying and serving SWDs. The Principal will oversee the ELL and Special Education teachers and ensure the School's plans are implemented with fidelity. Depending on the number of SWDs enrolled and student and teacher schedules, Special Education teachers may also serve as Academic Intervention Specialists. With academic intervention services as part of the RTI identification and referral process for SWDs, this allows for seamless services for students and close collaboration between Special Education and academic intervention services on a given grade level. The staffing plan plans for one Special Education/ Academic Intervention Services

teacher on a grade level. The School will determine the exact number of ELL teachers to be hired annually based on student demographics and meeting the needs of ELL students anticipated in ***I.F***.

7. Recruiting and retaining high quality teachers, including compensation and benefits.

RCTECS's talent management plan includes strategies and timelines to recruit and hire qualified leadership, instructional and support staff. RCTECS will use the targeted strategies listed below to attract teachers who are committed to the innovative educational offering of the School and CEI, with a teacher recruitment arm for schools it supports, will also deploy its team to recruit and develop a diverse pipeline of qualified candidates.

Hiring and Retention Strategies: Build meaningful relationships with SUNY and CUNY teacher certification programs to 1) provide presentations of RCTECS's education program to their college student population 2) partner with college and university Education Departments to provide student teaching assignments 3) advertise job openings within the Career Centers and online career web portals 4) participate in job fairs. Teachers will also be provided access to Grand Canyon University's teacher certification online program, free to staff and the School through its partnership with CEI.

Recruitment and Retention Effectiveness: Our culture, workplace practices, benefits and compensation are designed with a holistic and consistent focus on the whole employee. After a review of RCSD teacher compensation and benefits as well as alignment with RCTECS longer school day, RCTECS is planning to offer competitive salaries which are budgeted at 20% higher than the district salary schedule. While the RCTECS school day is longer, the unique student schedules, with double blocks of ELA and Math at all grade levels and for additional courses at the high school level, provide teachers more planning time during the school day, the majority of additional time which RCTECS hopes will be used for common planning, creating even further professional learning time and efficiencies for teachers. See ***II.H.5***. A key part of RCTECS's staffing plan is a high level of individualized teacher support through instructional coaches, who are mentors, guides and non-evaluative. Mindful of the local and national teacher shortage, RCTECS, with the support of CEI, will evaluate the effectiveness of its recruitment and retention activities annually.

Employee Benefits: We believe that our benefit offerings are key to demonstrating to our employees that we are committed to investing in their health and well-being, their family, and future. RCTECS will offer quality, affordable group medical, dental, vision, and life insurance plans to regular, full-time employees. We will also offer at no cost to the employee supplemental benefits that include long term and short-term disability insurance and a 401K plan with a 3% employer match beginning in Year 1.

8. Promoting equity and diversity in educational leadership and staffing with individuals from historically underrepresented communities, managed by a board of trustees and school leadership team which will be primarily comprised of members who represent diversity in socio- economic status, gender, sexual orientation, ability status, and race, including but not limited to, persons who meet the definition of a minority group member set forth in New York State Executive Law Article 15-A.

Broadening Board and Staff Diversity: Our staff will identify as people of color, where our founders, leadership team reflects the diversity of our staff, and where diversity and inclusion practices inform how we work together as an organization. RCTECS will continue to expand diversity across the organization and deepen our understanding of diversity. We will:

- Expand our understanding of diversity in our professional development for staff and in the metrics we track
- Evaluate and improve recruitment and hiring practices
- Recruit and retain an expanded pipeline of leaders of color

Inclusive Organizational Culture: Creating the cultural conditions for trust are a high priority for our organization. We recognize the need for cultural shifts and deepened investments in not only having a diverse workforce, but also ensuring that these diverse perspectives feel included and heard. We will:

- Implement SEL and DEIJ learnings/ tools into our school and staff systems and structures (e.g., arrival, discipline, staff meetings)
- Create DEIJ and SEL tools to promote best self
- Develop and deliver DEIJ training sessions on culturally responsive teaching and on growing into our staff members' own understanding of themselves and the work we do through a DEIJ lens

Operationalizing Equity: As with constructing an inclusive organizational culture, developing equitable processes will be a key area of focus. In particular, we are committed to building increasingly transparent processes for our staff, which will include clear information about career advancement, performance management, compensation, and work sustainability. We will:

- Build centralized, equitable and transparent processes to ensure our human resources language and policy reflects our DEIJ commitment
- Refresh performance management system, including competency models
- Develop, refine and share equity-driven, competency-based career pathways
- Establish supports for better work/life balance

With its professional learning expertise in SEL and DEIJ, CEI will be a key partner to the School in implementing these initiatives.

9. Designed to promote equity and diversity in educational leadership and staffing with individuals from historically underrepresented communities, and maintaining a teaching staff primarily comprised of members who represent diversity in socio-economic status, gender, sexual orientation, ability status, and race, including but not limited to, persons who meet the definition of a minority group member set forth in New York State Executive Law Article 15-A, with additional incentives and supports for such teaching staff such as student loan payment assistance and/or assistance with acquiring NYS teacher certification.

As the School develops local partnerships with SUNY and CUNY for teacher certification opportunities, all teaching staff will have access to Grand Canyon University which will offer free NYS teacher certification programs to RCTECS teachers through its relationship with CEI. CEI will support the school with fundraising initiatives to support student loan payment assistance.

III.C.1. COMPREHENSIVE MANAGEMENT SERVICE PROVIDERS

1. If a comprehensive management services provider/CMO has been identified, describe the process for selecting that organization and the rationale for this choice. Also describe the role of the management organization in the charter application process.

CEI has been selected as the comprehensive management organization (CMO) based on the following strengths of the organization:

- CEI is aligned to the applicant's group mission and developed a comprehensive educational model for the School that addresses the current and future needs of Rochester, complements Rochester's existing portfolio of schools, and provides a new

and innovative model for career and technical education with pathways in computer sciences and health sciences as well as apprenticeship and internship opportunities for skilled trades;

- CEI has demonstrated capacity and skill in the areas in which it seeks to provide support to the School, namely, education, including curriculum, assessment, materials and professional development; support with hiring and human resources management; student recruitment, marketing and enrollment; fundraising; and financial management back-end services;
- It has a local Rochester team with demonstrated capacity and known to the members of the founding group;
- CEI has been a demonstrated partner to the applicant group, convening the applicant group four times prior to the application submission and detailing next steps that CEI can support on and how the applicant group can help, providing training to the applicant group on the draft by-laws and proposed MOU development, and serving as the lead author of this application at no cost to the applicant group;
- CEI has a demonstrated commitment to serving both public and charter schools in Rochester and throughout NYS, having worked tirelessly over the last 30 years to emerge, develop and disseminate best practices across the sectors; and,
- CEI is an experienced and known operator to NYSED.

2. If a CMO has not been identified.

N/A. CEI has been identified as the proposed CMO.

3. The fee structure for the CMO.

The fee structure has been determined at 10% of public revenues of the School for each of the five years of the charter. The applicant group finds this fee to be below market for the CMO services outlined in ***Attachment 6b*** compared to other operators in NYS which routinely charge 12-15% or higher, and CEI's services are comprehensive in nature as outlined in ***1.3)*** above.

4. Roles and responsibilities of the CMO in the school and the relationships between school staff and the management organization.

Please see ***III.A.*** For the purposes of supporting any fundraising needs of the School, CEI will work with the School's Board to ensure alignment with the financial goals and health of the school on an annual and long-term basis. CEI will also provide governance training to the Board, as outlined in ***III.B. 6***. For the purposes of education, CEI will work directly with the Principal and other instructional leaders of the School to design and deliver professional development and develop and select curriculum, assessment and materials. CEI's talent team will support the Director of Operations and the Operations Manager with hiring and human resources management, including the establishment and maintenance of a filing system. CEI's operations team will support the Operations Manager with student recruitment, marketing and enrollment. And CEI's finance team will support the Director of Operations with financial management including bookkeeping, bill payment, payroll and creation of financial statements.

5. Relationship between the CMO and the school's board of trustees, including whether any employees or board members of the management organization will serve on the proposed school's board of trustees.

None of the members of the applicant group are employees or trustees of the CMO and the Board's bylaws do not plan for any of the employees or trustees of the CMO to be seated on the School's Board.

6. Explain how the school's board of trustees will provide oversight and hold the CMO accountable for achieving the school's mission and goals.

Please see ***III.E. 8.***

III.C.2. PARTNER ORGANIZATION(S)

Not applicable.

III.C.3 NETWORKED SCHOOLS

See ***Attachment 6c.***

III.D. STAFF SUPERVISION AND DEVELOPMENT

1. **Describe the school's instructional leadership roles and responsibilities for teacher supervision, support, and professional development.**

The Principal will be responsible for teacher supervision, primarily as it relates to the core academic program of the School. The Assistant Principal will be responsible for teacher supervision and support, primarily as it relates to the wellness program of the School. The Instructional Coach(es) will be responsible for teacher support and modeling. CEI will partner with instructional leaders to develop annual professional development plans for the School and with the Academic Committee to develop annual professional development plans for instructional leaders. In Years 1 and 2, CEI will design and deliver all professional development, in particular during Teacher Institute prior to the state of the school year, and gradually train and hand off responsibility to RCTECS leaders as the School develops capacity. CEI will train and coach instructional leaders on teacher evaluation tools.

2. Describe the school's professional development plan for administrators, teachers, and other staff, including how schoolwide and individual staff needs will be identified and how the plan will address these diverse needs.

*Instructional Leaders***:** Given its expertise in and the effectiveness of instructional leader professional development on a school and its teaching staff, CEI places an emphasis on this. Given RCTECS's small size and CEI Rochester team's expertise in this area, instructional leader professional development for RCTECS will be highly individualized and high touch. CEI uses a five-phase support process that integrates ongoing and in-depth evaluation of data to set goals, discuss trends, identify problems and causes, craft interventions, refine goals, and track results. CEI implements a 5-phase process, with Phases 1-3 aligning with our design method and Phases 4-5 aligning with development and delivery of services. The 5-phase process is described below. CEI will work with RCTECS to refine this process annually based on the existing and emerging professional development needs of the School.

1. Conduct Needs Assessment: CEI works closely with school leaders to conduct a thorough review of issues, concerns, areas for growth, and current trends. After the first year, CEI will also evaluate existing school data documented by the last three years of the school's the NYS Annual School Report Card and NYSED CSO teacher and parent survey data. Both quantitative and qualitative data are used to determine which areas and learning approaches best suit the needs of aspiring, new, and experienced school leaders. Additionally, CEI will analyze student demographics and how they correlate with the Schools' needs. CEI will conduct a needs assessment in July and early August.

2. Establish SMART Goals for School Improvement: CEI will work with RCTECS school leaders in establishing SMART goals (specific, measurable, attainable, relevant and timely) for professional development, using both leading and lagging indicators to track progress towards these goals.

CEI will help the School measure change in a range of areas: School Environment and Perceptions; Student Achievement; and Human Capital, Facilities and Resources. Using a logic model approach, CEI will help instructional leaders set target benchmarks (interim and annual) attached to these indicators, as well as determine processes to collect, organize, analyze and take action on data related to these benchmarks.

3. Align Comprehensive Educational Plans with SMART Goals: Ultimately, the SMART Goals will inform the School's Comprehensive Educational Plan (CEP) such that it sets a "blueprint" for implementing the school's development. The SMART Goals help school leaders and CEI identify priority areas of focus along with specific focus topics for inquiry teams to help school leaders address key curricular and instructional issues.

4. Communicate & Implement Professional Development Programs: Once a clear professional development plan is established, CEI will supports instructional leaders in messaging and building buy in for the professional development initiatives, as appropriate. CEI's will also help align resources, programs and other partner organizations so that they help achieve the School's SMART goals. CEI's network of charter schools can be combined to provide a cohort learning experience to RCTECS to harness the power of school networking, which includes sharing of effective practices, inter-visitations, peer support, sharing of resources (particularly in the area of professional learning), and collaborative problem solving. CEI has been using this model for the past four years in two major initiatives: 1) as a Partnership Support Organization to 207 New York City public schools; 2) as the lead partner in PICCS, a program funded under the federal Teacher Incentive Fund to implement performance-based compensation systems in a network of 31 charter schools.

5. Ongoing Assessment & Action: In order for instructional leader professional development plans to be effective, data-driven design requires ongoing and in-depth analysis and use of the data collected in earlier phases. CEI will facilitate regular reviews of benchmark data through protocols that guide collaborative inquiry and decision-making based on data. Using a systematic approach, stakeholders look at data, discuss trends, identify problems, discuss the causes, craft interventions, develop goals, and track results. School leaders will be able to make course corrections to the professional development plan when adaptations are required.

Please see ***Attachment 6c*** for evidence of CEI's effectiveness with this model and how developing school leadership has also increased leader and teacher retention, sustaining school growth and development.

Additionally, CEI's Rochester Leadership Coach will implement the job-embedded coaching/mentoring component by facilitating bi-monthly meetings with the Principal, Assistant Principal and Instructional Coach(es) over the duration of the academic year. CEI will provide 1-to-1 coaching for school leaders to ensure targeted support in developing their leadership capacity.

Teachers: Teachers will participate in 11 summer professional development days, called RCTECS's Teacher Institute, and 5 additional professional development days during the school year. The goals of the RCTECS's Teacher Institute is to build a shared sense of mission, vision, values, and mindsets; teach our teachers the fundamental approaches for lesson internalization, data analysis, lesson delivery, and classroom management to ensure a successful launch of the school year; understand how to best educate and support our most at-risk students, students with disabilities, and MLL/ELL students; and build a sense of team and community amongst staff. Preparing teachers for success on day one of the school year is allocated the most time during

summer PD, which will ensure a strong launch of the school year and will provide a foundation from which teachers can be further developed during the year.

3. Explain how and by whom professional development will be delivered and differentiated based on the experience level and subject area expertise of teachers.

The support of CEI's Rochester Leadership Coach will inform the development of instructional leader and with instructional leaders, will inform the teacher professional development. Using other local instructional coaches for content area expertise and CEI's national resource library and trainers for Teacher Institute, the School will have the resources and support to deliver differentiated professional development based on the experience level and subject area expertise of teachers.

4. Explain how this plan will be implemented and evaluated within the context of the proposed charter school's design.

CEI aims to help school leaders develop equity-driven skills, behaviors, and attitudes to drive school success. While objectives for professional development will vary based on the unique needs of RCTECS during its life cycle, growth and unique challenges, the overall objectives are to help school leaders create and implement effective community building, family engagement and civic engagement strategies in their schools and communities; build leadership capacity at all levels of the school team; and, deliver engaging, evidence-based professional development and coaching that ensures participants receive adequate learning dosage to effect change

Outcomes of professional development for school leaders and teachers include:

- Increased engagement in rigorous and coherent curricula
- Improved alignment of assessments to curricula
- Improved teacher pedagogical practices
- Effective strategic organizational decisions
- Improved capacity to evaluate results of strategic organizational decisions and make effective adjustments as needed
- Communicating a coherent vision of school improvement to all school stakeholders
- Establishment of a culture for learning
- Increased mutual trust and positive attitudes among and between staff and students and staff that provides for a safe, supportive and inclusive environment for all students
- Improved instructional leadership as demonstrated by effective teacher observations
- Increased structured professional collaborations

RCTECS and CEI will evaluate the effectiveness of professional development through pre- and post- surveys and student progress on interim and summative assessments.

5. Establishing a professional climate that results in purposeful teaching and learning and leads to reasonable rates of retention for school administrators and teachers.

CEI's work is aligned to RCTECS's mission and strategic priorities. The same way RCTECS aims to foster students' individual talents and abilities, CEI will foster principal, instructional leaders and teachers' knowledge, skills, and motivation to adopt new, evidence-based practices. CEI's work puts students at the center, uses an equity lens, and focuses on whole child education, reflecting RCTECS' core beliefs. Moreover, this investment in school leadership will be designed to meet RCTECS' needs and goals. In the same way that the School is intentional about staffing the School to meet the needs of students, it will do so to promote a professional climate that leads to high rates of retention for staff. The School will employ one instructional coach in Year 1 and four in Years 4 and 5, providing teachers with dedicated non-evaluative

mentors to support with curriculum and content development, lesson planning and instructional strategies to meet the needs of all learners.

6. Formal and/or scheduled opportunities and the frequency of such opportunities for teacher planning and collaboration.

In addition to RCTECS's Teacher Institute, RCTECS's school calendar includes 5 additional professional development days during the school year. For example, during Teacher Institute, professional development may be delivered over the course of two days to train teachers on data inquiry and data action planning to develop teacher understanding and skills they will practice during data professional development days during the school year.

Data Days: Following interim assessments, we will have a full day of PD to analyze the assessment data and create a targeted action plan to respond to the data with the guidance and support of the Instructional Leadership Team. Teachers will work closely with their instructional coach to identify accountability measures to ensure the reteach or tutoring is effective. Once action plans are complete, teachers practice delivering the re-teach and receive real-time feedback from their instructional leader on the lesson execution.

Curriculum and Lesson Planning: Prior to a new unit, teachers will work with the Instructional Leadership Team to deeply internalize unit planning documents so that they understand how the unit fits into scope of the year and the vertical and horizontal alignment of skills, to ask questions about the curriculum, and to understand key content.

Additionally, every week, each teacher will internalize his/her lessons approximately one week in advance of teaching the lesson and send to the Principal or Assistant Principal and instructional coach for feedback. This will ensure that teachers understand the most effective way to execute a lesson and have an opportunity to practice lesson components during their 1:1 meetings with Instructional Leadership Team members. RCTECS's unique school schedule providing double blocks of ELA and Math at all grade levels will allow for teacher common planning, which can be scheduled and supported by instructional coaches. See ***II.H.5***. This will also allow for PLCs to be practices throughout the school year as scheduled by instructional coaches.

III.E. EVALUATION

1. The School's evaluation processes and procedures, including key roles and responsibilities, and how the results will be used:

A. Board of trustees and individual board members: The Board will evaluate itself against a clearly defined set of goals through an evaluation rubric that allows members to provide feedback on membership, meetings, and process, along with assessing accountability. The Board will review and analyze the results to inform its plans for the annual retreat, where it will also engage in a formal, goal-setting process. In addition to the annual self- assessment and goal setting, the Board will monitor the School's progress towards goals through quarterly reports on academic, financial, and operational data to the board committees and monthly status reporting by school leadership to the full board.

B. School leader(s): The Board will regularly and systematically assess the performance of the Principal against clearly defined goals, and make timely use of the evaluations. This tool will be updated to reflect goals and performance targets prior to the start of each school year at the annual board retreat, and at this time the principal and board of trustees hold a formal meeting to discuss the performance evaluation targets for the following school year. The Principal evaluation rubric rates the leader on attainment of academic, operational, leadership, instructional, and school culture goals. The Board conducts an annual evaluation of the school

leaders that incorporates a self-assessment and the academic committee's assessment. CEI may be asked to provide supporting evidence for the evaluation.
C. Key management positions: We will create internal performance rubrics from which to assess these school leaders, as well as including results from our annual staff surveys related to effectiveness of the Leadership Team. Each school leader will have a mid-year performance review aligned to our performance rubrics. Results will be used to set individual goals for growth and development in the upcoming school year. CEI may be asked to provide supporting evidence for the evaluations.
D. Teachers: Teachers will receive mid-year performance reviews in December and will receive end of year reviews in April or May. The School will use Charlotte Danielson's *Framework for Teaching* to evaluate and track the professional development goals and progress for teachers. The Framework is aligned to RCTECS's mission and is used for individual teacher coaching, identifying individual and school-wide professional development needs and teacher evaluation.
E. Non-Academic Staff: Similar to teachers, non-academic staff will receive mid-year performance reviews in December and will receive end of year reviews in April or May. Rubrics will be provided to staff during summer PD so teachers will know how they will be assessed. Results of these evaluations will be used to determine individual goals for each staff member.

2. How teachers will be held accountable for quality instruction and student performance.

Teachers will be held accountable for student academic performance, lesson delivery, classroom management, professionalism, and teamwork throughout the year. The Principal or Assistant Principal will conduct informal observations of all teachers on a weekly basis, or more frequently if needed. We will track student performance results following NWEA MAP, interim assessments, NYS assessments, and others. This data is used to guide improvement of teachers' instructional and planning practices leading up to two formal evaluations by the Principal or Assistant Principal each school year.

3. Processes and procedures that will be used to evaluate the school's operational effectiveness and fiscal soundness.

We will use internal and external audits to evaluate the effectiveness of our operational systems, fiscal soundness, and programmatic efficacy. This will allow us to leverage experts in the field to offer unbiased feedback about our program and will ensure that we continue to develop. Twice per year we will have CEI evaluate the effectiveness of our operational systems and action plan to address gaps in our systems. Similarly, the annual financial audit will follow generally accepted accounting principles and the external auditor that is hired by the Board will produce their own report and determine the format of the report. The annual governance audit will use templates and best practices on Board governance that will be established by the Board and CEI.

4. The school's requirements and procedures for programmatic audits.

The School's programmatic audit will also inform the submission of an annual report, which includes an accountability plan progress report to NYSED, in accordance with Education Law §2857(2). This will include comparative academic and fiscal performance in addition to the School's federal and state revenue sources, salary expenditures, capital expenses, student services, student suspension, standardized test performance, student enrollment, students with disabilities, students with limited English proficiency data and other pertinent information. As indicated, the annual report will include an accountability plan progress report, which will present a discussion of the School's progress toward meeting the goals identified in the accountability plan.

5. How the school will monitor progress towards achievement of its mission and goals as well as the benchmarks in the Framework and share those results with the school community.

The School will monitor progress towards achievement of its mission and goals as well as the benchmarks in the Framework through the creation of an annual report to NYSED, which will be posted publicly on the School's website and discussed at board meetings and Family Organization meetings. Information regarding the School's progress and academic success will be shared with the community, staff members, and friends of the School via the school website, mobile app, and newsletters. The information is also provided during monthly Family Organization and board meetings and community activities.

6. How family and student satisfaction will be evaluated and the results used to improve the school.

Monthly Family Organization meetings will encourage parents to share any concerns with both administrators and board members in a timely and transparent way. Parents will be encouraged to participate at public meetings and an ex officio seat will be held on the board for a parent, who will report out at monthly Board meeting. RCTECS will assess family and student feedback and satisfaction through the NYSED CSO Parent and Student Surveys, school-created parent surveys, and informal school-created student and family surveys.

7. How the school will evaluate family and community involvement.

The School will evaluate family and student feedback and satisfaction through the NYSED CSO Parent and Student Surveys, school-created parent surveys, and informal school-created student and family surveys, with at least 85% of the parents who respond saying they somewhat or strongly agreed that the School seeks feedback from parents through surveys, meetings, or some other way.

8. How the school will evaluate the effectiveness of organizational partnerships or management service agreements

Alignment of CEI's work streams with the NYSED benchmarks will support the Board in establishing clarity around how CEI will support the School in meeting its priorities. CEI will reports to the Board at monthly meetings and address education and furtherance of the School's mission, student recruitment, school finances, governance training, facilities; and identification of and application to additional funding opportunities. The Board will monitor the efficacy of its partnership with CEI through an annual independent evaluation.

III.F. FACILITIES

1. Facilities table.

	Year 1	Year 2	Year 3	Year 4	Year 5
General Education Classrooms	6	12	24	27	27
Special Education Classrooms	2	4	6	8	8
Counseling/Guidance Offices	1	2	3	4	4
Administrative Offices	2	4	5	5	5
Cafeteria	1	1	1	1	1
Gymnasium	.5	.5	1	1	1
Auditorium	.5	.5	1	1	1

Conference Rooms	1	2	3	4	4
Nurse's Office	1	1	1	1	1
Other: computer science lab				1	1
Other: health sciences lab					1

2. Facility needs over the charter term, including any community resources needed.
RCETCS is developing an Innovation Center (IC) that is a shared instructional facility for local public and charter schools that desire CTE programming but cannot sustain programs at their home site, addressing equity concerns regarding access to high quality programming. The IC will provide multiple career pathways based on current labor market demand and industry and college partnerships. See ***I.C.*** All participants will have access to; high-quality CTE programming, work-based learning opportunities, college-level coursework, industry site visits, enhanced family engagement, and industry-recognized and NYSED-approved technical assessments. Students will have the chance to learn through project-based learning relevant to the rigors of postsecondary education and industry requirements. The computer sciences pathway will have a computer science lab, planned to be constructed by Year 4 and the health sciences pathway will have a health science lab, planned to be constructed by Year 5.
Postsecondary partners such as SUNY Brockport, Monroe Community College, and others, will support the alignment of CTE courses of study with college readiness level work. Students will pursue courses on college campuses.

3. If facilities have been identified for part or all the charter term, describe their location, condition, and capacity for meeting the school's needs. Include any renovation requirements and timelines.
A suitable facility within Rochester city limits has been identified for the School, however, the board is continuing to research other viable options. The facilities identified to date previously served as a school and the condition is move-in ready. With regard to renovations, the computer sciences pathway will have a computer science lab, planned to be constructed by Year 4 and the health sciences pathway will have a health science lab, planned to be constructed by Year 5. The applicant group has been in conversations with Nichols Construction, local to Rochester and experienced in renovating schools.

4. Plans for identifying and securing a facility, including who will be involved in this process and the timeline.
A suitable facility has been identified for the School, however, the board is continuing to research other viable options. CEI will lead the search locally and bring suitable facilities to the board, which may include a temporary and future site and will manage the process and timeline using the pre-opening plan. See ***Attachment 11.***

5. The school's funding plan for its facility, including all related revenue and costs, e.g., rental assistance, utilities, maintenance, renovations, etc.
The school had adequately budgeted for facilities from its general operating funds, assuming $20 per square foot and 90 square feet per student. The school has budgeted an additional 25% above rent for utilities. Planning for a computer science lab and a health sciences lab, the budget includes $150,000 in Years 4 and again in Year 5.

III.G. INSURANCE

1. Types and amounts of insurance coverage to be obtained by the school, including insurance for liability, property loss and the personal injury of students.

General Liability: In compliance with minimum coverage limit requirements for the New York School Districts which includes bodily injury (including personal injury to students) and property damage liability, product/completed operations liability, personal and advertising injury. Limit of coverage is $1,000,000 per occurrence and $3,000,000 in the annual aggregate.

Workers Compensation: Coverage complies with statutory obligation and provides benefits for employees with claims of bodily injury or occupational disease (including resulting death) as required by the State of New York and Employer's Liability Insurance.

Property: Coverage of $350,000 shall include the direct physical loss of property including earthquake and flooding. Property pertains to buildings, real property and its contents, known as Business Personal Property, with valuation designated at replacement cost for covered losses.

Directors & Officers (including Educators Legal Liability) & Employment Practices Liability: Coverage for $1,000,000 to protect the Directors from Lawsuits; from improper judgement or decision making; protecting management from employee lawsuits for discrimination, sexual harassment, and wrongful termination.

Abuse & Molestation: Coverage for the protection against allegations of sexual predatory actions by employees of the charter is included under General Liability.

Commercial Crime: Coverage includes $350,000 for Employee Theft of company funds, $275,000 for Forgery, $250,000 for Computer Fraud, $50,000/$25,000 for Inside/Outside Money & Securities, and $25,000 for Deception Fraud.

Cyber Liability: Coverage includes Data Breach Liability of $1,000,000 including Network Information Security, Regulatory Defense Expenses, Computer Program and Data Restoration Expenses, e-Commerce Extortion, Security Breach Remediation & Expenses.

Umbrella or Excess: Coverage shall include $10,000,000 in limit with an annual aggregate of $10,000,000 on a follow-form basis over General Liability and D&O.

2. Explain the types and amounts of insurance proposed for the school.

RCTECS requested a quote from Austin and Co. for the School, including the name of the insured and amounts of insurance for liability, property loss, and personal injury and any school owned or leased vehicles or other property that align to the School being in private space, estimated payroll and total number of students served in Year 1. The annual premium quotes below are included in the proposed budget.

For: Rochester Career and Technical Education Charter School			08/09/22
	Coverage	New Business	
		Limits	Premium
1	**Property – Choice Form**		
	Business Personal Property (BPP) including Improvements & Betterments, Computer Hardware & Software Replacement Cost & Agreed Value	350,000	**$6,000**
	Earthquake & Flood	1,000,000	
	Property Deductible:	*2,500*	
	Earthquake/Flood Deductible:	*25,000*	
	Wind Deductible:	*5,000*	
	Equipment Breakdown	Included	
	Business Income with Extra Expense	1,000,000	
	No Coinsurance Provision		
	Crime		
	Employee Theft including ERISA	350,000	
	Forgery	275,000	
	Computer Fraud	250,000	
	Money & Securities- Inside / Outside	50,000 / 25,000	
	Deception Fraud	25,000	
	Automobile		
	Hired & Non-Owned Liability	1,000,000	
	Hired Physical Damage *Deductibles: 500*	35,000	
2	**Cyber Risk Coverage**		
	Network and Information Security	1,000,000	**$4,500**
	Regulatory Defense Expenses	1,000,000	
	Computer Program & Data Restoration Expenses	1,000,000	
	e-Commerce Extortion	1,000,000	
	Security Breach Remediation & Expenses	1,000,000	
	Retention:	*10,000*	
	Total Aggregate Limit	1,000,000	
3	**Directors & Officers**		
	Including Educators Legal Liability	1,000,000	**$8,500**
	Internet Liability	Included	
	Workplace Violence	100,000 Sub-limit	
	Employment Practices Liability	1,000,000	
	Third Party Liability	Included	
	**Retention:*	*15,000*	
	Fiduciary Liability	1,000,000	
	**Retention:*	*1,000*	
	Defense Costs are Outside the Limits		
	**Applies to Both Indemnity & Defense Costs*		

4	**General Liability** Any One Occurrence Annual Aggregate Abuse & Molestation Coverage Corporal Punishment Employee Benefits Liability *Enrollment:* **Umbrella Liability** Extends over General Liability and D&O Any One Occurrence Annual Aggregate Abuse & Molestation Coverage Corporal Punishment *Retention:*	1,000,000 3,000,000 Included Included Included *150* 10,000,000 10,000,000 Included Included *10,000*	**$11,250** *Annually* **$5,500** *Annually* *(not including dividend returns)*
5	**Workers' Compensation & Employers' Liability** Experience Modification Estimated Payroll - Code 8868: School/Prof & Clerical Code 9101: School All other	Statutory Limits N/A 1,330,000 65,000	**$9,000** *(not including dividend returns)*
6	**Student Accident** Accident Medical Expense Accident Dental Expense *Deductible (Per Accident):* Type of Coverage	50,000 Included *0* Full Excess	**$500**
7	**Catastrophic Student Accident** Accident Medical Expense Accident Dental Expense *Deductible:* Type of Coverage	1,000,000 Included *50,000* Full Excess	**$300**

III.H. NON-ACADEMIC OPERATIONS

1. Health services.

RTCECS will comply with all health services requirements applicable to public schools.
Nurse: RTCECS will provide a school nurse to monitor students, 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 and the Principal will be trained in use of the AED equipment and cardiopulmonary resuscitation (CPR). Vision and hearing screenings will be coordinated with the local district. All visits to the nurse, including reason and treatment, will be documented in each child's file. Health records will be stored in locked filing cabinets, inside the nurse's office, accessible only by authorized staff members. These records will include proof of immunization and authorization for administration of medication.
Immunizations: The School will ensure that all students adhere to New York State requirements for immunization. All supporting documentation will be copied and placed in the students' cumulative health record. Parents or guardians will need to 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.
Medications: RTCECS will implement strict policies and procedures regarding the safe and secure administration of prescribed medication, which will be communicated clearly to parents and staff. RTCECS will only administer medication that is necessary to maintain students in school and which must be given during school hours. The School will require in writing both orders from a licensed prescriber and permission from parent or guardian 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 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, and prescriber's name, title, signature, and 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 the information above.

The School's health services program will ensure that each student has a certificate of immunization that complies with §2164 of the Public Health Law at the time of registration or within the acceptable time frame after enrollment (subject to exceptions permitted under the law for medical contraindications and religious exemptions). The School will store health records for enrolled students as required by law. Prior to beginning each school year, the School will secure parental consent to identify students with health risks and provide accommodations to faculty and staff when appropriate.

2. Food services

We will provide free breakfast, lunch, and two snacks to every child, every day, and we will participate in the federal school breakfast, lunch, and snack programs. Our food service will comply with all nutritional guidelines established by the federal government. We are currently exploring using the food service providers Red Rabbit and Revolution Foods, which would provide breakfast, lunch, and snacks for our students. The food would be prepared off-site and brought to the School. Any final decisions will ensure that our food service is in compliance with state regulations and is cost-effective for our school. Our DOO will work with our Office Manager to ensure that we have accurate and updated records that list any existing food allergies and will communicate this information to all staff and the food service provider. Our DOO will send home lunch forms to compile accurate data and will incentivize the returning of these forms for each homeroom. We will apply to become a Local School Food Authority, which will allow us to manage meal counting and other aspects of our food program.

3. Transportation

We will work with RCSD to ensure that students who qualify for bussing have access to free bus transportation, and that students with an IEP or 504 plan are provided special transportation and accommodations as dictated by their plans. Our DOO will work with families on completing transportation forms during the enrollment process and will provide ongoing communication with our families on final transportation information provided by the district. Bus services will be provided to RCTECS on all days that RCSD is in session.

4. Management of other non-academic operations.

RCTECS will work with CEI for management of other non-academic operations, including facility, technology, student information and other record-keeping, procurement, compliance and reporting For security and custodial services, the School will hire staff as outlined in ***III.C*** who will report to the DOO.

III.I. FAMILY AND COMMUNITY INVOLVEMENT

1. Involving families and the community in the school during its pre- opening phase, i.e., between charter approval and opening to serve students.

During the pre-opening phase, RCTECS' founders will continue to connect with the local communities and families through information sessions, surveys, social media updates, online and in-person forums for feedback. The input of the larger communities and families of students we hope to serve is essential to creating and fine-tuning plans for a successful school. Board meetings and information sessions are open to the public and all are welcome.

2. The school's plan for communicating with the families of enrolled students.

Information regarding the school's progress and academic success is shared with the community, staff members, and friends via the school website, mobile app, and newsletters. The information is also provided during monthly Family Organization and board meetings, community activities, and fundraisers. As we get closer to opening our school, RCTECS will engage with the families of enrolled students to share updates, first-day plans, opportunities to engage, and provide information about classroom setup, school design and introduce faculty and staff. RCTECS will use a variety of outreach methods, including email, social media, weekly newsletters, first-class mail, phone calls, and virtual and in-person meetings. RCTECS staff will regularly update the school's website where necessary information will also be shared.

3. The school's plan for family involvement in the school once it opens.

Parent inclusion and satisfaction is a huge component of a successful school culture. We are committed to ensuring families feel included and welcome from the outset and thus will be holding a welcome event with an orientation for families and students to provide an opportunity for them to get acquainted with school faculty and staff.

In an effort to gauge and understand school-wide family satisfaction on an ongoing basis, RCTECS will issue quarterly feedback surveys as well as thoroughly review and implement feedback obtained from the NYSED CSO Parent and Student Surveys. RCTECS will use a variety of methods to engage with families, including in-person and remote meetings, mailings, the School's website, the School's mobile app, social media and the weekly newsletter. RCTECS will also archive all school-wide communication in a folder that is easily accessible from the School's website. RCTECS will maintain an open-door policy and hold monthly Family Organization meetings that will be open to the School community.

4. How the school will support families in helping their child to grow and achieve.

RCTECS values student success and we believe that families are equal partners and are imperative to their students' success. It is our priority to ensure that there is an open channel of communication between home and school and that parents feel they have everything they need to continue to support their child's learning at home. RCTECS will engage with families regularly, welcome them into discussions on how we are serving their children, and provide supportive resources for ongoing learning at home. RCTECS will hold quarterly parent-teacher conferences in-person or virtually as health and safety considerations may require. During each conference, teachers review the student's progress and discuss his/her strengths and opportunities. Parents are encouraged to ask questions in order to learn as much as possible about their child's performance. We aim to make family-teacher conferences a positive experience for everyone involved. We will encourage parents to reach out and schedule a meeting beyond regular parent-teacher conferences if they have any concerns. Outside of regular conferencing, teachers will communicate with families to discuss their students' strengths and needs throughout the year and will log any communication through the School's student portal. Monthly progress reports will be sent home with students and made available for access on their portal as well. Report cards will be issued quarterly.

5. The school's plan for community involvement in the school, including any plans for leveraging community resources.
RCTECS' school model will emphasize engaging with families in support of the educational program, healthy family development, and strong community and neighborhood connections. We will explore a range of ways to connect our students to the resources and institutions of the greater Rochester area.
6. Research or successful models that support the approach to family and community involvement.
RCTECS' approach to family and community involvement is grounded in and inspired by current research and approaches that seem promising, including a recent national study on Effective Family and Community Engagement Strategies: https://ctschoolchange.org/app/uploads/Hanover-Effective-Family-and-Community-Engagement-Strategies-LEAD-Connecticut.pdf. We also look to federal sources of information and expertise: https://www.ed.gov/parent-and-family-engagement.
7. If applicable, discuss how the school will partner with low performing public schools in the area to share best educational practices and innovations.
Please see ***I.C. 8.***
III.J. <u>FINANCIAL MANAGEMENT</u>
1. Describe the school's annual budgeting process.
School budgets will be developed collaboratively with CEI and school leaders. Each budget line item is accompanied by a detailed narrative explanation if appropriate. These explanations, if necessary, will include calculations, references, and other metrics that show how the budgeted amounts are determined and the reasoning for the estimated amounts. During the course of budget approval, the reasoning behind the budget line items will be discussed with the Finance Committee and Academic Committee. After the budget is consolidated and balanced, the school leaders will review the budget and accompanying notes before final approval; the final budget is then submitted to the full Board for review, discussion and adoption. Budget study sessions are often included on the budget calendar to allow discussion of various details. This helps ensure an understanding of underlying assumptions, allows questions to be addressed, and allows modifications to be made before the budget adoption meeting.
2. Describe the policies, procedures, and systems for managing the school's finances and identify the staff position(s) that will be responsible for financial management.
Purchases and Cash Disbursements
The School will procure only items and services required to fulfill the mission and/or fill a bona fide need. Procurements will be made using best value contracting, which entails assessing the best value considering quality, performance, and price.
Exemption from Sales Tax: The School will be exempt from federal and state tax. As such, the School is exempt from sales taxes on goods purchased for their own internal use and services. It is the responsibility of the Operations Manager to ensure that all vendors have a copy of the sales tax exemption letter allowing the School to be exempt from sales taxes.
Accounts Payable: Accounts payables outstanding will be aged on a thirty, sixty, ninety, and over-ninety day basis. The Operations Manager will review the accounts payable aging monthly, determine the available cash balances while taking into consideration other cash requirements in the near future and select which items to pay.

Reimbursable Expenses: Reimbursable expenses will require pre-approval by the Principal via an expense reimbursement form. The Board Chairperson/Treasurer will approve the Principal's expense reimbursements. Receipts will be required for all expenditures requiring reimbursement.

Management of Cash:

Bank Accounts: The School will have the following accounts: Checking Account (Operating Account), Savings Account, Escrow Account. (The Escrow Account is required by the School's Authorizer, whose sole purpose is to pay for legal and audit expenses associated with the dissolution of the School should it occur. The School's Authorizer requires the School to set aside $100,000 the Escrow Account earmarked for the above named purpose.) In all instances, the School will utilize its accounts in a way that safely maximizes its overall interest income. The School will have the following authorized signatories on the accounts: Principal, Members of Executive Board (including Board Chairperson, Board Co-Chairperson, Board Treasurer), member of the CEI financial team for purposes of deposits and receiving bank statements for monthly reconciliations. Board approval is required to open or close a bank account and must be recorded in the board meeting minutes.

Bank Reconciliations: Monthly bank account reconciliations will be processed by CEI using the accounting system. Any irregularities shall immediately be reported to the Principal. A reconciled bank reconciliation report will be attached to the bank statement and reviewed and signed by the Principal. Bank reconciliations will also provided to the Finance Committee.

Payroll: Once the new employee is hired, the Principal, with assistance from the Operations Manager, will collect all necessary payroll data and communicate it to the outside payroll service provider, managed by CEI.

Financial Reporting: The School will complete and the Board Treasurer will present financial reports as required by the Board of Trustees, including but not limited to a Budget vs. Actual report with projections for the operating and capital budgets; Balance Sheet; Statement of Cash Flows; and, Cash Flow projections as needed.

The primary staff who will be responsible for financial management are the DOO and Operations Manager.

3. Contracting for any financial services, explain the role of the contractor(s) and describe their proposed relationship with the school.

Under the School's management agreement with CEI, the School will receive financial services relating to payroll, bill payment and reconciliations. Monthly financial statements will be prepared by CEI for the Finance Committee.

4. Providing financial oversight and meeting fiscal compliance and reporting requirements.

Annual budgets are adopted in the fiscal year preceding the year in which they take effect. Each annual budget is developed by the board of trustees with input via budget recommendations from the superintendent, senior staff, and consultants. The fiscal oversight responsibilities will be monitored by the Finance Committee which meets monthly and reports to the full Board of Trustees during the monthly board meeting. The Board will ensure organizational capacity and proper fiscal controls and expenditures by discussing and evaluating monthly expenditures and deposits to ensure the School is on a financially sustainable path that is in compliance with the annual budget. At each monthly meeting, as part of regular order, the Board of Trustees will review and give direction in respect to budget matters based on monthly reports, including student enrollment relative to annual budgeted student enrollment, and year-to-date expenditures relative to annual budget amounts. Through effective fiscal oversight, the Board will assure that

it is in compliance and on schedule with the fiscal needs of the school. At the end of the fiscal year, budget amendments are adopted by the board of trustees, if necessary.

5. How the school will maintain and protect student and financial records.

The School will maintain the student and financial records including digitization of permanent records in accordance with state, local and federal requirements. CEI will support with filing set up and storage and acknowledges that ownership and control of school records maintained by CEI are and will always be the property of and under the control of the School. Student records include any information directly related to a student that is maintained by CEI in the student database platform and information acquired directly from the student using instructional software or applications.

Records Retention Policy: All confidential paper records shall be maintained in locked facilities on School premises. The following corporate documents will be maintained on-site or stored electronically: Charter and all related amendments, Minutes of the Board of Trustees and subcommittees, Banking documents, Leases, Insurance policies, Vendor invoices, Grant and contract agreements, Fixed asset inventory list, and Tax returns and correspondence.

Records Access Policy: The Operations Manager will provide access to the School's records, as requested by auditors, to facilitate the completion of such audits or reviews, in a timely manner.

Records Destruction Policy: Once School records have reached the conclusion of their retention period according to the Records Retention Policy, the office of origin will request authorization from the Principal for their destruction. If any litigation, claim, or audit is started before the expiration of the designated retention period, the records shall be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken. The School will arrange for the safe and secure destruction of confidential records. Destruction methods will not permit recovery, reconstruction and/or future use of confidential information.

6. The school's process for conducting independent fiscal audits.

RCTECS will have an annual audit performed by an independent and licensed Certified Public Accountant or Public Accountant. By request of the Board, CEI will contact the auditor and request an audit engagement letter. The audit will be conducted in accordance with generally accepted auditing standards and Government Auditing Standards, issued by the Comptroller General of the United States. If RCTECS spends $500,000 or more in federal awards during a fiscal year, an independent audit as prescribed in the federal Office of Management and Budget Circular A-133 will also be completed and filed with the federal government and NYSED.

The audit will be presented to the school's governing board members for their review. A board meeting will be held prior to submission to accept and approve the audit. In the event there are audit findings, they will be investigated to find the root cause. A corrective action plan will be developed and implemented immediately to resolve the deficiency.

The audit will meet the New York charter school reporting requirements:

The sample format for the financial statements 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 not-for-profit organizations.

All statements required by Financial Accounting Standards Board (FASB) Statement No. 117, Financial Statements of Not-for-Profit Organizations, 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.

III.K. BUDGET AND CASH FLOW

1. Narrative description of the budget, including a summary of key revenue and expenditure categories and net income each year, including during the pre-opening period.

Our proposed five-year budget has been developed using conservative revenue and expense assumptions that align with our mission and programmatic design. In developing the budget, we have used the expertise of CEI and BoostED to ensure a fiscally sound, responsible budget based on reasonably anticipated recurring public revenues and void of any fundraising. Inclusive of the Innovation Center investment, the budget projects a positive operating income each year, with a reserve balance that reaches $1.35M at the end of Year 5.

Revenue: Our budget plan is based on an opening enrollment of 150 students, with an additional 150 students enrolled in each subsequent year until the school reaches scale in Year 4. We are committed to backfilling all available seats each year, however, understanding student transitions may require time to backfill, we have conservatively estimated paid enrollment at 96% of full enrollment annually. In our pre-opening year, we also anticipate receiving a Charter School Program Grant of $1M, which will be used during our pre-opening year through year 1. Beginning in year 2, we have planned to operate solely on public funds, with an anticipated per pupil amount of $13,995, which is conservatively projected to increase by 3% each year thereafter. We have budgeted for Title I and Title II funds and for School food service (free lunch) that will partially offset our contracted food service expenses.

Expenses: Our staff salaries are budgeted at approximately 20% higher than RCSD and assume that we will hire teachers on average who have a Masters degree and three years of experience. model is line and staff wage scale competitive with local area charter schools. We have anticipated an average of 3% raises for staff each year and a 3% contribution by the School towards a retirement fund. The School has budgeted other fringe for staff benefits at 30% which will include healthcare, dental, and vision, long term and short term disability and life insurance. We account for contributions for Social Security, Medicare, and state unemployment insurance. To remain competitive with our compensation and benefits packages, our Board will revisit these assumptions in each annual budget development cycle. The budget includes a fee for CEI's comprehensive services at 10% per Years 1-5 with $100K in the pre-opening period. Additionally, the budget includes other than personnel expenses such as board development, legal representation, auditing, and supporting our educational program, including student and teacher materials, technology, furniture, and student testing and assessment. Our rental lease projections assume 90 sq. ft. / student at $20 / sq. ft with renovations and maintenance budgeted annually, including the expense of the Innovation Center learning labs in Years 4 and 5. We have budgeted for insurance, utilities, and janitorial services as well as $20,000 per year towards the required dissolution fund.

2. Explain how the proposed budget supports implementation of the key design elements.

RCTECS's budget is well-developed, conservative and has the mission of our school at the forefront of all financial and budgetary decisions. The budget supports the implementation of the key design elements in the follow ways:

College prepared: With a focus on literacy intervention and acceleration, small group instruction and high dosage tutoring, the staffing plan includes one special education/ academic intervention services teacher per grade level.

Career Connected: With CTE pathways in Health and Computer Sciences, the staffing plan includes four science teachers and four computer science teachers at scale. The Innovation

Center (IC) will offer students the chance to learn through hands-on learning relevant to the rigors of postsecondary education and industry requirements. The computer sciences pathway will have a computer science lab, planned to be constructed by Year 4 and the health sciences pathway will have a health science lab, planned to be constructed by Year 5.
Wellness centered: With a focus on restorative and trauma-responsive practices, the staffing plan includes one social worker in Year 1 and a total of four in Year 4.
Community Rooted: The IC at RCTECS will be a community shared instructional facility for local public and charter schools that desire CTE programming but cannot sustain programs at their home site. The IC will provide multiple career pathways based on current labor market demand and industry and college partnerships. RCTECS participants will have access to high-quality CTE programming, work-based learning opportunities, college-level coursework, industry site visits, enhanced family engagement, and industry-recognized and NYSED-approved technical assessments.
Foundational to RCTECS is a commitment to MTSS to ensure that the school is serving our diverse population, including English Language Learners (ELLs), Students with Disabilities (SWDs) and those at risk for academic failure. An important element of our model is that we are rooted in community and at the heart of this is our commitment to diversity, equity, inclusion and justice The continuous learning of our professional community is critical to ensure student success. Therefore, the staffing plan includes one instructional coach in Year 1 and a total of four in Year 4 to provide teachers with the same individualized supports that RCTECS will provide students and families.

3. Contingency plans for cash flow challenges, a budget shortfall, lower than expected student enrollment or other financial challenges.

Our conservative budget allows for a growing fund balance throughout the term of our charter without the need for private borrowing. This healthy budget allows us the ability to respond to unforeseen circumstances without jeopardizing our academic program. CEI is committed to aggressive fundraising if needed to continue our academic program in the face of significant and unforeseen circumstances that could impact our budget. We have also budgeted $20,000 for an escrow account in each of our first five years of operation, totaling $100,000, as required.

III.L. PRE-OPENING PLAN

Please see ***Attachment 11*** for our Pre-Opening Plan.

III.M. DISSOLUTION PLAN

Please see ***Attachment 12*** for our dissolution plan.

Attachment 1: Admissions Policy and Procedures

As a tuition-free, open-enrollment, public school, Rochester Career and Technical Education Charter School (RCTECS or the School) will, when the number of applicants exceeds the number of available seats, hold an annual enrollment lottery. We will educate all students, regardless of race, socio-economic status, disability, first language, and any protected status. Students will not be asked to provide information about any disabilities or any other considerations at the application stage. Admitted students will be asked to provide a range of academic information to aid in placement and support of the student.

We are committed to ensuring that our enrollment reflects the district's in terms of economically disadvantaged students, students with disabilities, and English Language Learner (ELL) and Multilingual Learner (MLL) students. We have created and are cultivating strong relationships and partnerships with key community organizations that will help us continue to engage with families and recruit age-eligible students. Our enrollment and admissions policies and procedures will comply with all applicable anti-discrimination laws governing public schools.

Application Process & Lottery: Our enrollment period will begin each year on December 1 and last until March 31 at 5:00pm. Outreach sessions for students will be publicized using flyers, signage at the school and contact with community organizations. For school years after the first, families will be encouraged to visit the school, talk to instructional, executive and other staff, visit classes and meet currently enrolled students.

Application documents will be created in multiple languages, will be available online and in paper form, and families can submit applications through an online portal or by first class mail, email, or delivered in person to an operations member of our team. RCTECS will undertake all measures to recruit student applicants and will provide translation services, if necessary, for all promotional materials and any person-to-person interaction requiring an English translation. Given the proposed location of the School and the surrounding demographics, the application will be available in English and Spanish, as well as other languages if the demographics of the neighborhood change. For any parent that requests assistance in completing the application, multilingual staff may assist. If translation services are required and multilingual staff is unavailable, we will hire translators during the admission period.

The following components will be included in our application documents: student first and last name; student date of birth; student home address; student school district; grade student is applying for; does the student have siblings already attending RCTECS, and if so, what is the name and date of birth of the sibling; parent/guardian first and last name; parent/guardian phone number; relationship to the student.

Families will also have to provide proof of residency unless the family is homeless, pursuant to the McKinney-Vento Act. To demonstrate proof of residency, families will need to provide 2 of the following items: lease agreement, deed or mortgage statement; residential utility bill, water bill, or property tax bill dated within the last 60 days; official payroll documentation dated within the last 60 days; or documentation from a federal, state, or local government agency dated within the last 60 days. Failure to provide proof of residency will forego lottery preferences.

If more applicants apply than there are seats available, in accordance with Education Law §119.5, we will hold a public, randomized lottery to happen within 10 business days of the March 31 application deadline. If a lottery is held, we will give advance public notice about the date, time, and place of the lottery pursuant to the Public Officers Law §104. Our lottery will be conducted in a public space, with technology-based software, and will be overseen by an impartial third party to ensure that the lottery is conducted ethically. Pursuant to Public Officers Law § 104, we will notify the public of the date, time, and location of the lottery. We will also post the date, time, and location of our lottery on our school website at least one week prior to the lottery. We will notify all families who have already applied to RCTECS about the lottery, so they have the option to attend, though attendance is not mandatory.

All families will be notified of their determination within one week of the actual lottery by receiving a mailed letter and phone call. Families will have two weeks to claim their seat at RCTECS before we offer their placement to the next family on the waiting list. Upon acceptance of a seat, we will send home an enrollment pack which includes necessary information and paperwork, including proof of residency, immunization records, birth certificate requests, and the Home Language Questionnaire.

Admission Preferences: Our enrollment will be representative of our community. RCTECS will adhere to the following admissions preferences, applying admissions preferences in this order::

- Currently enrolled returning students
- Siblings of students currently enrolled at RCTECS
- Students living in the RCSD school district boundaries
- The children of RCTECS staff with a limit of no more than 15% of the total number of students enrolled at the school.

Waitlists: Students who fail to win a seat in the lottery will have their names logged onto the wait list for their grade, ranked by the order in which the names were picked. The waitlists will be kept active throughout the school year and students will be offered admission as seats become available to students whose names are at the top of the lists. RCTECS will backfill all seats through March 31st of that academic year.

Table 2: Public Outreach Information

Date(s) of Outreach (mm/dd/year)	Target Stakeholder Group	Description of the Outreach	Location of Outreach	Input Obtained	Action Taken on Input	Number of Attendees
3/23/2022	Community members	Meeting about the charter school landscape and proposed school with Rochester education leaders	421 East Avenue Rochester, NY	Discussion of proposed charter school and educational model		12 community members
3/24/2022	Educators	Meeting with UPrep Charter School CEO and COO	390 East Avenue Rochester, NY	Discussion of proposed charter school and educational model		4 educators
3/29/2022	Community leader	Meeting with Executive Director of Hillside-Work Scholarship Connection, Rod Green	1902 Monroe Avenue Rochester, NY	Support of the model	Follow-up conversations	2 community leaders
3/31/2022	Community Leader	Meeting former Chief of Schools at RCSD, Toyia Wilson, current Assistant Superintendent of Buffalo School District	Video call	Discussion of educational model and industry selection, facilities in Rochester are difficult to find	Consider biotech and healthcare pathways for proposed educational model, add facilities expertise to proposed board of trustees	3 educators and leaders
4/10/2022	Educators	Meeting with Shawanda Evans of Monroe Community College	Video Call	Discussion of dual enrollment course offerings		3 educators
4/12/2022	Community member	Meeting with Rachel Musiker	628 Winton Rd. Rochester, NY	Interest in improving educational options on city of Rochester	Interest in serving in on board	2 community members
4/25/2022	Community Leader	Meeting with Ashara Baker	145 Culver Rd. Rochester, NY	Need for more high-quality charter schools	Finalize educational model and provide informational	2 community leaders

					materials and meetings	
4/26/2022	Community Leader	Meeting with Joe Klein	421 East Ave. Rochester, NY	Discussion of charter approval process	Review SED authorizing process	2 community leaders
5/10/2022	Educators	Meeting with Lindsay Haldeman, Independent consultant to charter schools	145 Culver Rd. Rochester, NY	Possible support to be provided to charter school	Follow-up in future on possible collaboration	2 educators
5/10/2022	Community Leader	Meeting with Anna Hall of NE Charters Association	Conference call			4 community leaders
5/11/2022	Community Leader	Meeting with Rod Green of Hillside Work-Scholarship Connection	Virtual meeting		Board member interest	2 community leaders
5/12/2022	Community member	Meeting with Therese McKinny-Wood	310 Avalon Dr. Rochester, NY	Need for more high-quality charter schools	Follow-up on board members	2 community members
5/17/2022	Community member	Meeting with Ann Michael Henry of E3	2600 Elmwood Ave. Rochester, NY	Provide academic support for charters	Develop school model further	2 community leaders
5/18/2022	Community Leader	Meeting with Joe Klein	Virtual meeting	Potential physical location ideas for charter school	Follow-up on physical location options	4 community leaders
5/19/2022	Community Leaders	Informational public meeting with a focus on board member recruitment	Virtual meeting	Need to have strong academic program to engage students in CTE		10 educators and community leaders
5/20/2022	Community member and real estate developer	Call with Chris Gullace	Phone call	Shared mission for CTE offering, understanding of Rochester challenges and history of charter		1 educator, 1 community member and real estate developer

				schools in Rochester		
5/23/2022	Educators	Meeting with Dr. Dia Bryant and Tiffany Lankes of EdTrust	Virtual meeting	Engage with others interested in Rochester charters	Participate in community leader event on 6/1	2 educators; 2 community members
5/23/2022	Community leader	Call with Velverly Caldwell re/ interest in becoming a board member, partnership w/ New Beginnings Apostolic church	Phone call	Discuss partnering with Citizens in Action parent outreach committee		2 community leaders
5/24/2022	Community Leader	Meeting with Rod Green of Hillside Work-Scholarship Connection	785 E. Main St. Rochester, NY	Continue public outreach on charter school	Additional public meetings scheduled	2 community leaders
5/24/2022	Community leader	Charlotte Burch, President of Thurston Brooks Merchants Association	Phone call	Info re: involvement in Ease on Down Community Event (over 60 businesses, sponsors and vendors)	Reserved a table at the 7-day event	2 community leaders
5/24/2022	Community leader	Andy Rose from Thomas P Ryan Recreation Center	Phone call	Use of recreation rooms for focus groups		2 community leaders
5/25/2022	Community members	Face to face conversations	Ease on Down Event Thurston Road Rochester, NY	Educational needs of students in the Rochester community	Surveys completed with signatures of support	15-20 attendees
5/26/2022	Educators	Meeting with Dr. David Simkins and Dr. Stephen Jacobs of RIT	Virtual meeting	Need to include community and student voices in school development	Additional community outreach planned	6 educators

5/26/2022	Community members	Face to face conversations	Ease on Down Event Thurston Road Rochester, NY	Educational needs of students in the Rochester community	Surveys completed with signatures of support	25-30 attendees
5/26/2022	Community leader	Yachica Johnson, member of Rochester Black Nurses Association (RBNA)	Phone call	Discuss CEI Speaking at RBNA next board/ member meeting		2 community leaders
5/28/2022	Community members	Face to face conversations	Ease on Down Event Thurston Road Rochester, NY	Educational needs of students in the Rochester Community	Electronic Surveys codes provided & some written surveys completed with signatures of support	25-30 attendees
5/28/2022	Community Leader	Ms. Wanda Ridgeway, Executive Director of Rise up Rochester	Ease on Down Event Thurston Road Rochester, NY	Educational needs of students in the Rochester community and the impact of violence on children	Obtained Contact information, he would like to discuss partnering to support children impacted by violence and provide some preventive work with kids around making good choices and without relying on physical fighting/ violence	2 Rise Up staff members
5/31/2022	Community member	Kathryn Petrillo-Smith of Digital Promise	Virtual meeting			4 community members
6/1/2022	Community Members	Public Meeting/ Virtual Focus group	Zoom conference	See **Attachment 2b**		8 community members
6/2/2022	Community Partner	Kelvin Alston, Program Director, Charles Settlement House	Charles Settlement House 71 Park Way Rochester, NY 14608	Discussed holding a focus group at his location. He did not feel comfortable due to COVID but offered to give out fliers families	Fliers given out and a few paper surveys completed	2 community members

6/3/2022	Community Partner	Charles Settlement House	Charles Settlement House 71 Park Way Rochester, NY 14608	Approximately 40 fliers were dropped off	Fliers given out and a few paper surveys completed	2 community members
6/3/2022	Community partner	Front Desk Employee	Community Place 145 Parsells Ave 14609	Inquired about posting and giving out RCTECS fliers	Fliers provided to staff member and fliers also posted in the entrance to center	2 community members
6/4/22	Community member	Conversation with Ms. Wanda Ridgeway, Executive Director of Rise up Rochester	Fam Fest Ryan Center 530 Webster Ave 14609	Educational needs of students in the Rochester Community Discussed	Fliers given out and a few paper surveys completed	15 community members
6/6/22	Community partner	Rochester Black Nurses Association	Email through organization website	Request made to speak at their next board meeting regarding partnering with RCTECS	Will follow up when response received	2 community members
6/6/22	Community partner	phone call with Rahimah Wynn, Director of Family & Community Engagement at Genesee Community Charter School	Phone call	Discussion about RCTECS plans and schedule time, gather input and complete survey.	Rahinah will reach out RCTECS	2 community members
6/8/2022	Community partner	Andy Rose from Thomas P Ryan Recreation Center	Phone call	Confirmed focus group/ meeting	Final plans discussed for focus group	2 community members
6/9/2022	Community leaders	ACT Rochester	Attended Rochester Annual Report Card Event at Rochester Museum and Science Center	Violence, poverty, and education continue to be major issues that Rochester residents struggle with.	Presentation held regarding progress in Rochester community	0ver 100 community members attended

6/9/22	Educators	Charter stakeholder discussion	768 Fifth Ave., NY, NY 10019	Charter school updates	Follow-up with charter stakeholders	6 attendees
6/9/2022	Community members and leaders	Community meeting/ focus group	Thomas P Ryan Center 530 Webster Ave 14609	See **Attachment 2b**	Info provided and community input gathered	7 participants
6/12/2011	Community members	Community baby shower	Thomas P Ryan Center 530 Webster Ave 14609	Discussed proposed school educational needs	Fliers distributed	Approximately 10 attendees
6/13/2022	Community partner	Wendy Welling, Rochester Educational Opportunity Center	Phone call	Discussed possible partnership	Will follow up and schedule a meeting	2 participants
6/13/2022	Community partner	Charlotte Burch	Phone call	Discussed another event by Thurston Brooks Merchants Association	Follow up needed regarding being a vendor at the event	2 participants
6/16/2022	Community leader	Rochester Black Nurses Association	Email	Discussed possible dates to present to the board	Provided RCTECS information	2 participants
6/15/22	Community Leader	Meeting with Lauren Kelly	274 N. Goodman St., Rochester, NY 14607	Brainstorm community stakeholders to engage	Follow-up with stakeholders	2 attendees
6/16/22	Community Leader	Meeting with E3 Rochester	315 Alexander Street, Suite 300, Rochester, NY 14604	Feedback on charter proposal and key elements to include on literacy, SEL, and more	Revisions to charter proposal	4 attendees

6/16/22	Educators	Meeting with RCSD senior staff	145 Culver Road, Rochester, NY 14620	Need for high-quality schools	Updates to charter proposal	3 attendees
6/16/22	Educators	Meeting with East EPO Superintendent	East High School, 1801 E. Main Street	Updates on East High improvement efforts	Brainstorm ideas for charter proposal	4 attendees
6/16/22	Educators	Meeting with NYSED senior staff	Virtual	Share information on charter school	Share additional information including on CEI	3 attendees
6/22/2022	Community partner	Wendy Welling, Rochester Educational Opportunity Center	Email	Follow up regarding possible meeting dates	Provided dates	2 participants
6/22/2022	Community leader	Assemblyman Demond Meeks	Phone call	Discussed scheduling a about RCTECS and discussed his possible support	He asked that a formal request be made through his office	2 participants
6/23/22	Community partner	Wendy Welling, Rochester Educational Opportunity Center	Email	Follow-up email regarding scheduling a meeting	Provided dates and requested response	2 participants
6/23/22	Community leader	Assemblyman Demond Meeks' office	Email	Follow-up email regarding scheduling a meeting	Provided dates and requested response	2 participants
7/4/22	Community partner	Wendy Welling, Rochester Educational Opportunity Center	Email	Response email regarding scheduling a meeting	Provided dates and requested response	2 participants
7/4/22	Community partner	Assemblyman Demond Meeks' office	Email	Response email regarding scheduling a meeting	Provided dates and requested response	2 participants

7/5/22	Educators	Meeting with NYSED retired senior staff	Virtual	Share information on proposal	Update charter proposal	3 attendees
7/8/22	Community members	Meeting with Rochester area residents	109 Westland Ave., Rochester, NY 14618	Share information on proposal, discuss applicant group	Review school applicant group make up	9 attendees
7/9	Community members	Community meeting/ focus group	Thomas P Ryan Center 530 Webster Ave 14609	See **Attachment 2a**	Info provided and community input gathered	6 participants
7/10	Community members	Communication about RCTECS	Text message	Information provided regarding RCTECS and request was made for virtual surveys to be complete	Surveys were submitted electronically	10 participants
7/12/22	Educators	Update on charter application with Anna Hall, CEO, Northeast Charter Schools Network	Phone call	Review of possible stakeholders	Follow-up with stakeholders on charter application	2 attendees
7/16/22	Community members	Face to face conversations	Thomas P Ryan Center 530 Webster Ave 14609	Information provided regarding RCTECS and surveys completed	Surveys were submitted electronically	5 participants
7/18/22	Community leader	City Council Member Willie Lightfoot	Voicemail left	VM regarding obtaining a vendor table at Community Total Health & Wellness Fair on Sat 7/23 for RCTECS	Provided contact information and requested a return phone call	2 participants
7/18/22	Community Leader	ROC the Peace Inc	Email & phone call	Inquired about participating in Peace Fest on 7/23	Provided information re: RCTECS. School will participate in Peace Fest	2 participants

7/20/22	Community leader	organizer of Puerto Rican Day Festival	Email	Inquired about participating in Puerto Rican Day Festival	Provided information re RCTECS and contact information	2 participants
7/21/22	Community leader	Assemblyman Demond Meeks' office	Email	Conversation regarding finalizing date for meeting	Date finalized for 8/22	2 participants
7/23/22	Community members	Peace Fest Jones Square Park 170 Ambrose Street Rochester, NY 14618	Face to face	See **Attachment 2b**	Info provided and community input gathered	Approximately 50 participants
7/27/22	Educators	Meeting with Linda Cimusz	104 East Ave., Rochester, NY 14604	Discussion of charter school application	Need to academically prepare students, updates to application	5 attendees
7/27/22	Community Leader	Discussion with Gabriel Marshall	Phone call	Discussion of charter school applications and possible collaborations	Updates to charter application	2 attendees
7/28/22	Community partner	Wendy Welling, Rochester Educational Opportunity Center	Zoom meeting	enthusiastic about collaboration for pathways for students	Info provided and input gathered	3 participants
8/3/22	Community Leader	Meeting with Dr. Lorna Washington, Konar Foundation	104 East Ave., Rochester, NY 14604	Information on Konar Foundation and needs of Rochester community	Updates to charter application	4 attendees
8/3/22	Community Leader	Meeting with Dr. Shanai Lee, Rochester Education Fellow	104 East Ave., Rochester, NY 14604	Updates on charter application and Rochester Education Fellowship	Updates to charter application	4 attendees

8/3/22	Community Leader	Meeting with Regent Wade Norwood	Virtual	Importance of CTE and suggestions on CTE pathways and research	Updates to charter application	4 attendees
8//4/22	Community leader	Assemblyman Demond Meeks' office	Email	Conversation regarding confirmation of the start time for meeting	Time confirmed for 11:00on 8/22	2 participants
8/8/22	Community leader	Aenon Missionary Baptist Church	Phone call	Information provided regarding RCTECS and request was made to participate in S.W.A.T event	Provided contact information	2 participants
8/9/22	Community leader	Youth Pastor, Jermaine JohnsonAenon Missionary Baptist Church	Phone call	Information provided regarding RCTECS and request was made to participate in S.W.A.T event	RCTECS will participate in S.W.A.T. event on 8/13	2 participants
8/13/22	Community members	S.W.A.T. Community Event Aenon Missionary Baptist Church, 175 Genesee Street Rochester, NY 14619	Face to face	Discussion of charter school application	Info provided and community input gathered	Approximately 50 participants
8/17/22	Community Leader	Discussion with Regent Ruth Turner	Phone Call	Importance of CTE, support of the application	Follow-up with additional information on application	2 attendees
8/19/22	Community partner	Angela Anderson Rams Pop Warner Football Team	Phone call	Inquired about attending a football practice for community outreach	She will bring the request to the team and will get back to me	2 participants

8/19/22	Community Partner	Meeting with Christina Gray, Foundry	Virtual	Existing work, possible partnerships	Update application	4 attendees
8/19/22	Community Leader	Meeting with Assemblymember Demond Meeks	Virtual	Input in application, including need for a diverse school staff reflective of the student body	Update application	5 attendees
8/22/22	Community partner	Angela Anderson Rams Pop Warner Football Team	communication	football practice for community outreach		2 participants

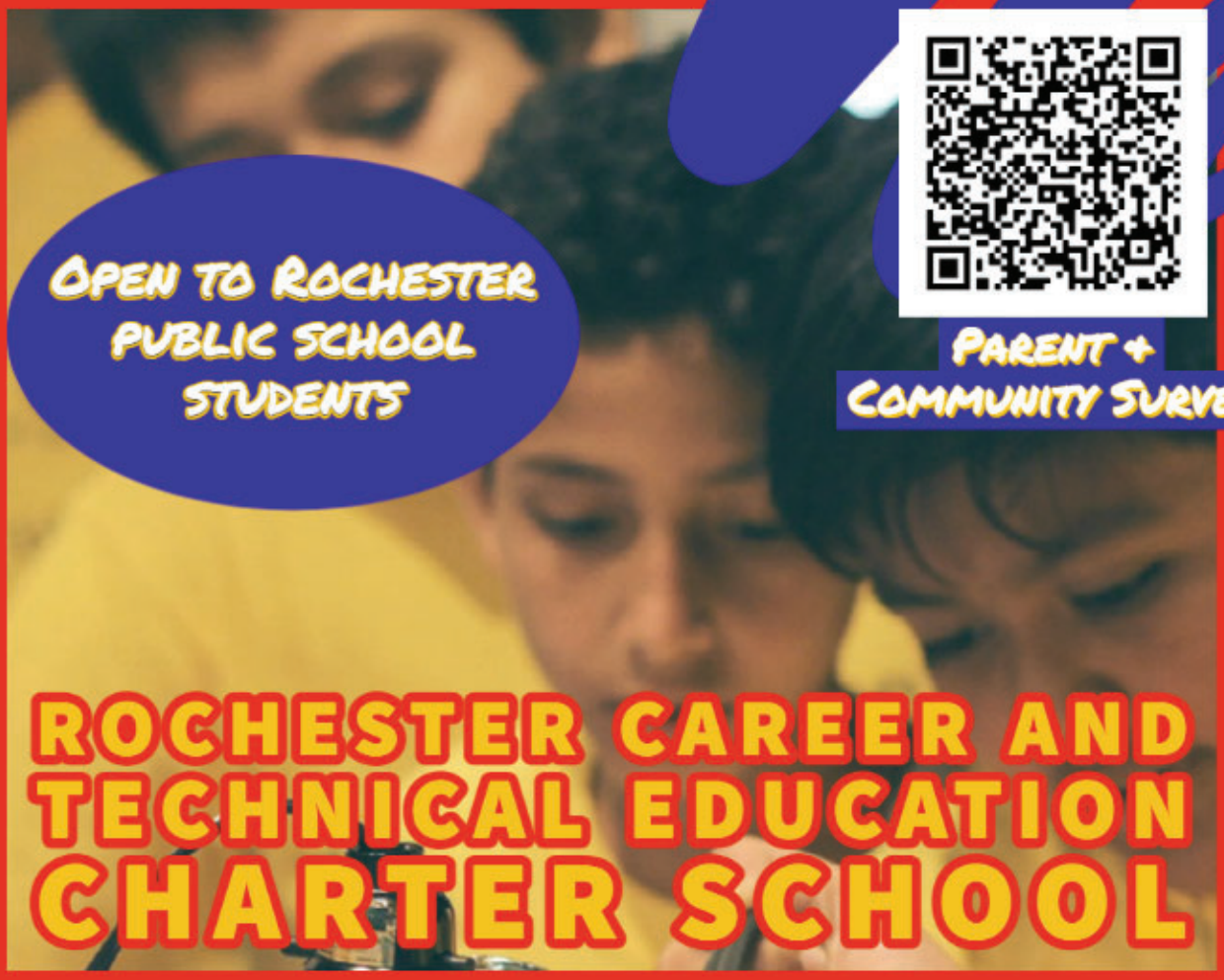
Attachment 2b: Evidence of Public Review Process

The School participated in dozens of community events, engaging over 700 community members, primarily in in-person one-on one conversations, and collected 146 RCTECS completed parent/community and student surveys.

On May 19, June 1, June 9 and July 9, 2022, RCTECS held focus groups on the proposed school. One was an in-person meeting at the Ryan Center in Rochester, NY, a popular community hub for activities and sports, and three were virtual meetings to maximize participation. Over 30 community members participated in focus groups, during which there was in-depth discussion around Rochester's needs, the strengths and needs of its public schools and Rochester's future.

Please find the following samples and evidence of outreach:

1. Flyers widely distributed in the community and via social media announcing the meeting with a description of the proposed school, including the intended location, the target student population, the grades to be served, and a description of the educational program to be offered.
2. Meeting minutes from the focus groups/public meetings held and a sign in sheet for the in-person focus group held.
3. A summary of feedback from students, parents and community members from the Rochester Career and Technical Education Charter School Parent and Community Surveys and Student Surveys collected.
4. Sample completed Rochester Career and Technical Education Charter School Parent and Community Survey and a sample completed Student Rochester Career and Technical Education Charter School Parent and Community Survey.
5. A sample of facebook posts on the Rochester CTE Charter School facebook page, active since May 2022.



Open to Rochester Public School Students

Parent + Community Survey

ROCHESTER CAREER AND TECHNICAL EDUCATION CHARTER SCHOOL

Enrolling Grades 6 & 9 for Fall 2023



Follow our Facebook page

SCAN ME

UPCOMING EVENTS

May 31 @ Rochester Central Library (4-5 pm)

June 1 ZOOM Meeting (6-7 pm)

tinyurl.com/roccteZoom

Like us on Facebook!

SCAN ME

Student Survey!

SCAN ME

Proposed New Public School:

Rochester Career and Technical Education Charter School

Objective: The Rochester Career and Technical Education Charter School is a proposed public middle and high school customized to serve the needs of its students to both support them to graduate from high school, and prepare them for higher education and job opportunities in the future global marketplace. In particular, industry projection research indicates that skills and expertise in data, analytics, computer science, health sciences and technology will be prized across all sectors.

The School seeks to be located in the city of Rochester, NY. The School seeks to open in fall 2023 serving 6th and 9th grade students and will grow to serve 6-12 grade students:

- Offering 6th grade in Year 1, we seek to provide a robust educational offering and additional support for students who are historically not prepared for high school.
- Too many Rochester public school students are dropping out of high school. Offering 9th grade in Year 1, we seek to serve students who are at risk of dropping out of high school, have dropped out, or are identified as over-age and under accredited.

Mission: *Rochester Career and Technical Education Charter School will prepare students for career pathways in the future global marketplace. Through experiential learning, internships and post-secondary credits, students will access a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests.*

Outcomes:

- Students in Grades 6-12 will have the opportunity to combine high school studies with post-secondary skills.
- Students will have the opportunity to earn an industry-based certification in multiple areas of interest including data, analytics, computer science, health sciences and technology.
- Students will have multiple pathways to high-school graduation and earn credits towards institutions of higher education.

To learn more about upcoming events, please go to the following address:

https://www.facebook.com/Roc.CTECS

Rochester Career and Technical Education Charter School
Summary of Feedback from Focus Group/Public Meeting June 9th, 2022, 6-7 pm
held at Thomas P Ryan Center 530 Webster Ave Rochester, NY 14609

***Attendees*:**
Facilitator, Leslie A
Tatiana H
Winona D
Mickie G
Velverly C
Cheryl Anne R
Lori T

*******It was recommended that focus groups be held with students. *******

Focus Group Q1: Addressing Rochester's Needs

- ***What are key challenges facing Rochester today?***

Violence in the community
Poverty
Low wages
Lack of commitment to the children in our community
Basic disconnectedness between youth and elders
In regard to organizations, too many silos not enough partnering and sharing of information and resources amongst agencies

- ***How could a middle and high school support students with these challenges?***

Schools should be child and family focused
Higher levels of engagement with families throughout middle school and high school years
Ongoing contact with caretakers of students, not just when the children have done something wrong
Incorporate financial literacy curriculum
Listen to the children and families, as opposed to thinking you know what best for them
Have mentors for the children

Focus Group Q2: Rochester's Public Schools

- ***What are the current strengths of Rochester's public schools?***

Big Budget
Diversity
Choices in focus areas/schools (School of the Arts)

• In what areas could Rochester's public schools better support middle and high school students?

Schools should be child and family focused
Higher level of engagement with families
Listen to the children and families, as opposed to thinking you know what best for them our
Have mentors for the children
Allow creativity in the child's learning & think outside of the box as opposed to cookie cutter curriculum
Include local history regarding race, institutional racism and barriers faced due to race and socio-economic status, and how those barriers have evolved today
Ensure schools are physically and environmentally safe

Focus Group Q3: Rochester's Future

• How could a new, small public school engage and prepare students for higher education?

Have a higher & deeper concentration on development/creation of new technology not just how to use or operate it
Financial Literacy curriculum
Provide a Montessori educational program
Encourage communication between grade level teachers
More hands-on education and field trips to historical sites, museums, etc.
More exposure to and visits to colleges
Small class sizes, best practice would be about 15
Relationship building with kids and families
Teach cursive handwriting, children are losing this skill
Teaching coding and utilizing Open Source (a coding software code publicly accessible that allows for hands on learning and sharing with peers)
Bring debating teams back
Allow, encourage and help students identify their strengths and develop into leaders

• How could a new, small public school engage and prepare students for the workforce?

Instead of focusing on workforce preparation, focus on life skills and developing students into entrepreneurs, not employees
Financial literacy curriculum (investing & banking)

Rochester Career and Technical Education Charter School
Summary of Feedback from Focus Group/Public Meeting July 9th, 2022, 11-1 pm held at Thomas P Ryan Center 530 Webster Ave Rochester, NY 14609

Attendees:
Facilitator, Leslie A
Tshana C
Marquis W
Tatiana H
Deoin I
Ava G (under 18)

Focus Group Q1: Addressing Rochester's Needs
- **What are key challenges facing Rochester today?**

Crime & Violence in the community
Poverty
Unemployment
Low graduation rates
Lack of leaders taking action
Lack of safe housing

- **How could a middle and high school support students with these challenges?**

Having deep connections with students and their families
Knowing and assisting with addressing family needs
Continued engaging with parents, caretakers, and family
Incorporate financial literacy curriculum
Listening to the children and family's concerns
Have mentors for the children (same person throughout high school years)
Monthly parent meetings required or parents attend 7 out of 10 meetings

Focus Group Q2: Rochester's Public Schools
- **What are the current strengths of Rochester's public schools?**

Some athletic programs are doing well
Appears to be more athletic scholarship recipients
Diversity

• In what areas could Rochester's public schools better support middle and high school students?

Engaging parents/ parent involvement
Listen to what the kids are feeling as opposed to assuming you know what they need or what's best for them
Acknowledge positive behaviors, strengths, and hard work regularly
Monthly awards/ student of the month
Monthly drawings for students of month to win a gift card
Quarterly breakfast/ brunch ceremony to acknowledge students of the month.
Provide outlets (sports, out of county sports events, competitions)

Focus Group Q3: Rochester's Future

• How could a new, small public school engage and prepare students for higher education?

Monthly meeting for parents required (7 out of 10 must be attended)
Connecting students to colleges and organizations that provide vocational and higher education services
Mentors to follow the children through HS years
Field trips/ exposure to their history (Underground RR, Nat Museum of African American History, Rock & Roll Hall of Fame)
Monthly Scholars Day or end of the year Scholar's Day where kids research and present/educate on a cultural topic of their choice

• How could a new, small public school engage and prepare students for the workforce?

Financial literacy curriculum (learn and practice investing, banking, help them open a bank account prior to graduation)
Partner with Rochester Works
Partner with REOC
Partner with Boces
Monthly workshops around resume writing, interviewing, job searches

Sign in sheet:
6/9/22
Community Focus Group

Name	Email Address	Phone number
[redacted]		

Rochester Career and Technical Education Charter School:
Summary of Feedback from Focus Group/Public Meeting
June 1, 2022 6-7 pm

Focus Group Q1:
Addressing Rochester's Needs

- What are key challenges facing Rochester today?
- How could a middle and high school support students with these challenges?

We need to break the cycle of poverty in Rochester. Preparing students for and exposing them to needed career skills will allow them to have a different perspective.

This is possibility, an opportunity for kids to dream, to have hope.

One of the key challenges is poverty, the possibility is to prepare for the workforce and opportunities beyond.

What sets this school apart from others? Could be supporting the family and children with. Professionals sometimes do not relate to students and challenges outside school.

How could we wrap around the family? Suggest provide support staff and resources beyond classroom teachers, like social workers and family liaisons.

Have someone connecting the school and the families and an advocate for the families (family connector or coordinator).

Social workers must connect with the family routinely and before a crisis happens. There needs to be an appropriate ratio of social workers to student caseload. Not every child will need the services but need to be staffed to serve every child.

As a former school coordinator for a public Rochester magnet HS, recommendation that the school does not assume that a student does not need services.

Focus Group Q2:
Rochester's Public Schools

- What are the current strengths of Rochester's public schools?
- In what areas could Rochester's public schools better support middle and high school students?

Students who have support from their families are more likely to thrive in the district's public schools.

Recruit staff who are invested in students no matter where they come from- DEI mission of staff.

Transportation to school is only offered within a certain radius. Also if a student lives in a dangerous neighborhood, it may not be safe to get to public transportation or parents may be hesitant to allow students to take public transportation (especially if/when it's dark out). Citing of a personal experience of being uncomfortable on RTS transport early in the morning or late in the day as a high school student.

In the future, we need to have a conversation about the school's location so that transportation issues can be considered.

There have been instances of fights breaking out at transport hubs where a lot of people gather waiting for transportation.

Better support by ensuring that interscholastic support are not limited to basketball or football. What about gymnastics, skiing, lacrosse, the arts?

Focus Group Q3:
Rochester's Future

- How could a new, small public school engage and prepare students for higher education?
- How could a new, small public school engage and prepare students for the workforce?

Have a college and career center for students and their parents.

Upward bound- exposure for students should start in elementary schools.

Begin discussions early about money management, financial literacy and salaries of different careers. Cited examples of learning how to write checks and open credit cards and the importance of establishing credit.

Teach students about how to build their own businesses, entrepreneurship.

Rochester Career and Technical Education Charter School:
Summary of Feedback from Parent and Community Surveys and Student Surveys

Rochester Career and Technical Education Charter School collected 146 completed surveys collected both online and in-person through community engagement activities. The vast majority of survey responses were completed by residents of the city of Rochester.

Key takeaways

- Approximately 90% of parent and community responses were from individuals that reside in the city of Rochester.
- Over 90% of parent and community responses support the application and opening of the proposed Rochester CTE Charter School in Rochester, NY.
- Of the current Rochester public parents surveyed, over 60% would consider applying to RCTECS.
- Over 40% of parent and community responses were from individuals that reside in the school's targeted population zip codes.

Rochester Career and Technical Education Charter School

A 6-12 public school proposed to open in Rochester in Fall 2023

Mission: *Rochester Career and Technical Education Charter School will prepare students for career pathways in the future global marketplace. Through experiential learning, internships and post-secondary credits, Rochester Career and Technical Education Charter School students will access a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests.*

Student Survey

1. Name: [redacted]
2. Current Grade: 5TH Grade
3. Zip Code: 14623

4. Are you interested in attending a middle and high school that offers multiple pathways to high-school graduation, credits towards college education and industry-based certification?
   a. Yes
   b. No

5. List the top 3 things you would want in your high school that would benefit your learning:
   a. Every kind of math
   b. Cooking and baking classes
   c. Drama and Dance classes

6. Based on what you have learned about Rochester CTE Charter School, would you consider attending?
   a. Yes
   b. No

7. Is there anything else you would like to share?

Yes. I don't really have anything to share, but will there be a ~~school~~ school counciler for students to speak with if they have problems at home or in school or both. I also think that after school ~~progra~~ programs would be a great addition to this school.

Rochester Career and Technical Education Charter School

A 6-12 public school proposed to open in Rochester in Fall 2023

Mission: *Rochester Career and Technical Education Charter School will prepare students for career pathways in the future global marketplace. Through experiential learning, internships and post-secondary credits, Rochester Career and Technical Education Charter School students will access a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests.*

Parent & Community Survey

1. Do you live in Rochester, NY?
   (a.) Yes b. No
   If no, what town do you live in? _____

2. Are you a parent or guardian? If yes, what are the ages of your children?
   a. (Yes) b. No
   Age(s) of child(ren): 13- 11- 8-

3. Does your child or do your children attend public school?
   a. Yes (b.) No

4. Are you satisfied with your child(ren)'s school(s)?
   a. Yes (b.) No

5. List the top 3 things you would want your child's middle or high school to focus on/include:
   a. Health
   b. math
   c. Careers

6. Do you believe that Rochester, NY would benefit from a public charter school, serving grades 6-12, that would focus on students most at-risk of dropping out and offer them multiple pathways to high-school graduation, credits towards institutions of higher education and industry-based certification?
   a. (Yes) b. No
   If yes, would you consider applying to Rochester CTE Charter School? Yes

By signing this form, you are supporting the application and opening of the proposed Rochester CTE Charter School in Rochester, NY. Thank you for your feedback!

Full Name: [redacted]

Email: [redacted]

Zip Code: 14619

Signature: [redacted]

Sample of posts on the Rochester CTE Charter School Facebook page

Rochester Career and Technical Education Charter School
May 25 ·

Come learn about RCTE CS! Tomorrow, May 26th from 11:30-1:30 during Ease on Down 2022 at 567 Thurston Road, Rochester.



Rochester Career and Technical Education Charter School
June 14 ·

Looking forward to the Thurston Village Community Social. We will be there reaching out to community members about what the children in the Rochester community need most to have better outcomes in education.



We need your help!

Rochester Career and Technical Education Charter School is a proposed middle and high school that will support students to ensure they graduate from high school and that students are prepared for college or the workforce.

How can you help?

It takes a village & we need your input. Please join us on 7/9/22 at Thomas P Ryan Center, 530 Webster Ave for a focus session starting at 11:00 AM. We will explain our plans for Rochester Career and Technical Education Charter School and listen to what you feel students need.



It Takes a Village!

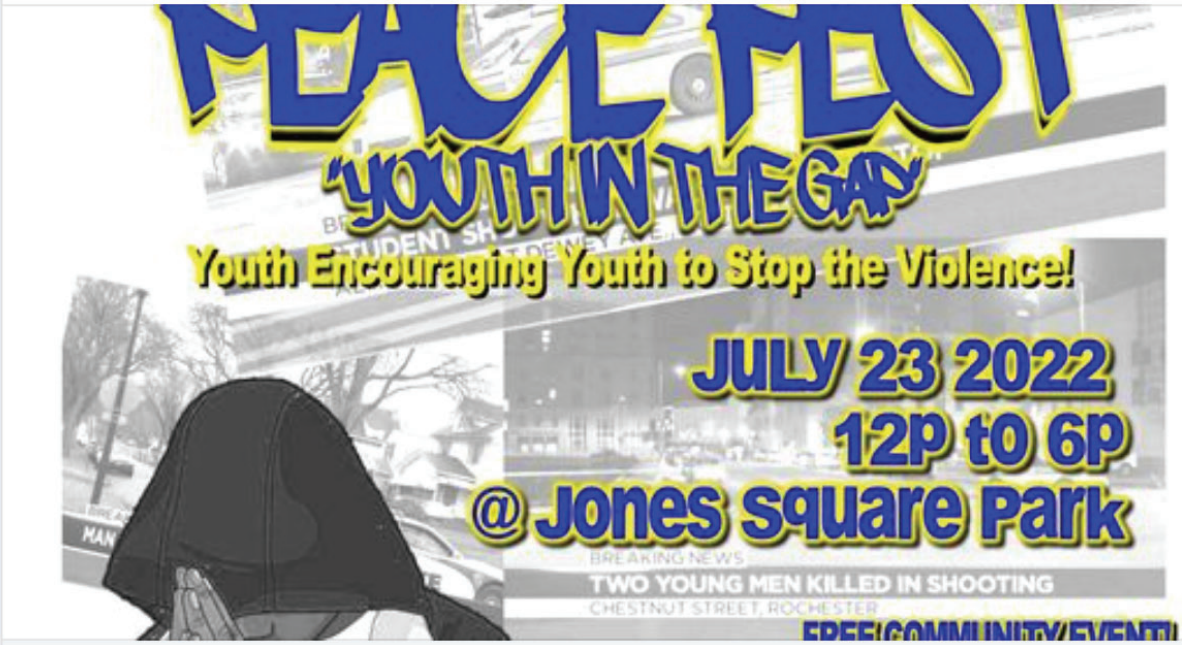
Snacks will be provided & children are welcome.

Contact: roc.ctecs@gmail.com for additional information

Like us and follow us on Facebook!

Rochester Career and Technical Education Charter School
July 21 at 1:12 PM ·

We are excited to be a part of this amazing event. Join us, the details are below!



SAT, JUL 23

13th Annual Peace Fest

Rochester, NY

Causes · 585 people

☆ Interested

Attachment 2c: Evidence of Community Support

Letters of Support
Please find Letters of Support from the following RCTECS stakeholders and community members:

1. Robert Duffy, Chief Executive Officer, Greater Rochester Chamber of Commerce
2. Ashara Baker, New York State Director, National Parents Union
3. Adrian Hale, Director of Economic & Community Development, Foundry
4. Robert Coyne, Executive Director, Rochester Technology and Manufacturing Association
5. Deborah Hamner, Rochester parent leader and City of Rochester business owner
6. Roderick Green, Executive Director, Hillside Work-Scholarship Connection
7. John Nichols, Founding Partner, Nichols Construction Team
8. Bryan Hickman, Executive Director and Co-Founder, E3 Rochester
9. Rev. Robert Hoggard, Senior Pastor, The Historic East Penfield Baptist Church
10. Kathryn Petrillo-Smith, Vice President and Chief Operating Officer, Digital Promise
11. Joe Klein, President, KMT Foundation
12. Douglas Thomas, Department Chair of African and African American Studies at SUNY-Brockport
13. UPREP Charter School for Young Men

GREATER ROCHESTER CHAMBER

150 State Street, Suite 400
Rochester, New York 14614
585.244.1800
GreaterRochesterChamber.com

August 24, 2022

New York State Education Department
Charter School Office
89 Washington Avenue
Albany, NY 12234

To Whom It May Concern,

I am writing on behalf of the Greater Rochester Chamber of Commerce to express support for the proposed Rochester Career and Technical Education Charter School. Rochester needs better schools for students and families.

Rochester Career and Technical Education Charter School will prepare students for the global marketplace. It plans to partner with the Center for Educational Innovation (CEI), a non-profit organization that serves public schools throughout New York State. I am hopeful that the Rochester Career and Technical Education Charter School will provide a high-quality school option for students and families in Rochester.

I offer my support for this charter school application submission to the New York State Education Department. Please feel free to contact me at [redacted]

Sincerely,

[redacted]

Robert J. Duffy
President and CEO

Robert S. Sands
Chairman of the Board
Constellation Brands

Eric Johnson
Vice Chairman
Baldwin Richardson Foods

Lauren Dixon
2nd Vice Chairwoman
Dixon Schwabl

Brian G. Flanagan
Secretary/Treasurer
Nixon Peabody

Robert J. Duffy
President & Chief
Executive Officer

August 26, 2022

New York State Education Department
Charter School Office
89 Washington Avenue
Albany, NY 12234

To Whom It May Concern,

As the New York State Director for the National Parents Union, I support the application for the Rochester Career and Technical Education Charter School in order to improve the quality of life for students in Rochester. The National Parents Union (NPU) is a network of highly effective parent organizations and grassroots activists across the country that is united behind a set of common goals and principles to channel the power of parents.
Rochester Career and Technical Education Charter School (Rochester CTE Charter School) seeks to prepare students for career pathways in the global marketplace. The school plans to serve Rochester students who are at risk of dropping out or are at risk of struggling to progress through middle and high school. The school will offer 6th through 12th grades and will partner with the Center for Educational Innovation (CEI), a non-profit organization that serves public schools throughout New York State. The NPU seeks to build parent power to stop the endless cycle of generational, institutional racism, and ensure education is a civil right for families everywhere.

This school seeks to provide a better education for students and families in Rochester, and I support this effort. Please feel free to contact me at [redacted]

Sincerely,

Ashara Baker

foundry + A Digital Currency Group Company

August 25, 2022

New York State Education Department
Charter School Office
89 Washington Avenue
Albany, NY 12234

To Whom It May Concern,

Rochester needs high-quality schools for students and families. I am writing on behalf of Foundry, a digital currency group company, to express support for the proposed Rochester Career and Technical Education Charter School. Foundry currently provides partnership opportunities for Rochester City School District graduates through ROC The Block and is similarly interested in supporting all of Rochester's students. ROC The Block's premier effort, the Mining Engineer Fellowship, is a workforce development initiative that empowers high school graduates and encourages them to join an industry-based curriculum within Foundry, providing hands-on training, competitive salaries, and benefits. Rochester Institute of Technology (RIT) and Foundry are also collaborating on a cryptocurrency course, which provides underserved students with insights into the world of digital currency and blockchain technology.

Foundry was created to meet the institutional demand for more capital access, efficiency, and transparency in the digital currency mining industry and empower decentralized infrastructure. Rochester Career and Technical Education Charter School (Rochester CTE Charter School) will prepare students for career pathways in the global marketplace. Through experiential learning, internships, and post-secondary credits, students will access a ladder of opportunities to equip them with the skills, recognition, and certification for entrance into higher education institutions and career pathways based on their interests. Rochester CTE Charter School seeks to serve students who are at risk of dropping out or are at risk of struggling to progress through middle and high school. The school will offer 6th through 12th grades and partner with the Center for Educational Innovation (CEI), a non-profit organization serving public schools throughout New York State.

We have engaged in discussion about this school and offer our support for the charter school application submission to the New York State Education Department. We hope to continue to provide opportunities for Rochester's youth that enable them to be contributing members of our community.

Sincerely,

[redacted]

Adrian Hale
Director of Economic and Community Development
Foundry

The Rochester Technology & Manufacturing Association

ROCHESTER TECHNOLOGY & MANUFACTURING ASSOCIATION

Board of Directors:

Officers:

President
Todd Hockenberger
PGM Corp.

Vice President
Wendy Smith
Re:Build Optimation Technology

Secretary
Mike Hyman
Optimax Systems Inc.

Treasurer
Tom Agnello
M-One Advisors

Directors:

Tricia Wittreich
Cooper Vision

Joe Klein
Klein Steel Service, Inc.

Rob Bettin
Eastman Kodak Company

Tom Ross
Murphy and Nolan, Inc.

Jonathan Sydor
Sydor Optics, Inc.

Scott Nolen
Ambrell Corporation

Executive Director:

Robert J. Coyne

Member Company Services:

Assembly, Fabrication & Manufacturing
Optical Manufacturing
CNC Machining
Design & Engineering
Electric Discharge Machining
Molds
Plastic Injection Molding
Precision Grinding
Precision Machining
Precision Sheet Metal
Screw Machine Products
Special Machine Building
Tool & Die

Robert J. Coyne
Executive Director
Rochester Technology and Manufacturing Association (RTMA)
[redacted]

To Whom It May Concern,

I am writing as Executive Director of the Rochester Technology and Manufacturing Association (RTMA) to express my support for the Rochester Career and Technical Education Charter School (Rochester CTE Charter School). The Rochester Technology and Manufacturing Association (RTMA) promotes manufacturing innovation and growth in the Greater Rochester and Finger Lakes Region. We support the local manufacturing community by partnering with industry, academia and government. RTMA is a membership-based trade organization with over 150 members, including manufacturers and those in the service sector.

Rochester is in need of more high-quality educational options for students and families. Rochester CTE Charter School plans to prepare students for career pathways in the future global marketplace. Through experiential learning, internships and post-secondary credits, students will access a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests. The school plans to partner with the Center for Educational Innovation (CEI), a non-profit organization that serves public schools throughout New York State. I have been in discussions with CEI and support their partnership with the school.

The RTMA represents over 85 advanced manufacturing employers in the Finger lakes Region and Workforce Development is one of our key objectives. Our objectives are to involve youth while still in high school, such as the Rochester CTE Charter School, to obtain opportunities in advanced manufacturing. I offer my support for the Rochester CTE Charter School application submission to the New York State Education Department. Please feel free to contact me with any questions at [redacted]

Sincerely,

[redacted]

Robert Coyne

[redacted]

Deborah Hanmer
455 Mt. Vernon Avenue
Rochester, NY 14620

August 27, 2022

New York State Education Department
Charter School Office
89 Washington Avenue
Albany, NY 12234

To Whom It May Concern,

I am writing as a parent of two elementary aged sons and businessowner in the City of Rochester to express support for the proposed Rochester Career and Technical Education Charter School. Rochester needs better schools for students and families.

Rochester Career and Technical Education Charter School will prepare students for the global marketplace. It plans to partner with the Center for Educational Innovation (CEI), a non-profit organization that serves public schools throughout New York State. I am hopeful that the Rochester Career and Technical Education Charter School will provide a high-quality school option for students and families in Rochester.

I offer my support for this charter school application submission to the New York State Education Department. Please feel free to contact me at [redacted]

Sincerely,

Deborah A. Hanmer

Hillside
STRONGER FUTURES TOGETHER

Hillside Work-Scholarship Connection
1 Mustard Street, Rochester NY 14609 | 585.654.1600 | Hillside.com

New York State Education Department
Charter School Office
89 Washington Avenue
Albany, NY 12234

To Whom It May Concern,

I am writing as the Executive Director of Hillside Work-Scholarship Connection to provide my support for the proposed Rochester Career and Technical Education Charter School.

Hillside Work-Scholarship Connection is a nationally recognized youth development program that helps at-risk youth stay in high school and graduate with the skills and confidence necessary to enter college or the workforce. The Rochester Career and Technical Education Charter School will similarly prepare at-risk students for the global marketplace, and will partner with the Center for Educational Innovation (CEI), a non-profit organization that serves public schools. Rochester CTE Charter School seeks to serve students who are at risk of dropping out or are at risk of struggling to progress through middle and high school.

I support the Rochester CTE Charter School and look forward to it serving Rochester's students. Please feel free to contact me at [redacted]

Sincerely,

[redacted]

Roderick E. Green

Executive Director, Hillside Work-Scholarship Connection

Nichols
Construction Team
You are what you build.

8.23.22

New York State Education Department
Charter School Office
89 Washington Avenue
Albany, NY 12234

To Whom It May Concern,

I am writing on behalf of Nichols Construction Team to express support for the proposed Rochester Career and Technical Education Charter School.

It is well documented that the City of Rochester urgently needs better schools for students and families.

Rochester Career and Technical Education Charter School will prepare students for the global marketplace. It plans to partner with the Center for Educational Innovation (CEI), a non-profit organization that serves public schools throughout New York State. I am confident that the Rochester Career and Technical Education Charter School will provide a high-quality school option for students and families in Rochester.

Through the years, I have had the good fortune to witness firsthand the positive difference Charter Schools make on students. As an organization, Nichols Construction Team has helped support the build/renovation of many Charter Schools, including facilities for Uncommon Schools and Renaissance Academy of the Arts.

I am proud to offer my full support for this charter school application submission to the New York State Education Department. Should you require additional information, please feel free to contact me at [redacted]

Sincerely,

[redacted]

John Ford Nichols
Founding Partner

[redacted]

July 15, 2022

New York State Education Department
Charter School Office
89 Washington Avenue
Albany, NY 12234

To Whom It May Concern,

I am writing as Executive Director of E3 Rochester, Inc. in regard to the proposed Rochester Career and Technical Education Charter School. E3 Rochester manages the GoodSchoolsRoc.org website that provides information to parents about their charter school options and allows them to submit applications to the schools of their choice.

While I am not in a position to comment on the merits of the proposed Rochester Career and Technical Education Charter School (Rochester CTE Charter School), I can tell you that applications to charter schools in Rochester are up 57% year to date versus last year, and that with 2 months of applications still to come in, there are almost three individual applicants for every available place in a charter school. (On average, parents apply to 2.5 charter schools, so the number of applications is about 7.5 times the number of slots available.) This indicates that there is very high demand for additional charter school seats in Rochester.

I also know that a majority of the students in the city will not go on to a four-year college, and that good career and technical education could prepare them for the many middle skills jobs that our region needs to fill. We support efforts that have the potential to improve outcomes for students and families in the city of Rochester, and hope that the Rochester Career and Technical Education Charter School will fulfill this promise. Please feel free to contact me to discuss further at [redacted]org.

Sincerely,

Bryan D. Hickman

Thursday, August 25th, 2022

New York State Education Department
Charter School Office
89 Washington Avenue
Albany, NY 12234

RE: The Rochester Career and Technical Education Charter School

Dear New York State Education Department Officials,

The Historic East Penfield Baptist Church and I support the proposed Rochester Career and Technical Education Charter School. Our church has existed since 1824 and is on the eve of 200 years of service of peace and justice to this region. I serve as the *first* African-American pastor in our long history.

Rochester is well past due for a decent and sound education, and the education delivered to Rochester is criminal. I understand the need Rochester has for better schools as I ran for a seat in the Rochester City School District in 2019, I serve on the Academy of the Health Sciences board, and I was a proposed board member for Rochester Excellence Academy—which I still believe was wrongfully rejected to launch. The Rochester City School District is not fulfilling its duty to educate our babies. It has only worsened since Jaime Aquino, now Superintendent in the San Antonio Independent School District was appointed its watchdog.

I strongly urge you to consider this school a healthy alternative to the woefully criminal district, as it appears that the state has no plan to provide relief to the children and families of Rochester. I put my entire professional reputation behind this school, and I hope you all don't forget about the children and families of Rochester.

Rochester Career and Technical Education Charter School will prepare students for the global marketplace. It plans to partner with the Center for Educational Innovation (CEI), a non-profit organization that serves public schools throughout New York State. I am hopeful the Rochester Career and Technical Education Charter School will provide a high-quality school option for students and families in Rochester.

Please feel free to contact me at [redacted]

Onward and upward,

Rev. Robert K Hoggard
Senior Pastor, The Historic East Penfield Baptist Church

August 26, 2022

New York State Education Department
Charter School Office
89 Washington Avenue
Albany, NY 12234

To Whom It May Concern,

I am writing on behalf of the Digital Promise express support for the proposed Rochester Career and Technical Education Charter School. Rochester needs better schools for students and families.

Rochester Career and Technical Education Charter School will prepare students for the global marketplace. It plans to partner with the Center for Educational Innovation (CEI), a non-profit organization that serves public schools throughout New York State. I am hopeful that the Rochester Career and Technical Education Charter School will provide a high-quality school option for students and families in Rochester.

I offer my support for this charter school application submission to the New York State Education Department. Please feel free to contact me at [redacted].

Sincerely,

Kathryn Petrillo-Smith
Digital Promise
Vice President and Chief Operating Officer

[redacted]

KMT
FOUNDATION

KMT Foundation
1100 Goodman St. South
Rochester, NY 14620

July 16, 2022

To Whom It May Concern,

I am writing as President of KMT Foundation. The proposed Rochester Career and Technical Education Charter School is desperately needed in Rochester. High-quality educational options for students and families in Rochester are lacking. Our district schools are unsafe and are not preparing Rochester's children growing up in impoverished homes to read, write, or do math. In 2018-19, the last year public data is available, 10% of Rochester City School District (RCSD) 8th graders scored proficient in English Language Arts and 2% of 8th graders scored proficient in Math on the New York State assessment. Overall, only 63% of students graduated from RCSD high schools in 2018-2019. Many of these graduates have local degrees which do not prepare a student for a career or even for community college.

Rochester Career and Technical Education Charter School (Rochester CTE Charter School) will prepare students for career pathways in Rochester. We are short of employees for high-paying middle skills jobs in Rochester and graduates of this proposed charter school will be scooped up by local companies on graduation. The hands-on-training, internships and college credits will equip students with the skills to prepare these students for college, and/or career, and for life. The school is focused on academic support for literacy, a safe and caring school culture, and CTE training. As a former Chair of Mayor Duffy's Literacy Committee, I observed the CTE training available in the district. CTE training in the RCSD is not adequate. Rochester CTE Charter School will enroll students who are at risk of dropping out or are at risk of struggling to progress through middle and high school. These students will be prepared for a solid job from this proposed school. Without Rochester CTE Charter School, these same students will be prepared for a street corner, a jail cell, or the cemetery. The school will offer the critical grades of 6th through 12th. It plans to partner with the Center for Educational Innovation (CEI), a non-profit organization that serves public schools throughout New York State.

The mission of KMT Foundation is to ensure children growing up in impoverished homes in Rochester receive a caring and rigorous education which will prepare them for college, career, and for life. The Rochester Career and Technical Education Charter School will fulfill this mission. Please feel free to contact me to discuss further at [redacted]

Sincerely,

Joe Klein

The College at
BROCKPORT
STATE UNIVERSITY OF NEW YORK

Department of African and African-American Studies

New York State Education Department
Charter School Office
89 Washington Avenue
Albany, NY 12234

To whom it may concern:

I am Douglas Thomas, associate professor and chair of the department of African and African American Studies at SUNY-Brockport. This letter is to lend to support to the creation of the CTE Charter School in Rochester.

Our department brings scholarly research on the lives of Africans and the African Diaspora into contact with practical application and activism. The CTE Charter School's goal to bring more Rochester youth into the light of science and technology aligns with our departmental goals. So we fully support these efforts and are willing to lend our collective expertise to the realization of these goals.

Rochester Career and Technical Education Charter School will prepare students for the global marketplace. It plans to partner with the Center for Educational Innovation (CEI), a non-profit organization that serves public schools throughout New York State. I am hopeful that the Rochester Career and Technical Education Charter School will provide a high-quality school option for students and families in Rochester.

I offer my support for this charter school application submission to the New York State Education Department. Please feel free to contact me at [redacted]

Sincerely,

Douglas V. Thomas, Ph.D.

350 New Campus Drive • Brockport, New York 14420-2964 • 585-395-2470 • Fax: 585-395-5085 • *www.brockport.edu*

University Preparatory Charter School For Young Men

1290 Lake Avenue
Rochester, NY 14613
Phone - 585.672.1280
Fax - 585.458.2732

August 29, 2022

New York State Education Department
Charter School Office
89 Washington Avenue
Albany, NY 12234

To Whom It May Concern,

I am writing on behalf of the **UPREP Charter School for Young Men** to express support for the proposed Rochester Career and Technical Education Charter School. Rochester needs better schools for students and families.

Rochester Career and Technical Education Charter School will prepare students for the global marketplace. It plans to partner with the Center for Educational Innovation (CEI), a non-profit organization that serves public schools throughout New York State. I am hopeful that the Rochester Career and Technical Education Charter School will provide a high-quality school option for students and families in Rochester.

I offer my support for this charter school application submission to the New York State Education Department.

Sincerely,

-University Preparatory Charter School for Young Men

Attachment 3: Course Descriptions

ELA		
Grade:	**Course Title:**	**Course Description:**
6	Grade 6 English Language Arts	Language Arts (grade 6) courses build upon students' prior knowledge of grammar, vocabulary, word usage, and writing mechanics. They include the four aspects of language use: reading, writing, speaking, and listening. These courses may emphasize the use of language for different effects, in other contexts, and for various purposes. Specific content depends upon state standards for grade 6.
7	Grade 7 English Language Arts	Language Arts (grade 7) courses build upon students' prior knowledge of grammar, vocabulary, word usage, and writing mechanics. They include the four aspects of language use: reading, writing, speaking, and listening. Beyond emphasizing different uses for language, these courses may also involve using language (mainly written text) to construct meaning and connections. Specific content depends upon state standards for grade 7.
8	Grade 8 English Language Arts	Language Arts (grade 8) courses build upon students' prior knowledge of grammar, vocabulary, word usage, and writing mechanics. They include the four aspects of language use: reading, writing, speaking, and listening. Typically, these courses use various genres of literature to improve reading skills, and they link writing exercises for different purposes to those reading selections. Specific content depends upon state standards for grade 8.
9	ELA I	English/Language Arts I (9th grade) courses build upon students' prior knowledge of grammar, vocabulary, word usage, and writing mechanics. Usually, they include the four aspects of language use: reading, writing, speaking, and listening. Typically, these courses introduce and define various genres of literature, with writing exercises often linked to reading selections.
10	ELA II	English/Language Arts II (10th grade) courses usually offer a balanced focus on composition and literature. Typically, students learn about the alternate aims and audiences of written pieces by writing persuasive, critical, and creative multi-paragraph essays and compositions. Through the study of various genres of literature, students can improve their reading rate and comprehension, develop the skills to determine the author's intent and theme, and recognize the techniques used by the author to deliver their message.
11	ELA III	English/Language Arts III (11th grade) Common Core courses are designed to prepare students for the Regents Exam in English Language Arts (Common Core).
12	Dual Enrollment English I	College Composition: Students will learn to improve their writing and communication skills. They will read, interpret and analyze a diverse array of literary texts. Students will use primary and secondary sources to develop arguments in support of a particular stance on current and relevant topics. They will also improve their ability to produce and evaluate research to apply to the understanding of a range of texts.

Math		
Grade:	**Course Title:**	**Course Description:**
6	Grade 6 Mathematics	Mathematics (grade 6) courses typically emphasize skills in numerical operations (including basic operations and their proper order), measurement; patterns; simple functions; geometry; and concepts of data analysis, including statistics and probability. Specific content depends upon state standards for grade 6.
7	Grade 7 Mathematics	Mathematics (grade 7) courses typically emphasize proficiency in skills involving numbers and operations, measurement; patterns; functions; algebraic formulas; geometry, and concepts of data analysis, including statistics and probability. Specific content depends upon state standards for grade 7.
8	Grade 8 Mathematics	Mathematics (grade 8) courses typically emphasize proficiency in skills involving numbers and operations, measurement, patterns, simple functions, algebra, geometry, statistics, and probability. Specific content depends upon state standards for grade 8.
9	Algebra I	Algebra I (Common Core) courses provide instruction designed to prepare students for the Regents Examination in Algebra I (Common Core).
10	Geometry	Geometry (Common Core) courses provide instruction designed to prepare students for the Regents Examination in Geometry (Common Core).
11	Algebra II	Algebra II (Common Core) courses provide instruction designed to prepare students for the Regents Examination in Algebra II (Common Core).
12 (option)	Pre-Calculus	Pre-Calculus courses combine the study of Trigonometry, Elementary Functions, Analytic Geometry, and Mathematical Analysis topics as preparation for calculus. Topics typically include: • The study of complex numbers. • Polynomial, logarithmic, exponential, rational, right trigonometric, and circular functions and their relations, inverses, and graphs • Trigonometric identities and equations • Solutions of right and oblique triangles • Vectors • The polar coordinate system • Conic sections • Boolean algebra and symbolic logic • Mathematical induction • Matrix algebra • Sequences and series • Limits and continuity
12 (option)	AP Statistics	Following the College Board's suggested curriculum designed to parallel college-level statistics courses, AP Statistics courses introduce students to the major concepts and tools for collecting, analyzing, and drawing conclusions from data. Students learn four broad conceptual themes: exploring data, sampling and experimentation, anticipating patterns, and statistical inference.
12 (option)	AP Calculus	Following the College Board's suggested curriculum designed to parallel college-level calculus courses, AP Calculus AB provides students with an understanding of

		the concepts of calculus and experience with its methods and applications. These courses introduce calculus and include the following topics: • Functions, graphs, limits, and continuity • Differential calculus (including definition, application, and computation of the derivative; derivative at a point; derivative as a function; and second derivatives) • Integral calculus (including definite integrals and antidifferentiation)

Social Studies		
Grade:	**Course Title:**	**Course Description:**
6	Social Studies 6	Social Studies (grade 6) courses provide a greater understanding of social studies disciplines, including history, geography, civics and government, and economics. These courses often focus on various world societies' history, culture, and government. Typically, students develop skills used in the social studies disciplines. Specific content depends upon state standards for grade 6.
7	Social Studies 7	Social Studies (grade 7) courses provide continued development of understanding and skills in the social studies disciplines: history, geography, civics and government, and economics. Specific content depends upon state standards for grade 7.
8	Social Studies 8	Social Studies (grade 8) courses provide continued development of understanding and skills in the social studies disciplines: history, geography, civics and government, and economics. Typically, these courses focus on single disciplines at a time (e.g., state-specific history and government, U.S. history, world history, or civics) to develop discipline-related skills. Specific content depends upon state standards for grade 8.
9	Global History and Geography I	Grade 9 begins with the Paleolithic Era and the development of the first civilizations. It continues with an examination of classical societies and traces the expansion of trade networks and their global impact. The course emphasizes the critical themes of interactions over time, political power shifts, and belief systems' roles. The first three Key Ideas review content from Grade 6 and will not require as much instructional time as other Key Ideas. Other Key Ideas may require additional instructional time, such as 9.5 Political Powers and Achievements, 9.9 Transformation of Western Europe and Russia, and 9.10 Interactions and Disruptions. The course emphasizes the importance of historical and spatial thinking and all social studies practices and standards.
10	Global History and Geography II	Grade 10 provides a snapshot of the world circa 1750. The course continues chronologically up to the present. Several concepts are woven throughout the course, including industrialization, nationalism, imperialism, conflict, technology, and the world's interconnectedness. The last three Key Ideas focus on global issues, applying a more thematic approach. Teachers should note that some Key Ideas may require extra time and attention. For example, 10.1 The World in 1750 is a brief introduction and will not require as much time as other Key Ideas. While the course emphasizes the importance of historical and spatial thinking, all social studies practices and standards are included in studying global history and geography.
11	US History and	Grade 11 begins with the colonial and constitutional foundations of the United

	Government	States and explores the government structure and functions written in the Constitution. The development of the nation and the political, social, and economic factors that led to the challenges our nation faced in the Civil War are addressed. Industrialization, urbanization, and the accompanying problems are examined, along with America's emergence as a world power, the two world wars of the 20th century, and the Cold War. Students explore the expansion of the federal government, the threat of terrorism, and the place of the United States in an increasingly globalized and interconnected world.
12 (semester 1)	Participation in Government and Civics	This course aims to provide students with opportunities to become engaged in the political process by acquiring the knowledge and practicing the skills necessary for active citizenship. Content specifications are not included, so that the course can adapt to present local, national, and global circumstances, allowing teachers to select flexibly from current events to illuminate key ideas and conceptual understandings. Participation in government and in our communities is fundamental to the success of American democracy.
12 (semester 2)	Economics, the Enterprise System, and Finance	"Economics, the Enterprise System, and Finance" examines the global principles of the United States free market economy. Students will explore their responsibility for managing their finances. Students will analyze the role of supply and demand in determining the prices individuals and businesses face in the product and factor markets and the global nature of these markets. Students will study changes to the workforce in the United States, the role of entrepreneurs in our economy, and the effects of globalization. Students will explore the challenges facing the United States free market economy in a global environment and various policy-making opportunities available to the government to address these challenges.

Science		
Grade:	**Course Title:**	**Course Description:**
6	Science Grade 6	Science (grade 6) courses typically include subject matter from several strands of science, including earth/space sciences, physical sciences, and life or environmental sciences, and may organize material around thematic units. Specific content depends upon state standards for grade 6.
7	Science Grade 7	Science (grade 7) courses build on previous years of scientific inquiry and typically include subject matter from several strands of science, including earth sciences, physical sciences, and life or environmental sciences, and may organize material around thematic units. Specific content depends upon state standards for grade 7.
8	Science Grade 8	Science (grade 8) courses typically include subject matter from several strands of science, including earth sciences, physical sciences, and life or environmental sciences, and may organize material around thematic units. Specific content depends upon state standards for grade 8.
9	Earth Science	Earth Science courses offer insight into the environment on earth and the earth's environment in space. While presenting the concepts and principles essential to students' understanding of the dynamics and history of the earth, these courses usually explore oceanography, geology, astronomy, meteorology, and geography. *Regents Earth Science Lab
10	Biology	Biology courses are designed to provide information regarding the fundamental

		concepts of life and life processes. These courses include (but are not restricted to) such topics as cell structure and function, general plant and animal physiology, genetics, and taxonomy. *Regents Biology Lab
11	Chemistry	Chemistry courses involve studying the composition, properties, and reactions of substances. These courses typically explore such concepts as the behaviors of solids, liquids, and gases, acid/base and oxidation/reduction reactions, and atomic structure. Chemical formulas and equations and nuclear reactions are also studied. *Regents Chemistry Lab
12		Students who exceed graduation requirements heading into the senior year are eligible for college-level and AP courses to be determined individually.

Computer Science		
Grade:	**Course Title:**	**Course Description:**
6	Introduction to CS	Students are introduced to computing sciences through Scratch, a coding platform created by MIT, that promotes computational thinking and problem solving through game and story creation. Students use Scratch to develop a foundational understanding of coding languages, digital literacy, cybersecurity, and the impacts of computing on online safety and ethics.[1]
7	Introduction to Web Design	Students will learn how to create and modify web pages using various programming supports ranging from HTML, CSS, JavaScript, and more. Students will develop critical design skills and apply them to the content of their web page, merging with the graphic images that aid in the storytelling and purpose. Web sites often serve as marketing and E-Commerce platforms for companies. Students will research websites and create their own based on client needs.
8	Introduction to Coding	Students build on their understanding of computing sciences using App Lab. This environment provides PBL opportunities in app design and introduces students to the concepts of Javascript using blocks or text.[2]
9	Computer Science Essentials	Students will experience essential topics, big ideas, and computational thinking practices used by computing professionals to solve problems and create value for others. This course will empower students to develop computational thinking skills while building confidence to advance to Computer Science Principles and Computer Science A.
10	Computer Science Principles	Using Python® as a primary tool, students explore and become inspired by career paths that utilize computing, discover tools that foster creativity and collaboration, and use what they've learned to tackle challenges like app development and simulation. This course is endorsed by the College Board, allowing students to take the AP Computer Science Principles exam for college credit.
11	Advanced Computing Sciences	As students complete multiple courses within the computer science sequence, they will begin to apply critical thinking and coding skills to analyze and develop algorithms. Students will use Java to strengthen their programming skills and

[1] https://scratch mit.edu/
[2] https://code.org/educate/applab

		develop advanced skills such as object-oriented design, inheritance, sorting and searching algorithms, recursion, and relational databases. Students will continue working collaboratively, present prototypes, research, and synthesize years of learning into advanced solutions.
12	Cyber Security (Semester 1) Computing Sciences Career Development (Semester 2)	Whether seeking a career in the growing field of Cybersecurity or learning to defend their data or a company's data, students in Cybersecurity establish an ethical code of conduct while learning to safeguard data in today's complex cyber world. Upon completing multiple years of computer science coursework, students will engage in a senior capstone project, relying on their skills and applying them to the fastest-growing subset of career pathways within computer science. Cybersecurity solutions will call upon students prior learning and require extensive teamwork to defend and present prototypes. Teachers, College, and Industry partners will be called upon to support the development of a real-world project and will serve as coaches and judges.

CTE Biomedical Sciences		
Grade:	**Course Title:**	**Course Description:**
Elective	Principles of Biomedical Science	In this course, students explore concepts of biology and medicine as they take on roles of different medical professionals to solve real-world problems. Over the course of the year, students are challenged in various scenarios including investigating a crime scene to solve a mystery, diagnosing and proposing treatment to patients in a family medical practice, to tracking down and containing a medical outbreak at a local hospital, stabilizing a patient during an emergency, and collaborating with others to design solutions to local and global medical problems.
Elective	Human Body Systems	Students examine the interactions of human body systems as they explore identity, power, movement, protection, and homeostasis in the body. Exploring science in action, students build organs and tissues on a skeletal Maniken®; use data acquisition software to monitor body functions such as muscle movement, reflex and voluntary action, and respiration; and take on the roles of biomedical professionals to solve real-world medical cases.
Elective	Medical Interventions	Students follow the life of a fictitious family as they investigate how to prevent, diagnose, and treat disease. Students explore how to detect and fight infection; screen and evaluate the code in human DNA; evaluate cancer treatment options; and prevail when the organs of the body begin to fail. Through real-world cases, students are exposed to a range of interventions related to immunology, surgery, genetics, pharmacology, medical devices, and diagnostics.
Elective	Biomedical Innovation	In the final course of the PLTW Biomedical Science sequence, students build on the knowledge and skills gained from previous courses to design innovative solutions for the most pressing health challenges of the 21st century. Students address topics ranging from public health and biomedical engineering to clinical medicine and physiology. They have the opportunity to work on an independent project with a mentor or advisor from a university, medical facility, or research institution.

Health and Physical Education

Grade:	Course Title:	Course Description:
6	PE- 6	Sixth grade physical education will provide opportunities to promote positive relationships. The standards reflect the need for students to develop the following: communication skills and strategies, responding appropriately to successes and failures, developing perseverance, and describing career options related to physical activity and fitness. Identifying the FITT (Frequency, Intensity, Time, and Type) principle in relation to the components of fitness and to the strategies that improve health-enhancing behaviors will provide students with the basic foundational practices that will be developed and encouraged throughout their time in school and extend into their adult life
7	PE- 7	Seventh grade outcomes emphasize citizenship, evaluative problem-solving skills, and conflict resolution tactics in physical settings. Understanding the connection between exercise and its emotional benefits will provide students with the foundational practices that will be developed and encouraged throughout their time in school and extend into their adult life. They will also apply learned strategies and concepts to movement, small sided game play, and other physical activities while using their locomotor skills.
8	PE- 8	Eighth grade students experience incongruent growth, physically, emotionally, and intellectually. The grade-level outcomes reflect the sensitivity of the diversified skills and growth, and therefore provide additional opportunities to promote citizenship and cooperation among peers in a physical activity setting. Strategies will be evaluated for their effectiveness in group activity challenges. Students at this age demonstrate a maturation of specialized skills such as balance and object control.
7	Middle School Health	Topics covered within Health Education courses may vary widely, but typically include personal health (nutrition, mental health and stress management, drug/alcohol abuse prevention, disease prevention, and first aid) and consumer health issues. The courses may also include brief studies of environmental health, personal development, and/or community resources.
9	HS- Level 1 PE	Ninth Grade (Level I) physical education focuses on the benefits of leading a healthy lifestyle. The grade level outcomes include components of personal wellness and the social-emotional factors that contribute to leading an enjoyable life, extending beyond graduation. An exploration into the different domains of resources and career options are explored. Competency of various motor skills and movement patterns is demonstrated.
10		Tenth Grade (Level I) physical education focuses on the benefits of leading a healthy lifestyle. The grade level outcomes include components of personal wellness and the social-emotional factors that contribute to leading an enjoyable life, extending beyond graduation. An exploration into the different domains of resources and career options are explored. Competency of various motor skills and movement patterns is demonstrated.
11	HS- Level 2	Eleventh Grade (Level II) physical education prepares students as they transition to post-secondary life. Students design and implement personal wellness plans that promote lifelong physical activity and fitness. Health-enhancing behaviors, such as nutrition and social-emotional factors, are included in the plan. Students apply effective habits of personal and social behaviors, as well as an exploration into the different domains of resources, other than school, to continue the practices of physical activities. Proficiency of various motor skills and movement patterns is

		demonstrated.
12	HS- Level 2	Twelfth Grade (Level II) physical education prepares students as they transition to post-secondary life. Students design and implement personal wellness plans that promote lifelong physical activity and fitness. Health-enhancing behaviors, such as nutrition and social-emotional factors, are included in the plan. Students apply effective habits of personal and social behaviors, as well as an exploration into the different domains of resources, other than school, to continue the practices of physical activities. Proficiency of various motor skills and movement patterns is demonstrated.
9-12	HS Health	Topics covered within Health Education courses may vary widely, but typically include personal health (nutrition, mental health and stress management, drug/alcohol abuse prevention, disease prevention, and first aid) and consumer health issues. The courses may also include brief studies of environmental health, personal development, and/or community resources.

Art/Music		
Grade:	**Course Title:**	**Course Description:**
6	Grade 6 Art	Art (grade 6) courses provide to students activities that foster creative expression, communication through artistic endeavor, and appreciation of culture and heritage. Activities may include those that enable students to refine their technique, increase their artistic vocabulary, express themselves and their world view, make connections to other content areas, develop their own aesthetic, and strengthen their critical abilities. Although typically involving the visual arts (drawing, painting, sculpture, crafts, and the like), these courses may also include other forms of art (for example, dance, music, and theater). Specific course content conforms to any existing state standards for grade 6.
6	Grade 6 Music	Music (grade 6) courses enable students to create and perform music, listen and respond to musical compositions, and incorporate their musical experiences with other activities and subjects. Course content usually involves understanding music as creative expression and communication, developing skill with the voice and/or musical instruments, and refining the ability to discern and critique. Specific course content conforms to any existing state standards for grade 6.
7	Middle School Visual Arts	Visual Art—Comprehensive courses enable students to explore one or several art forms (e.g., drawing, painting, two- and three-dimensional design, and sculpture) and to create individual works of art. Initial courses emphasize observations, interpretation of the visual environment, visual communication, imagination, and symbolism. Courses cover the language, materials, media, and processes of a particular art form and the design elements used. Advanced courses encourage students to refine their skills while also developing their own artistic styles. Courses may also include the study of major artists, art movements, and styles.
8	Middle School Music History/Appreciation	Music History/Appreciation courses survey different musical styles and periods with the intent of increasing students' understanding of music and its importance in relation to the human experience. Music History/Appreciation courses may focus on how various styles of music apply musical elements to create an expressive or aesthetic impact.

9-12	HS Visual Arts	Visual Arts—Drawing/Painting courses provide a foundation in drawing and painting using a variety of media and techniques, emphasizing observation and interpretation of the visual environment. These courses typically include applying the elements of art and principles of design, along with a study of art and artists from a worldwide perspective, and instruction in the critique process. Advanced courses may encourage students to refine their creative process and develop their own artistic styles.

Language other than English		
Grade:	**Course Title:**	**Course Description:**
6	Grade 6 Spanish	Spanish for Young Learners (prior-to-secondary) courses provide instruction at multiple grade levels in Spanish and may apply to a range of consecutive grades. These courses prepare students to communicate authentically in Spanish by interpreting (reading, listening, viewing), exchanging (speaking and listening; reading and writing), and presenting (speaking, writing) information on concrete topics. These courses introduce the relationships among the products, practices, and perspectives of Spanish-speaking cultures.
7	Grade 7 Spanish	Spanish for Young Learners (prior-to-secondary) courses provide instruction at multiple grade levels in Spanish and may apply to a range of consecutive grades. These courses prepare students to communicate authentically in Spanish by interpreting (reading, listening, viewing), exchanging (speaking and listening; reading and writing), and presenting (speaking, writing) information on concrete topics. These courses introduce the relationships among the products, practices, and perspectives of Spanish-speaking cultures.
8	Grade 7 Spanish	Spanish for Young Learners (prior-to-secondary) courses provide instruction at multiple grade levels in Spanish and may apply to a range of consecutive grades. These courses prepare students to communicate authentically in Spanish by interpreting (reading, listening, viewing), exchanging (speaking and listening; reading and writing), and presenting (speaking, writing) information on concrete topics. These courses introduce the relationships among the products, practices, and perspectives of Spanish-speaking cultures.
9	Spanish I	Designed to introduce students to Spanish language and culture, Spanish I courses prepare students to communicate authentically in Spanish by interpreting (reading, listening, viewing), exchanging (speaking and listening; reading and writing), and presenting (speaking, writing) information on a variety of topics. They introduce the relationships among the products, practices, and perspectives of Spanish-speaking cultures.

Work Based Learning (WBL)

At Rochester CTE Charter School, students learn beyond the school's walls and the day's schedule. Our college and industry partners support this continuation through workplace learning as they progress through their academic core requirements and complete CTE courses and technical assessments. Students will receive opportunities to work onsite in an industry setting aligned to their unique career interests and aspirations. Our high-value partners will provide an environment for students to apply the academic, social-emotional, and technical skills they have acquired at our school. Work-based learning is much more than a paid internship or resume

writing workshop. It is collaborative, standards-based (CDOS), and provides a wide range of experiences such as:

- job shadowing
- Soft Skills training
- Summer Youth
- Paid internships
- Apprenticeship(s)[3]

Peer Mentoring

Students would rather talk, move around, and ask each other questions rather than sit still and be quiet, waiting for a teacher to address their needs. Peer mentoring exploits this natural desire to engage with those experiencing similar challenges after School extracurricular activities include multiple options for struggling students to find the ongoing support they need and request. [4]

[3] https://www.jff.org/what-we-do/impact-stories/center-for-apprenticeship-and-work-based-learning/about-work-based-learning/

[4] https://www.avid.org
https://scholarworks.calstate.edu/downloads/6w924f708

Attachment 3a: Student and Teacher "Day in the Life"

Student Day in the Life: When the school bus drops me off at 8:05, I walk through the front door, say hello to some of the teachers in the hallway that I recognize, and head to my math classroom before the first period starts. In math class, I take my breakfast off the cart and get my notebook and pencils out while I eat. At 8:20, I throw my garbage away from breakfast and double check that I have all my folders and notebooks for the day.

Math class starts at 8:30. We are learning about proportions in this unit, which has been really fun. After the bell ringer, we read through the explore problem. We worked with our groups on an exploration task where we were given a recipe for muffins and we needed to find out how much of the different baking ingredients we would need to make enough muffins for the whole 6th grade. I shared my strategies yesterday, so today I asked my classmates questions about how they solved the problem.

The bell rang at 9:15, but because we have math for two periods, I kept all my school supplies in the classroom as I used the 5 minute transition period to use the bathroom and talk to some friends.

The second block of math was really fun because my group and I worked together on the practice problems and got to do the challenge task.

When the bell rang at 10:05, I took all my supplies and went to Social Studies, where we had a class debate on which of the river valley civilizations was the best. I picked the Nile river valley, but it was helpful to hear my classmates argue that the Indus River or Yellow River civilizations did a better job adapting to their environment.

After social studies, I went to PE. I'm really glad I have PE before lunch because we are at the end of the basketball unit, and I don't want to be too full while I'm playing basketball.

PE ends at 11:45 and I go to the cafeteria for lunch. When I got to the cafeteria, I got my food from the lunch line, and sat with some of my friends.

After lunch, I have two periods of ELA. We have been reading *Bud, Not Buddy* in this unit, but today we read a speech by Steve Jobs. It was fun to learn about someone as famous as Steve Jobs and we even got to compare him to Bud from our book.

After the 5 minute transition, we had time during the second ELA period to read independently. Our teachers always talk to us about how important it is to read everyday, so it's helpful when we get to do some independent reading during class.

After ELA, I went to art class where we are working on our one-line drawings. The drawings look simple, but they are actually hard. I like that our art class gives me a chance to try something new.

After art, I have computer science, my favorite class. We are using Scratch to learn how to code! This unit, we are designing a video game. I'm really glad that I paid attention in math this year when we did coordinates because it makes computer science a lot easier.

The last period of the day is intervention. I get to go to a reading group with some other 6th graders that are on the same reading level as me. It's helpful to talk to my reading group and we all support each other to be better readers. As much as I like my reading group, I hope that when we take our reading test next week, I get to move up a reading level.

The bell rings at 4:25 and I go out and get on my bus. I can't wait until school tomorrow because we get to have science and BOOST!

Teacher Day in the Life: At 7:30, I walk through the front door, wave hello to my principal, and head towards my classroom to prepare for the day. I have about 20 minutes before students start coming through the door, so I use this time to double check that all of the white boards are clean, my slides are ready to go, and that student materials are ready for the first period.

About five minutes before 8:00, students start entering the classroom. With the room already set up, I use this time to greet students at the door. My first period students say hello, grab the student materials from the pile, and head to their seats to unpack and start their warm-up problems. A few students stop at my door to ask questions about the previous class' problem set. Before sending them to their first period class, I answer a few questions and let them know that we can talk more later if they are still struggling with any of the problems.

When the bell rings, we listen to the morning announcements. This gives me an opportunity to take my attendance before going over the warm-up problems. One of our warm-up problems always consists of a personal check-in. Sometimes I'll ask them to describe how they are doing through a simple analogy. Other times I give them space to just write down anything that they want me to know before class starts. I am able to circulate the room and check these answers while students are discussing the math questions in the warm-up.

After the warm-up and initial check-in, we launch into the exploration problem of the day. Students spend the next 20 minutes working in groups to complete the exploration problems. While students are working, I circulate around the room, looking for anticipated strategies and misconceptions. I jot down the names of a few students whose strategies would be beneficial for the whole class to see.

When the 20-minute timer goes off, we launch into the class discussion of the exploration problem. I ask a few students to share their strategies, giving the rest of the class an opportunity to compare and contrast their work with a peer's. Some students raise hands to ask clarifying questions and communicate what was effective about their classmate's work. By the end of the conversation, the class has seen three different strategies for approaching the problem, and acknowledged the strengths and weaknesses of each strategy.

After wrapping up the exploration problem and discussion, students spend the next 30 minutes completing a spiraled problem set. Students have improved at using their group work time effectively. The students in the group progress at about the same rate, but some students communicate to their peers when they need to try a problem by themselves to ensure that they understand the lesson objective. Many of the problems include real-world context and written responses. Having students work on these problems in groups has significantly improved the quality of their written responses because they are able to read their responses aloud to their peers.

We conclude class with an exit ticket for the final 10 minutes of class. Students complete the exit ticket independently, handing it into the bin on their way out the door.

When all of my students have exited the class, I welcome my next group of students who participate in the same lesson and the first period class.

By the end of second period, I have heard from and seen the work of about 50 students, giving me a good picture of their understanding. Third period is a planning period, so I spend this time grading the exit tickets and recording those grades online. After the exit tickets are graded, I spend some time analyzing the trends and planning to incorporate the most common misconception into the next day's warm-up problems. I use the remainder of my planning period to prepare for the following week's lessons, respond to an email from my instructional coach, and update my gradebook.

After the third period, teachers and students have lunch. I spend the first half of lunch connecting with another colleague, but I enjoy walking down to the cafeteria to talk to some kids that may need another check-in.

The fourth period of the day is another math class. This class has the same lesson as the other two, but I have a co-teacher for this block. Co-teaching this class has allowed us to implement the same lesson and provide the necessary support for students that may need it. The improved student to teacher ratio is especially helpful for circulating the room during the exploration task and group practice.

The last period of the day is another planning period. During the first half of this class, I have a meeting with my instructional coach. Recently, I have been working on effective student discourse with my coach. We debrief on a lesson that they observed yesterday and plan to implement some small changes to the discussion in tomorrow's lesson.

After the meeting, I have enough time to grade the fourth period exit tickets, update the gradebook, and print student materials for tomorrow's lesson.

After dismissal, I have the opportunity to internalize an upcoming lesson, connect with my co-teacher, and make a few parent phone calls before heading home.

Attachment 3c: Exit Standards

English Language Arts **Grade 8**
8R1: Cite textual evidence to strongly support an analysis of what the text says explicitly/implicitly and make logical inferences. (RI&RL) **8R2**: Determine one or more themes or central ideas of a text and analyze their development over the course of the text; summarize a text. (RI&RL) **8R3**: In literary texts, analyze how particular lines of dialogue or events propel the action, reveal aspects of a character, or provoke a decision. (RL) In informational texts, analyze how individuals, events, and ideas are introduced, relate to each other, and are developed. (RI) **8R4:** Determine the meaning of words and phrases as they are used in a text, including figurative and connotative meanings. Analyze the impact of specific word choices on meaning, tone, and mood, including words with multiple meanings. (RI&RL) **8R5:** In literary texts and informational texts, compare and contrast the structures of two or more texts in order to analyze how the differing structure of each text contributes to overall meaning, style, theme, or central idea. (RI&RL) **8R6**: In literary texts, analyze how the differences between the point of view, perspectives of the characters, the audience, or reader create effects such as mood and tone. (RL) In informational texts, analyze how the author addresses conflicting evidence or viewpoints. (RI) **8R7:** Evaluate the advantages and disadvantages of using different media-- text, audio, video, stage, or digital-- to present a particular subject or idea and analyze the extent to which a production remains faithful to or departs from the written text. (RI&RL) **8R8**: Trace and evaluate an argument and specific claims in a text, assessing whether the reasoning is valid and the evidence is relevant and sufficient and recognizing when irrelevant evidence is introduced. (RI&RL) **8R9:** Choose and develop criteria in order to evaluate the quality of texts. Make connections to other texts, ideas, cultural perspectives, eras, and personal experiences. (RI&RL) **8W1:** Write arguments to support claims with clear reasons and relevant evidence. **8W1a:** Introduce a precise claim, acknowledge and distinguish the claim(s) from a counterclaim, and organize the reasons and evidence logically. **8W1b:** Support claim(s) with logical reasoning and relevant evidence, using credible sources while demonstrating an understanding of the topic or text. **8W1d:** Use appropriate and varied transitions to create cohesion and clarify the relationships among ideas and concepts. **8W1c:** Use precise language and content-specific vocabulary to argue a claim. **8W1f:** Maintain a style and tone appropriate to the writing task. **8W1e:** Provide a concluding statement or section that explains the significance of the argument presented. **8W2:** Write informative/explanatory texts to examine a topic and convey ideas, concepts, and information through the selection, organization, and analysis of relevant content. 8W2a: Introduce a topic clearly, previewing what is to follow; organize ideas, concepts, and information, using strategies such as definition, classification, comparison/contrast, and cause/effect. **8W2b:** Develop a topic with relevant facts, definitions, concrete details, quotations, or other information and examples; include formatting, graphics, and multimedia when useful to aid comprehension. **8W2d:** Use appropriate and varied transitions to create cohesion and clarify the relationships among ideas and concepts. **8W2c:** Use precise language and content- specific vocabulary to explain a topic. **8W2f:** Establish and maintain a style appropriate to the writing task. **8W2e**: Provide a concluding statement or section that explains the significance of the information presented. **8W3:** Write narratives to develop real or imagined experiences or events using effective techniques, relevant descriptive details and clear sequencing. **8W3a:** Engage the reader by establishing a point of view and introducing a narrator and/or characters. **8W3b**: Use narrative techniques, such as dialogue, pacing, description, and reflection to develop experiences, events, and/or characters. **8W3c:** Use a variety of transitional words, phrases, and clauses to convey sequence, signal shifts from one time frame or setting to another, and show the relationships among experiences and events. **8W3d:** Use precise words and phrases, relevant descriptive details, and sensory language to capture the action and convey experiences and events. **8W3e:** Provide a conclusion that follows from and reflects on what is experienced, observed, or resolved over the course of the narrative. **8W4:** Create a poem, story, play, art work, or other response to a text, author, theme or personal experience; explain divergences from the original text when appropriate. **8W5**: Draw evidence from literary or informational texts to support analysis, reflection, and research. Apply *grade 8 Reading standards* to both literary and informational text, where applicable. **8W6:** Conduct research to answer questions, including self-generated questions, drawing on multiple sources, refocusing the inquiry when appropriate. Generate additional related questions that allow for multiple avenues of exploration. **8W7:** Gather relevant information from multiple sources; assess the credibility and accuracy of each source; quote or paraphrase the data and conclusions of others; avoid plagiarism and follow a standard format for citation.

8SL1: Engage effectively in a range of collaborative discussions with diverse partners; express ideas clearly and persuasively, and build on those of others. **8LS1a:** Come to discussions prepared, having read or researched material under study; draw on that preparation by referring to evidence on the topic, text, or issue to probe and reflect on ideas under discussion. **8SL1b:** Follow norms for collegial discussions and decision-making, track progress toward specific goals and deadlines, and define individual roles as needed. **8SL1c:** Pose questions that connect the ideas of several speakers and respond to others' questions and comments with relevant evidence, observations, and ideas. **8SL1d:** Acknowledge new information expressed by others, and, when warranted, qualify or justify personal views in light of the evidence presented. **8SL2:** Analyze the purpose of information presented in diverse formats (e.g., including visual, quantitative, and oral) and evaluate the motives (e.g., social, commercial, political) behind its presentation. **8SL3:** Delineate a speaker's argument and specific claims, evaluating for sound reasoning, and the relevance and sufficiency of the evidence; identify when irrelevant evidence is introduced. **8SL4:** Present claims and findings, emphasizing salient points in a focused, coherent manner with relevant evidence, valid reasoning, and well-chosen details; use appropriate eye contact, adequate volume, and clear enunciation. **8SL5:** Integrate digital media and/or visual displays in presentations to clarify information, strengthen claims and evidence, and add elements of interest to engage the audience. **8SL6**: Adapt speech to a variety of contexts and tasks, demonstrating command of formal English when indicated or appropriate. **8L3:** Use knowledge of language and its conventions when writing, speaking, reading, or listening. **8L3a:** Use verbs in the active and passive voice and in the conditional and subjunctive mood to achieve particular effects (e.g., emphasizing the actor or the action; expressing uncertainty or describing a state contrary to fact). **8L4:** Determine or clarify the meaning of unknown and multiple-meaning words and phrases, choosing flexibly from a range of strategies. **8L4a:** Use context (e.g., the overall meaning of a sentence or paragraph; a word's position or function in a sentence) as a clue to the meaning of a word or phrase. **8L4b:** Use common, grade-appropriate Greek or Latin affixes and roots as clues to the meaning of a word (e.g., *precede, recede, secede*). **8L4c**: Consult general and specialized reference materials (e.g., dictionaries, glossaries, thesauruses) to find the pronunciation of a word or determine or clarify its precise meaning or its part of speech. **8L4d:** Verify the preliminary determination of the meaning of a word or phrase (e.g., by checking the inferred meaning in context or in a dictionary). **8L5:** Demonstrate understanding of figurative language, word relationships, and nuances in word meanings. **8L5a:** Interpret figures of speech including irony and puns in context. **8L5b:** Use the relationship between particular words to better understand each of the words. 8L5c: Distinguish among the connotations of words with similar denotations (e.g., *bullheaded, willful, firm, persistent, resolute*). **8L6:** Acquire and accurately use general academic and content-specific words and phrases; apply vocabulary knowledge when considering a word or phrase important to comprehension or expression.

NYSED 8th Grade ELA Crosswalk Original Standard Code (2011) 2011 ELA Standard 2017 Revised ELA Standard

New York State Next Generation English Language Arts Learning Standards

English Language Arts
Grade 12

11-12R1: Cite strong and thorough textual evidence to support analysis of what the text says explicitly/implicitly and make logical inferences, including determining where the text is ambiguous; develop questions for deeper understanding and for further exploration. (RI&RL) **11-12R2:** Determine two or more themes or central ideas in a text and analyze their development, including how they emerge and are shaped and refined by specific details; objectively and accurately summarize a complex text. (RI&RL) **11-12R3:** In literary texts, analyze the impact of author's choices. (RL) In informational texts, analyze a complex set of ideas or sequence of events and explain how specific individuals, ideas, or events interact and develop. (RI) **11-12R4:** Determine the meaning of words and phrases as they are used in a text, including figurative and connotative meanings. Analyze the impact of specific word choices on meaning, tone, and mood, including words with multiple meanings. Analyze how an author uses and refines the meaning of technical or key term(s) over the course of a text. (RI&RL). **11-12R5: I**n literary texts, analyze how varied aspects of structure create meaning and affect the reader. (RL) In informational

texts, analyze the impact and evaluate the effect structure has on exposition or argument in terms of clarity, persuasive/rhetorical technique, and audience appeal. (RI) **11-12R6:** Analyze how authors employ point of view, perspective, and purpose, to shape explicit and implicit messages (e.g., persuasiveness, aesthetic quality, satire, sarcasm, irony, or understatement). (RI&RL) **11-12R7:** In literary texts, analyze multiple adaptations of a source text as presented in different formats (e.g., works of art, graphic novels, music, film, etc.), specifically evaluating how each version interprets the source. (RL) In informational texts, integrate and evaluate sources on the same topic or argument in order to address a question, or solve a problem. (RI) **11-12R8:** Delineate and evaluate an argument in applicable texts, applying a lens (e.g. constitutional principles, logical fallacy, legal reasoning, belief systems, codes of ethics, philosophies, etc.) to assess the validity or fallacy of key arguments, determining whether the supporting evidence is relevant and sufficient. (RI&RL) **11-12R9:** Choose and develop criteria in order to evaluate the quality of texts. Make connections to other texts, ideas, cultural perspectives, eras, and personal experiences. (RI&RL) **11-12W1**: Write arguments to support claims that analyze substantive topics or texts, using valid reasoning and relevant and sufficient evidence. **11-12W1a:** Introduce precise claim(s), establish the significance of the claim(s), distinguish the claim(s) from counterclaim(s), and create an organization that logically sequences claims, counterclaims, reasons, and evidence. **11-12W1b:** Develop claim(s) and counterclaim(s) thoroughly and in a balanced manner, supplying the most relevant evidence for each while pointing out the strengths and limitations of both, anticipating the audience's knowledge level, concerns, values, and possible biases. **11-12W1c:** Use precise language, content-specific vocabulary and literary techniques to express the appropriate complexity of the topic. 11-12W1d: Use appropriate and varied transitions, as well as varied syntax, to make critical connections, create cohesion, and clarify the relationships among complex ideas and concepts. **11-12W1e:** Provide a concluding statement or section that explains the significance of the argument presented. **11-12W1f:** Maintain a style and tone appropriate to the writing task. **11-12W2:** Write informative/explanatory texts to examine and convey complex ideas, concepts, and information clearly and accurately through the effective selection, organization, and analysis of content. **11-12W2a:** Introduce and organize complex ideas, concepts, and information so that each new element builds on that which precedes it to create a unified whole. **11-12W2b:** Develop a topic thoroughly by selecting the most significant and relevant facts, definitions, concrete details, direct quotations and paraphrased information or other examples, appropriate to the audience's knowledge of the topic. Include formatting, graphics, and multimedia when useful to aid comprehension. **11-12W2c:** Use precise language, content-specific vocabulary and literary techniques to express the appropriate complexity of a topic. **11-12W2d:** Use appropriate and varied transitions and syntax to make insightful connections and distinctions, create cohesion, and clarify relationships among complex ideas and concepts. **11-12W2e:** Provide a concluding statement or section that explains the significance of the information presented. **11-12W2f**: Establish and maintain a style appropriate to the writing task. **11-12W3:** Write narratives to develop real or imagined experiences or events using effective techniques, well-chosen details, and well-structured event sequences. **11-12W3a**: Engage the reader by presenting a problem, conflict, situation, or observation and its significance, establishing one or multiple point(s) of view, and introducing a narrator and/or characters. **11-12W3b:** Use narrative techniques, such as dialogue, pacing, description, reflection, and plot lines to develop experiences, events, and/or characters. **11-12W3c:** Use a variety of techniques to sequence events to create cohesion, a smooth progression of experiences or events, and build toward a particular tone and outcome (e.g., a sense of mystery, suspense, growth, or resolution). **11-12W3d:** Use precise words and phrases, explicit details, and sensory language to convey a vivid picture of the experiences, events, setting, and/or characters. **11-12W3e:** Provide a conclusion that follows from and reflects on what is experienced, observed, or resolved over the course of the narrative. **11-12W4:** Create a poem, story, play, artwork, or other response to a text, author, theme or personal experience; demonstrate knowledge and understanding of a variety of techniques and genres.. **11-12W5:** Draw evidence from literary or informational texts to support analysis, reflection, and research. **11-12W6:** Conduct research through self-generated question, or solve a problem; narrow or broaden the inquiry when appropriate. Synthesize multiple sources, demonstrating understanding and analysis of the subject under investigation. **11-12W7:** Gather relevant information from multiple sources, using advanced searches effectively; assess the strengths and limitations of each source in terms of the task, purpose, and audience; integrate information into the text selectively to maintain the flow of ideas; avoid plagiarism, overreliance on one source, and follow a standard format for citation. **11-12W1:** Write arguments to support claims that analyze substantive topics or texts, using valid reasoning and relevant and sufficient evidence. **11-12W1a:** Introduce precise claim(s), establish the significance of the claim(s), distinguish the claim(s) from counterclaim(s), and create an organization that logically sequences claims, counterclaims, reasons, and evidence. **11-12W1b:** Develop claim(s) and counterclaim(s) thoroughly and in a balanced manner, supplying the most relevant evidence for each while

pointing out the strengths and limitations of both, anticipating the audience's knowledge level, concerns, values, and possible biases. **11-12W1c:** Use precise language, content-specific vocabulary and literary techniques to express the appropriate complexity of the topic. **11-12W1d:** Use appropriate and varied transitions, as well as varied syntax, to make critical connections, create cohesion, and clarify the relationships among complex ideas and concepts. **11-12W1e:** Provide a concluding statement or section that explains the significance of the argument presented. **11-12W1f:** Maintain a style and tone appropriate to the writing task. **11-12W2:** Write informative/explanatory texts to examine and convey complex ideas, concepts, and information clearly and accurately through the effective selection, organization, and analysis of content. **11-12W2a:** Introduce and organize complex ideas, concepts, and information so that each new element builds on that which precedes it to create a unified whole. **11-12W2b:** Develop a topic thoroughly by selecting the most significant and relevant facts, definitions, concrete details, direct quotations and paraphrased information or other examples, appropriate to the audience's knowledge of the topic. Include formatting, graphics, and multimedia when useful to aid comprehension. **11-12W2c:** Use precise language, content-specific vocabulary and literary techniques to express the appropriate complexity of a topic. **11-12W2d:** Use appropriate and varied transitions and syntax to make insightful connections and distinctions, create cohesion, and clarify relationships among complex ideas and concepts. **11-12W2e:** Provide a concluding statement or section that explains the significance of the information presented. **11-12W2f:** Establish and maintain a style appropriate to the writing task**. 11-12W3**: Write narratives to develop real or imagined experiences or events using effective techniques, well-chosen details, and well-structured event sequences. **11-12W3a:** Engage the reader by presenting a problem, conflict, situation, or observation and its significance, establishing one or multiple point(s) of view, and introducing a narrator and/or characters. **11-12W3b:** Use narrative techniques, such as dialogue, pacing, description, reflection, and plot lines to develop experiences, events, and/or characters. **11-12W3c:** Use a variety of techniques to sequence events to create cohesion, a smooth progression of experiences or events, and build toward a particular tone and outcome (e.g., a sense of mystery, suspense, growth, or resolution). **11-12W3d:** Use precise words and phrases, explicit details, and sensory language to convey a vivid picture of the experiences, events, setting, and/or characters. **11-12W3e:** Provide a conclusion that follows from and reflects on what is experienced, observed, or resolved over the course of the narrative. **11-12W4:** Create a poem, story, play, artwork, or other response to a text, author, theme or personal experience; demonstrate knowledge and understanding of a variety of techniques and genres. **11-12W5**: Draw evidence from literary or informational texts to support analysis, reflection, and research. **11-12W6:** Conduct research through self-generated question, or solve a problem; narrow or broaden the inquiry when appropriate. Synthesize multiple sources, demonstrating understanding and analysis of the subject under investigation. **11-12W7:** Gather relevant information from multiple sources, using advanced searches effectively; assess the strengths and limitations of each source in terms of the task, purpose, and audience; integrate information into the text selectively to maintain the flow of ideas; avoid plagiarism, overreliance on one source, and follow a standard format for citation.

New York State Next Generation English Language Arts Learning Standards

Mathematics
Grade 8

NY-8.NS.1: Understand informally that every number has a decimal expansion; for rational numbers show that the decimal expansion eventually repeats. Know that other numbers that are not rational are called irrational. **NY-8.NS.2**: Use rational approximations of irrational numbers to compare the size of irrational numbers, locate them approximately on a number line, and estimate the value of expressions. **NY-8.EE.1 1.** Know and apply the properties of integer exponents to generate equivalent numerical expressions. **NY-8.EE.2: 2.** Use square root and cube root symbols to represent solutions to equations of the form x2 = p and x3 = p, where p is a positive rational number. Know square roots of perfect squares up to 225 and cube roots of perfect cubes up to 125. Know that the square root of a non-perfect square is irrational. **NY-8.EE.3: 3.** Use numbers expressed in the form of a single digit times an integer power of 10 to estimate very large or very small quantities, and to express how many times as much one is than the other. **NY-8.EE.4:** Perform multiplication and division with numbers expressed in scientific notation, including problems where both standard decimal form and scientific notation are used. Use scientific notation and choose units of appropriate size for measurements of very large or very small quantities.

Interpret scientific notation that has been generated by technology. **NY-8.EE.4: 5:** Graph proportional relationships, interpreting the unit rate as the slope of the graph. Compare two different proportional relationships represented in different ways. **NY-8.EE.6:** Use similar triangles to explain why the slope m is the same between any two distinct points on a non-vertical line in the coordinate plane; derive the equation y = mx for a line through the origin and the equation y = mx + b for a line intercepting the vertical axis at b. **NY-8.EE.7:** Solve linear equations in one variable. **NY-8.EE.7a:.** Recognize when linear equations in one variable have one solution, infinitely many solutions, or no solutions. Give examples and show which of these possibilities is the case by successively transforming the given equation into simpler forms**. NY-8.EE.7b:** Solve linear equations with rational number coefficients, including equations whose solutions require expanding expressions using the distributive property and combining like terms. **NY-8.EE.8** Analyze and solve pairs of simultaneous linear equations. **NY-8.EE.8a:** Understand that solutions to a system of two linear equations in two variables correspond to points of intersection of their graphs, because points of intersection satisfy both equations simultaneously. Recognize when the system has one solution, no solution, or infinitely many solutions. **NY-8.EE.8b:** Solve systems of two linear equations in two variables with integer coefficients: graphically, numerically using a table, and algebraically. Solve simple cases by inspection. **NY-8.EE.8c:** Solve real-world and mathematical problems involving systems of two linear equations in two variables with integer coefficients. **NY-8.F.1:** Understand that a function is a rule that assigns to each input exactly one output. The graph of a function is the set of ordered pairs consisting of an input and the corresponding output. **NY-8.F.2** Compare properties of two functions each represented in a different way (algebraically, graphically, numerically in tables, or by verbal descriptions). **NY-8.F.3:** Interpret the equation y = mx + b as defining a linear function, whose graph is a straight line. Recognize examples of functions that are linear and non-linear**. NY-8.F.4:** Construct a function to model a linear relationship between two quantities. Determine the rate of change and initial value of the function from a description of a relationship or from two (x, y) values, including reading these from a table or from a graph. Interpret the rate of change and initial value of a linear function in terms of the situation it models, and in terms of its graph or a table of values. **NY-8.F.5:** Describe qualitatively the functional relationship between two quantities by analyzing a graph. Sketch a graph that exhibits the qualitative features of a function that has been described in a real-world context. **NY-8.G.1:** Verify experimentally the properties of rotations, reflections, and translations. **NY-8.G.1a:** Verify experimentally lines are mapped to lines, and line segments to line segments of the same length. **NY-8.G.1b:** Verify experimentally angles are mapped to angles of the same measure. **NY-8.G.1c:** Verify experimentally parallel lines are mapped to parallel lines. **NY-8.G.2:** Know that a two-dimensional figure is congruent to another if the corresponding angles are congruent and the corresponding sides are congruent. Equivalently, two two-dimensional figures are congruent if one is the image of the other after a sequence of rotations, reflections, and translations. Given two congruent figures, describe a sequence that maps the congruence between them on the coordinate plane. **NY-8.G.3:** Describe the effect of dilations, translations, rotations, and reflections on two-dimensional figures using coordinates. **NY-8.G.4:** Know that a two-dimensional figure is similar to another if the corresponding angles are congruent and the corresponding sides are in proportion. Equivalently, two two-dimensional figures are similar if one is the image of the other after a sequence of rotations, reflections, translations, and dilations. Given two similar two-dimensional figures, describe a sequence that maps the similarity between them on the coordinate plane. **NY-8.G.5:** Use informal arguments to establish facts about the angle sum and exterior angle of triangles, about the angles created when parallel lines are cut by a transversal, and the angle-angle criterion for similarity of triangles. **NY-8.G.6:** Understand a proof of the Pythagorean Theorem and its converse. **NY-8.G.7:** Apply the Pythagorean Theorem to determine unknown side lengths in right triangles in real- world and mathematical problems in two and three dimensions. **NY-8.G.8:** Apply the Pythagorean Theorem to find the distance between two points in a coordinate system. **NY-8.G.9:** Given the formula for the volume of cones, cylinders and spheres, solve mathematical and real world problems. **NY-8.SP.1:** Construct and interpret scatter plots for bivariate measurement data to investigate patterns of association between two quantities. Describe patterns such as clustering, outliers, positive or negative association, linear association, and nonlinear association. **NY-8.SP.2:** Understand that straight lines are widely used to model relationships between two quantitative variables. For scatter plots that suggest a linear association, informally fit a straight line, and informally assess the model fit by judging the closeness of the data points to the line. **NY-8.SP.3:** Use the equation of a linear model to solve problems in the context of bivariate measurement data, interpreting the slope and intercept.

New York State Next Generation Mathematics Learning Standards (2017)

Mathematics
High School

AI-N.RN.1: Use properties and operations to understand the different forms of rational and irrational numbers. **AI-N.RN.1a:** Perform all four arithmetic operations and apply properties to generate equivalent forms of rational numbers and square roots. **AI-N.RN.1b:** Categorize the sum or product of rational or irrational numbers.

- The sum and product of two rational numbers is rational.
- The sum of a rational number and an irrational number is irrational.
- The product of a nonzero rational number and an irrational number is irrational.
- The sum and product of two irrational numbers could be either rational or irrational.

AI-N.Q.1: Select quantities and use units as a way to:

- interpret and guide the solution of multi-step problems;
- choose and interpret units consistently in formulas; and
- choose and interpret the scale and the origin in graphs and data displays.

AI-N.Q.2: Choose a level of accuracy appropriate to limitations on measurement and context when reporting quantities. **AI-A.SSE.1** Interpret expressions that represent a quantity in terms of its context. **AI-A.SSE.1a:** Write the standard form of a given polynomial and identify the terms, coefficients, degree, leading coefficient, and constant term. **AI-A.SSE.1b:** Interpret expressions by viewing one or more of their parts as a single entity. **AI-A.SSE.2**: Recognize and use the structure of an expression to identify ways to rewrite it. (Shared standard with Algebra II) **AI-A.SSE.3:** Choose and produce an equivalent form of an expression to reveal and explain properties of the quantity represented by the expression.(Shared standard with Algebra II) **AI-A.SSE.3a:** Use the properties of exponents to rewrite exponential expressions. (Shared standard with Algebra II) **AI-A.APR.1:** Add, subtract, and multiply polynomials and recognize that the result of the operation is also a polynomial. This forms a system analogous to the integers. **AI-A.APR.2:** Add, subtract, and multiply polynomials and recognize that the result of the operation is also a polynomial. This forms a system analogous to the integers. **AI-A.CED.1:** Create equations and inequalities in one variable to represent a real-world context. (Shared standard with Algebra II) **AI-A.CED.2:** Create equations and linear inequalities in two variables to represent a real-world context. **AI-A.CED.3:** Represent constraints by equations or inequalities, and by systems of equations and/or inequalities, and interpret solutions as viable or non-viable options in a modeling context. **AI-A.CED.4:** Rewrite formulas to highlight a quantity of interest, using the same reasoning as in solving equations. **AI-A.REI.1:** Understand solving equations as a process of reasoning and explain the reasoning. **AI-A.REI.1a:** Explain each step when solving a linear or quadratic equation as following from the equality of numbers asserted at the previous step, starting from the assumption that the original equation has a solution. Construct a viable argument to justify a solution method. **AI-A.REI.3:** Solve linear equations and inequalities in one variable, including equations with coefficients represented by letters. **AI-A.REI.4: S**olve quadratic equations in one variable. **AI-A.REI.4a:** Use the method of completing the square to transform any quadratic equation in x into an equation of the form $(x - p)2 = q$ that has the same solutions. Understand that the quadratic formula is a derivative of this process. AI-A.REI.4b: Solve quadratic equations by:

- inspection,
- taking square roots,
- factoring,
- completing the square,
- the quadratic formula, and
- graphing.
- Recognize when the process yields no real solutions. (Shared standard with Algebra II)

AI-A.REI.5: Solve systems of linear equations in two variables both algebraically and graphically. **AI-A.REI.6:** Solve a system, with rational solutions, consisting of a linear equation and a quadratic equation (parabolas only) in two variables algebraically and graphically. (Shared standard with Algebra II) . **AI-A.REI.7:** Understand that the graph of an equation in two variables is the set of all its solutions plotted in the coordinate plane. AI-A.REI.8: Given the equations $y = f(x)$ and $y = g(x)$:

- recognize that each x-coordinate of the intersection(s) is the solution to the equation $f(x) = g(x)$;
- find the solutions approximately using technology to graph the functions or make tables of values; and
- interpret the solution in context.

(Shared standard with Algebra II) **AI-A.REI.8;** Graph the solutions to a linear inequality in two variables as a half-plane (excluding the boundary in the case of a strict inequality), and graph the solution set to a system of

linear inequalities in two variables as the intersection of the corresponding half-planes. **AI-F.IF.1:** Understand that a function from one set (called the domain) to another set (called the range) assigns to each element of the domain exactly one element of the range. If f is a function and x is an element of its domain, then f(x) denotes the output of f corresponding to the input x. The graph of f is the graph of the equation y = f(x). **AI-F.IF.2:** Use function notation, evaluate functions for inputs in their domains, and interpret statements that use function notation in terms of a context. **AI-F.IF.3**: Recognize that a sequence is a function whose domain is a subset of the integers. (Shared standard with Algebra II) **AI-F.IF.4:** For a function that models a relationship between two quantities:

- interpret key features of graphs and tables in terms of the quantities; and
- sketch graphs showing key features given a verbal description of the relationship. (Shared standard with Algebra II)

AI-F.IF.5: Determine the domain of a function from its graph and, where applicable, identify the appropriate domain for a function in context. **AI-F.IF.6:** Calculate and interpret the average rate of change of a function over a specified interval. (Shared standard with Algebra II) A**I-F.IF.7:** Graph functions and show key features of the graph by hand and by using technology where appropriate. (Shared standard with Algebra II) **AI-F.IF.7a:** Graph linear, quadratic, and exponential functions and show key features. **AI-F.IF.7b:** Graph square root, and piecewise-defined functions, including step functions and absolute value functions and show key features. **AI-F.IF.8:** Write a function in different but equivalent forms to reveal and explain different properties of the function. (Shared standard with Algebra II) **AI-F.IF.8a:** For a quadratic function, use an algebraic process to find zeros, maxima, minima, and symmetry of the graph, and interpret these in terms of context. **AI-F.IF.8b:** Compare properties of two functions each represented in a different way (algebraically, graphically, numerically in tables, or by verbal descriptions). (Shared standard with Algebra II) **AI-F.BF.1:** Write a function that describes a relationship between two quantities. (Shared standard with Algebra II) AI-F.BF.1a: Determine a function from context. Define a sequence explicitly or steps for calculation from a context. (Shared standard with Algebra II) AI-F.BF.2: Using f(x) + k, k f(x), and f(x + k):

- identify the effect on the graph when replacing f(x) by f(x) + k, k f(x), and cf(x + k) for specific values of k (both positive and negative);
- find the value of k given the graphs;
- write a new function using the value of k; and
- use technology to experiment with cases and explore the effects on the graph. (Shared standard with Algebra II)

AI-F.LE.1 Distinguish between situations that can be modeled with linear functions and with exponential functions. **AI-F.LE.1a:** Justify that a function is linear because it grows by equal differences over equal intervals, and that a function is exponential because it grows by equal factors over equal intervals. **AI-F.LE.1b:** Recognize situations in which one quantity changes at a constant rate per unit interval relative to another, and therefore can be modeled linearly **AI-F.LE.1c:** Recognize situations in which a quantity grows or decays by a constant percent rate per unit interval relative to another, and therefore can be modeled exponentially. **AI-F.LE.2:** Construct a linear or exponential function symbolically given:

- a graph;
- a description of the relationship;
- two input-output pairs (include reading these from a table). (Shared standard with Algebra II)

AI-F.LE.3: Observe using graphs and tables that a quantity increasing exponentially eventually exceeds a quantity increasing linearly, quadratically, or (more generally) as a polynomial function. **AI-F.LE.4:** Interpret the parameters in a linear or exponential function in terms of a context. (Shared standard with Algebra II) **AI-S.ID.1:** Represent data with plots on the real number line (dot plots, histograms, and box plots). **AI-S.ID.2:** Use statistics appropriate to the shape of the data distribution to compare center (median, mean) and spread (inter-quartile range, sample standard deviation) of two or more different data sets. **AI-S.ID.3:** Interpret differences in shape, center, and spread in the context of the data sets, accounting for possible effects of extreme data points (outliers). **AI-S.ID.4:** Summarize categorical data for two categories in two-way frequency tables. Interpret relative frequencies in the context of the data (including joint, marginal, and conditional relative frequencies). Recognize possible associations and trends in the data. **AI-S.ID.5:** Represent bivariate data on a scatter plot, and describe how the variables' values are related. **AI-S.ID.5a**: Fit a function to real-world data; use functions fitted to data to solve problems in the context of the data. (Shared standard with Algebra II) **AI-S.ID.6:** Interpret the slope (rate of change) and the intercept (constant term) of a linear model in the context of the data. **AI-S.ID.7**: Calculate (using

technology) and interpret the correlation coefficient of a linear fit. **AI-S.ID.8:** Distinguish between correlation and causation.

New York State Next Generation Mathematics Learning Standards (2017)

Science
Middle School

MS-PS1-1. Develop models to describe the atomic composition of simple molecules and extended structures. **MS-PS1-3.** Gather and make sense of information to describe that synthetic materials come from natural resources and impact society. **MS-PS1-4**. Develop a model that predicts and describes changes in particle motion, temperature, and phase (state) of a substance when thermal energy is added or removed. **MS-PS1-7.** Use evidence to illustrate that density is a property that can be used to identify samples of matter**. MS-PS1-8.** Plan and conduct an investigation to demonstrate that mixtures are combinations of substances. **MS-PS1-2.** Analyze and interpret data on the properties of substances before and after the substances interact to determine if a chemical reaction has occurred. **MS-PS1-5.** Develop and use a model to describe how the total number of atoms does not change in a chemical reaction and thus mass is conserved. **MS-PS1-6.** Undertake a design project to construct, test, and modify a device that either releases or absorbs thermal energy during a chemical and/or physical process. **MS-PS2-1**. Apply Newton's Third Law to design a solution to a problem involving the motion of two colliding objects. **MS-PS2-2.** Plan and conduct an investigation to provide evidence that the change in an object's motion depends on the sum of the forces on the object and the mass of the object. me and to change in one variable at a time. **MS-PS2-3.** Ask questions about data to determine the factors that affect the strength of electric and magnetic forces. **MS-PS2-4.** Construct and present arguments using evidence to support the claim that gravitational interactions are attractive and depend on the masses of interacting objects and the distance between them. **MS-PS2-5.** Conduct an investigation and evaluate the experimental design to provide evidence that fields exist between objects exerting forces on each other even though the objects are not in contact. **MS-PS3-1.** Construct and interpret graphical displays of data to describe the relationships of kinetic energy to the mass of an object and to the speed of an object. **MS-PS3-2.** Develop a model to describe that when the arrangement of objects interacting at a distance changes, different amounts of potential energy are stored in the system. **MS-PS3-3.** Apply scientific principles to design, construct, and test a device that either minimizes or maximizes thermal energy transfer. MS-PS3-4. Plan and conduct an investigation to determine the relationships among the energy transferred, the type of matter, the mass, and the change in the temperature of the sample of matter. **MS-PS3-5.** Construct, use, and present an argument to support the claim that when work is done on or by a system, the energy of the system changes as energy is transferred to or from the system. **MS-PS3-6.** Make observations to provide evidence that energy can be transferred by electric currents. **MS-PS4-1.** Develop a model and use mathematical representations to describe waves that includes frequency, wavelength, and how the amplitude of a wave is related to the energy in a wave. **MS-PS4-2.** Develop and use a model to describe that waves are reflected, absorbed, or transmitted through various materials. **MS-PS4-3**. Integrate qualitative scientific and technical information to support the claim that digitized signals are a more reliable way to encode and transmit information than analog signals. **MS-LS1-2.** Develop and use a model to describe the function of a cell as a whole and ways parts of cells contribute to the function. **MS-LS1-3.** Construct an explanation supported by evidence for how the body is composed of interacting systems consisting of cells, tissues, and organs working together to maintain homeostasis. **MS-LS1-8**. Gather and synthesize information that sensory receptors respond to stimuli, resulting in immediate behavior and/or storage as memories. **MS-LS1-6.** Construct a scientific explanation based on evidence for the role of photosynthesis in the cycling of matter and flow of energy into and out of organisms. **MS-LS1-7.** Develop a model to describe how food molecules are rearranged through chemical reactions to release energy during cellular respiration and/or form new molecules that support growth as this matter moves through an organism. **MS-LS2-1.** Analyze and interpret data to provide evidence for the effects of resource availability on organisms and populations of organisms in an ecosystem. **MS-LS2-3.** Develop a model to describe the cycling of matter and flow of energy among living and nonliving parts of an ecosystem. **MS-LS2-4.** Construct an argument supported by empirical evidence that changes to physical or biological components of an ecosystem affect populations. **MS-LS1-6.** Construct a scientific explanation based on evidence for the role of photosynthesis in the cycling of matter and flow of energy into and out of organisms. **MS-LS1-7.** Develop a model to describe how food molecules are

rearranged through chemical reactions to release energy during cellular respiration and/or form new molecules that support growth as this matter moves through an organism. **MS-LS2-1.** Analyze and interpret data to provide evidence for the effects of resource availability on organisms and populations of organisms in an ecosystem. **MS-LS2-3.** Develop a model to describe the cycling of matter and flow of energy among living and nonliving parts of an ecosystem. **MS-LS2-4.** Construct an argument supported by empirical evidence that changes to physical or biological components of an ecosystem affect populations. **MS-LS1-4**. Use argument based on empirical evidence and scientific reasoning to support an explanation for how characteristic animal behaviors and specialized plant structures affect the probability of successful reproduction of animals and plants, respectively. **MS-LS1-5.** Construct a scientific explanation based on evidence for how environmental and genetic factors influence the growth of organisms. **MS-LS3-1.** Develop and use a model to explain why structural changes to genes (mutations) located on chromosomes may affect proteins and may result in harmful, beneficial, or neutral effects to the structure and function of the organism. **MS-LS3-2.** Develop and use a model to describe how asexual reproduction results in offspring with identical genetic information and sexual reproduction results in offspring with genetic variation. **MS-LS4-5.** Gather and synthesize information about the technologies that have changed the way humans influence the inheritance of desired traits in organisms. **MS-LS4-1**. Analyze and interpret data for patterns in the fossil record that document the existence, diversity, extinction, and change of life forms throughout the history of life on Earth under the assumption that natural laws operate today as in the past. **MS-LS4-2.** Apply scientific ideas to construct an explanation for the anatomical similarities and differences among modern organisms and between modern and fossil organisms to infer evolutionary relationships. **MS-LS4-3.** Analyze displays of pictorial data to compare patterns of similarities in the embryological development across multiple species to identify relationships not evident in the fully formed anatomy. **MS-LS4-4.** Construct an explanation based on evidence that describes how genetic variations of traits in a population increase some individuals' probability of surviving and reproducing in a specific environment. **MS-LS4-6.** Use mathematical representations to support explanations of how natural selection may lead to increases and decreases of specific traits in populations over time. **MS-ESS1-1**. Develop and use a model of the Earth-Sun-moon system to describe the cyclic patterns of lunar phases, eclipses of the Sun and moon, and seasons. **MS-ESS1-2.** Develop and use a model to describe the role of gravity in the motions within galaxies and the solar system. **MS-ESS1-3.** Analyze and interpret data to determine scale properties of objects in the solar system. **MS-ESS1-4.** Construct a scientific explanation based on evidence from rock strata for how the geologic time scale is used to organize Earth's 4.6-billion-year-old history. **MS-ESS2-2.** Construct an explanation based on evidence for how geoscience processes have changed Earth's surface at varying temporal and spatial scales. **MS-ESS2-3**. Analyze and interpret data on the distribution of fossils and rocks, continental shapes, and seafloor structures to provide evidence of the past plate motions. **MS-ESS2-5**. Collect data to provide evidence for how the motions and complex interactions of air masses results in changes in weather conditions. **MS-ESS2-6.** Develop and use a model to describe how unequal heating and rotation of Earth cause patterns of atmospheric and oceanic circulation that determine regional climates. **MS-ESS3-5.** Ask questions to clarify evidence of the factors that have caused the rise in global temperatures over the past century. **MS-ESS3-2.** Analyze and interpret data on natural hazards to forecast future catastrophic events and inform the development of technologies to mitigate their effects. **MS-ESS3-3**. Apply scientific principles to design a method for monitoring and minimizing a human impact on the environment. **MS-ESS3-4.** Construct an argument supported by evidence for how increases in human population and per-capita consumption of natural resources impact Earth's systems. **MS-ETS1-1**. Define the criteria and constraints of a design problem with sufficient precision to ensure a successful solution, taking into account relevant scientific principles and potential impacts on people and the natural environment that may limit possible solutions. **MS-ETS1-2.** Evaluate competing design solutions using a systematic process to determine how well they meet the criteria and constraints of the problem. **MS-ETS1-3.** Analyze data from tests to determine similarities and differences among several design solutions to identify the best characteristics of each that can be combined into a new solution to better meet the criteria for success. **MS-ETS1-4.** Develop a model to generate data for iterative testing and modification of a proposed object, tool, or process such that an optimal design can be achieved.

New York State Middle School Science Learning Standards

Science
High School

HS-PS1-1. Use the periodic table as a model to predict the relative properties of elements based on the patterns of electrons in the outermost energy level of atoms. **HS-PS1-3.** Plan and conduct an investigation to gather evidence to compare the structure of substances at the bulk scale to infer the strength of electrical forces between particles. **HS-PS1-8.**Develop models to illustrate the changes in the composition of the nucleus of the atom and the energy released during the processes of fission, fusion, and radioactive decay. **HS-PS2-6**. Communicate scientific and technical information about why the particulate-level structure is important in the functioning of designed materials. **HS-PS1-9**. Analyze data to support the claim that the combined gas law describes the relationships among volume, pressure, and temperature for a sample of an ideal gas. **HS-PS1-10** .Use evidence to support claims regarding the formation, properties and behaviors of solutions at bulk scales. **HS-PS1-2.** Construct and revise an explanation for the outcome of a simple chemical reaction based on the outermost electron states of atoms, trends in the periodic table, and knowledge of the patterns of chemical properties. **HS-PS1-4.** Develop a model to illustrate that the release or absorption of energy from a chemical reaction system depends upon the changes in total bond energy. **HS-PS1-5.** Apply scientific principles and evidence to explain how the rate of a physical or chemical change is affected when conditions are varied. **HS-PS1-6**. Refine the design of a chemical system by specifying a change in conditions that would produce increased amounts of products at equilibrium **HS-PS1-7.** Use mathematical representations to support the claim that atoms, and therefore mass, are conserved during a chemical reaction. **HS-PS1-11**. Plan and conduct an investigation to compare properties and behaviors of acids and bases. **HS-PS1-12.** Use evidence to illustrate that some chemical reactions involve the transfer of electrons as an energy conversion occurs within a system. **HS-PS2-1**. Analyze data to support the claim that Newton's Second Law of Motion describes the mathematical relationship among the net force on a macroscopic object, its mass, and its acceleration. **HS-PS2-2.** Use mathematical representations to support the claim that the total momentum of a system of objects is conserved when there is no net force on the system. **HS-PS2-3.** Apply scientific and engineering ideas to design, evaluate, and refine a device that minimizes the force on a macroscopic object during a collision. **HS-PS2-4.** Use mathematical representations of Newton's Law of Gravitation and Coulomb's Law to describe and predict the gravitational and electrostatic forces between objects. **HS-PS2-5.** Plan and conduct an investigation to provide evidence that an electric current can produce a magnetic field and that a changing magnetic field can produce an electric current. **HS-PS3-1**. Create a computational model to calculate the change in the energy of one component in a system when the change in energy of the other component(s) and energy flows in and out of the system are known. **HS-PS3-2.** Develop and use models to illustrate that energy at the macroscopic scale can be accounted for as a combination of energy associated with the motions of particles (objects) and energy associated with the relative position of particles (objects). **HS-PS3-3.** Design, build, and refine a device that works within given constraints to convert one form of energy into another form of energy. **HS-PS3-4.** Plan and conduct an investigation to provide evidence that the transfer of thermal energy when two components of different temperature are combined within a closed system results in a more uniform energy distribution among the components in the system (second law of thermodynamics). **HS-PS3-5.** Develop and use a model of two objects interacting through electric or magnetic fields to illustrate the forces between objects and the changes in energy of the objects due to the interaction. **HS-PS3-6.** Analyze data to support the claim that Ohm's Law describes the mathematical relationship among the potential difference, current, and resistance of an electric circuit. **HS-PS4-1.** Use mathematical representations to support a claim regarding relationships among the period, frequency, wavelength, and speed of waves traveling and transferring energy (amplitude, frequency) in various media. **HS-PS4-2.** Evaluate questions about the advantages of using a digital transmission and storage of information. **HS-PS4-3.** Evaluate the claims, evidence, and reasoning behind the idea that electromagnetic radiation can be described either by a wave model or a particle model (quantum theory), and that for some situations one model is more useful than the other. **HS-PS4-4.** Evaluate the validity and reliability of claims in published materials of the effects that different frequencies of electromagnetic radiation have when absorbed by matter. **HS-PS4-5.** Communicate technical information about how some technological devices use the principles of wave behavior and wave interactions with matter to transmit and capture information and energy. **HS-PS4-6.** Use mathematical models to determine relationships among the size and location of images, size and location of objects, and focal lengths of lenses and mirrors. **HS-LS1-1.** Construct an explanation based on evidence for how the structure of DNA determines the structure of proteins which carry out the essential functions of life through systems of specialized cells. **HS-LS1-2.** Develop and use a model to illustrate the hierarchical organization of interacting systems that provide specific functions within multicellular organisms. **HS-LS1-3.** Plan and conduct an investigation to provide evidence that feedback mechanisms maintain homeostasis. **HS-LS1-5.** Use a model to illustrate how photosynthesis transforms light energy into stored chemical energy. **HS-LS1-6.** Construct and revise an explanation based on evidence for how carbon, hydrogen, and oxygen from sugar molecules may combine with

other elements such as nitrogen, sulfur, and phosphorus to form amino acids and other carbon-based molecules. **HS-LS1-7**. Use a model to illustrate that aerobic cellular respiration is a chemical process whereby the bonds of food molecules and oxygen molecules are broken and the bonds in new compounds are formed resulting in a net transfer of energy. **HS-LS2-3.** Construct and revise an explanation based on evidence for the cycling of matter and flow of energy in ecosystems. **HS-LS2-4.** Use mathematical representations to support claims for the cycling of matter and flow of energy among organisms in an ecosystem. **HS-LS2-5.** Develop a model to illustrate the role of various processes in the cycling of carbon among the biosphere, atmosphere, hydrosphere, and geosphere. **HS-LS2-2**. Use mathematical representations to support and revise explanations based on evidence about factors affecting biodiversity and populations in ecosystems of different scales. **HS-LS2-6.** Evaluate the claims, evidence, and reasoning that the complex interactions in ecosystems maintain relatively consistent numbers and types of organisms in stable conditions, but changing conditions may result in a new ecosystem. **HS-LS2-7**. Design, evaluate, and refine a solution for reducing the impacts of human activities on the environment and biodiversity. **HS-LS2-8.** Evaluate the evidence for the role of group behavior on individual and species' chances to survive and reproduce. **HS-LS1-4.** Use a model to illustrate cellular division (mitosis) and differentiation. **HS-LS3-1.** Ask questions to clarify relationships about the role of DNA and chromosomes in coding the instructions for characteristic traits passed from parents to offspring. **HS-LS3-2.** Make and defend a claim based on evidence that inheritable genetic variations may result from: (1) new genetic combinations through meiosis, (2) viable errors occurring during replication, (3) mutations caused by environmental factors and/or (4) genetic engineering. **HS-LS3-3**. Apply concepts of statistics and probability to explain the variation and distribution of expressed traits in a population. **HS-LS1-8.** Use models to illustrate how human reproduction and development maintains continuity of life. **HS-LS4-1.** Communicate scientific information that common ancestry and biological evolution are supported by multiple lines of empirical evidence. **HS-LS4-2**. Construct an explanation based on evidence that the process of evolution primarily results from four factors: (1) the potential for a species to increase in number, (2) the heritable genetic variation of individuals in a species due to mutation and sexual reproduction, (3) competition for limited resources, and (4) the proliferation of those organisms that are better able to survive and reproduce in the environment. **HS-LS4-3**. Apply concepts of statistics and probability to support explanations that organisms with an advantageous heritable trait tend to increase in proportion to organisms lacking this trait. **HS-LS4-4**. Construct an explanation based on evidence for how natural selection leads to adaptation of populations. **HS-LS4-5**. Evaluate the evidence supporting claims that changes in environmental conditions may result in: (1) increases in the number of individuals of some species, (2) the emergence of new species over time, and (3) the extinction of other species. **HS-ESS1-1.** Develop a model based on evidence to illustrate the life span of the Sun and the role of nuclear fusion in the Sun's core to release energy that eventually reaches Earth in the form of radiation. **HS-ESS1-2.** Construct an explanation of the Big Bang theory based on astronomical evidence of light spectra, motion of distant galaxies, and composition of matter in the universe. **HS-ESS1-3.** Communicate scientific ideas about the way stars, over their life cycle, produce elements **HS-ESS1-4.** Use mathematical or computational representations to predict the motion of orbiting objects in the solar system. **HS-ESS1-7.** Construct an explanation using evidence to support the claim that the phases of the moon, eclipses, tides and seasons change cyclically. **HS-ESS1-5**. Evaluate evidence of the past and current movements of continental and oceanic crust and the theory of plate tectonics to explain the ages of crustal rocks. **HS-ESS1-6.** Apply scientific reasoning and evidence from ancient Earth materials, meteorites, and other planetary surfaces to construct an account of Earth's formation and early history. **HS-ESS2-1.** Develop a model to illustrate how Earth's internal and surface processes operate at different spatial and temporal scales to form continental and ocean-floor features. **HS. ESS2-2.** Analyze geoscience data to make the claim that one change to Earth's surface can create feedbacks that cause changes to Earth's systems. **HS. ESS2-3.** Develop a model based on evidence of Earth's interior to describe the cycling of matter by thermal convection. **HS-ESS2-5.** Plan and conduct an investigation of the properties of water and its effects on Earth materials and surface processes**. HS-ESS2-6.** Develop a quantitative model to describe the cycling of carbon among the hydrosphere, atmosphere, geosphere, and biosphere. **HS-ESS2-7.** Construct an argument based on evidence about the coevolution of Earth's systems and life on Earth. **HS. ESS2-4.** Use a model to describe how variations in the flow of energy into and out of Earth's systems result in changes in climate. **HS-ESS3-5.** Analyze geoscience data and the results from global climate models to make an evidence-based forecast of the current rate of global or regional climate change and associated future impacts to Earth systems. **HS-ESS2-8.** Evaluate data and communicate information to explain how the movement and interactions of air masses result in changes in weather conditions. **HS-ESS3-1.** Construct an explanation based on evidence for how the availability of natural resources, occurrence of natural hazards, and changes in climate have influenced human activity. **HS-ESS3-2.** Evaluate competing design solutions for developing, managing, and utilizing energy and mineral resources based

on cost-benefit ratios. **HS-ESS3-3.** Create a computational simulation to illustrate the relationships among management of natural resources, the sustainability of human populations, and biodiversity. **HS-ESS3-4.** Evaluate or refine a technological solution that reduces impacts of human activities on natural systems. **HS.ESS3-6**. Use a computational representation to illustrate the relationships among Earth systems and how those relationships are being modified due to human activity. **HS-ETS1-1**.Analyze a major global challenge to specify qualitative and quantitative criteria and constraints for solutions that account for societal needs and wants. **HS-ETS1-2.** Design a solution to a complex real-world problem by breaking it down into smaller, more manageable problems that can be solved through engineering. **HS-ETS1-3**. Evaluate a solution to a complex real-world problem based on prioritized criteria and trade-offs that account for a range of constraints, including cost, safety, reliability, and aesthetics, as well as possible social, cultural, and environmental impacts. **HS-ETS1-4**. Use a computer simulation to model the impact of proposed solutions to a complex real-world problem with numerous criteria and constraints on interactions within and between systems relevant to the problem.
New York State High School Science Learning Standards

Career and Technical Education (CDOS) Intermediate (Grade 8)

Standard 1: Career Development
Students will be knowledgeable about the world of work, explore career options, and relate personal skills, aptitudes, and abilities to future career decisions. Students will learn about the changing nature of the workplace, the value of work to society, and the connection of work to the achievement of personal goals.

Standard 2: Integrated Learning
Students will demonstrate how academic knowledge and skills are applied in the workplace and other settings. Integrated learning encourages students to use essential academic concepts, facts, and procedures in applications related to life skills and the world of work. This approach allows students to see the usefulness of the concepts that they are being asked to learn and to understand their potential application in the world of work.

Standard 3a: Universal Foundation Skills
Students will demonstrate mastery of the foundation skills and competencies essential for success in the workplace. Basic skills include the ability to read, write, listen, and speak as well as perform arithmetical and mathematical functions. Thinking skills lead to problem solving, experimenting, and focused observation and allow the application of knowledge to new and unfamiliar situations. Personal qualities generally include competence in self-management and the ability to plan, organize, and take independent action. Positive interpersonal qualities lead to teamwork and cooperation in large and small groups in family, social, and work situations. Technology is the process and product of human skill and ingenuity in designing and creating things from available resources to satisfy personal and societal needs and wants. Information management focuses on the ability to access and use information obtained from other people, community resources, and computer networks. Using resources includes the application of financial and human factors, and the elements of time and materials to successfully carry out a planned activity. Systems skills include the understanding of and abil- ity to work within natural and constructed systems.

Standard 3b: Career Majors
Students who choose a career major will acquire the career-specific technical knowledge/ skills necessary to progress toward gainful employment, career advancement, and success in postsecondary programs. Each career major of study has individual standards to be addressed.

Career and Technical Education (CDOS) Commencement (Grade 12)

Standard 1: Career Development
Students will be knowledgeable about the world of work, explore career options, and relate personal skills, aptitudes, and abilities to future career decisions. Students will learn about the changing nature of the workplace, the value of work to society, and the connection of work to the achievement of personal goals.

Standard 2: Integrated Learning
Students will demonstrate how academic knowledge and skills are applied in the workplace and other settings. Integrated learning encourages students to use essential academic concepts, facts, and procedures in applications related to life skills and the world of work. This approach allows students to see the usefulness of the concepts that they are being asked to learn and to understand their potential application in the world of work. Students: demonstrate the integration and application of academic and occupational skills in their school learning, work, and personal lives.

Standard 3a: Universal Foundation Skills
Students will demonstrate mastery of the foundation skills and competencies essential for success in the workplace. Basic skills include the ability to read, write, listen, and speak as well as perform arithmetical and mathematical functions. Students will use a combination of techniques to read or listen to complex information and analyze what they hear or read; convey information confidently and coherently in written or oral form; and analyze and solve mathematical problems requiring use of multiple computational skills. Thinking skills lead to problem solving, experimenting, and focused observation and allow the application of knowledge to new and unfamiliar situations. Students demonstrate the ability to organize and process information and apply skills in new ways. Personal qualities generally include competence in self-management and the ability to plan, organize, and take independent action. Students demonstrate leadership skills in setting goals, monitoring progress, and improving their performance. Positive interpersonal qualities lead to teamwork and cooperation in large and small groups in family, social, and work situations. Students communicate effectively and help others to learn a new skill. Technology is the process and product of human skill and ingenuity in designing and creating things from available resources to satisfy personal and societal needs and wants. Students apply their knowledge of technology to identify and solve problems. Information management focuses on the ability to access and use information obtained from other people, community resources, and computer networks. Students use technology to acquire, organize, and communicate information by entering, modifying, retrieving, and storing data. Using resources includes the application of financial and human factors, and the elements of time and materials to successfully carry out a planned activity. Students allocate resources to complete a task. Systems skills include the understanding of and ability to work within natural and constructed systems. Students demonstrate an understanding of how systems performance relates to the goals, resources, and functions of an organization.

Standard 3b: Career Majors
Students who choose a career major will acquire the career-specific technical knowledge/ skills necessary to progress toward gainful employment, career advancement, and success in postsecondary programs. Each career major of study has individual standards to be addressed.

Learning Standards for Career Development and Occupational Studies at Three Levels

Attachment 4: Student Discipline Policy

We expect every member of the RCTECS community, whether staff member, student, or parent/guardian, to treat every other person in the School with dignity and respect. Every student has the right to learn in a safe, orderly, and supportive environment. The actions of one student must never be permitted to undermine the School community or the development of his or her peers. We are committed to building a positive School culture that supports high-level academic achievement and we will explicitly teach students the social and emotional skills that they need to be successful at RCTECS and beyond. RCTECS utilizes the Responsive Classroom Approach to discipline which emphasizes helping students develop their academic, social, and emotional skills in a learning environment that is developmentally responsive to their strengths and needs. Our goal is to teach, not to punish. To that end, we will employ Logical Consequences - a non-punitive response to misbehavior that allows teachers and staff to set clear limits and students to fix and learn from their mistakes while maintaining their dignity. This means that we assign consequences that are related, relevant and realistic to the child and circumstance. RCTECS's Code of Conduct offers students and their parents or guardians a guide to the consequences of unacceptable behaviors. RCTECS School leaders, faculty, and staff enforce the Code with fidelity in the interest of the entire School community.

Code of Conduct

The Code of Conduct establishes reasonable boundaries for students and provides clear, fair, and predictable consequences for breaking the rules. We expect students to avoid violations, and in cases when they make mistakes, we expect them to accept responsibility and learn from the experience.

Student disciplinary offenses are those actions or inactions that violate the School's Code of Conduct or interfere with the delivery of educational services; jeopardize the health, safety, and well-being of any member of the School community; or threaten the integrity and stability of the School itself.

- A disciplinary offense may occur while the student is: at School and/or on School grounds; participating in a School-sponsored activity; traveling to or from School or a School-sponsored event; walking to or from, waiting for, or riding on School-provided transportation or a yellow School bus; or walking to or from, waiting for, or riding on public transportation to and from School or a School-sponsored activity conducted off School grounds. School-related disciplinary offenses may also include misconduct outside the School, such as activity on social media or other cyber activities that reasonably could affect the School or impact the learning environment.

School leaders and faculty will use their professional judgment in determining which disciplinary action(s) will be most effective in dealing with the student's misconduct, taking into account the following factors and other relevant issues:

- The student's age and maturity level
- The nature and seriousness of the infraction, the impact and the circumstances that led to the infraction
- The student's previous disciplinary record
- The effectiveness of other forms of discipline
- Information from parents or guardians, teachers and/or others, as appropriate
- The student's response

When a student does not meet behavioral expectations and a violation of the School's Code of Conduct has occurred, clear and consistent disciplinary action will ensue, and other consequences as further described below. Progressively more serious disciplinary consequences shall be imposed upon any student who repeatedly commits one or more disciplinary offenses. The School reserves the right to contact law enforcement when appropriate.

Category I Behavior Violations: The following behaviors may result in consequences as determined by the child's teacher, School leader or other staff member and may include, but is not limited to: taking a break, loss of a privilege, fixing the error, a phone call home, additional practice during lunch or recess, afterschool support. In minor cases, teachers will provide students with a reminder or redirection. After the reminder or redirection has been given, a student may incur a larger consequence as referenced above. Please note that this list is not exhaustive and may include other infractions as well as consequences. Repeated Category I violations, based on severity and/or frequency, may result in a Referral or be treated as Category II violations.

Failure to Meet Expectations: Each student must comply with the School's established rules and expectations. Students must also follow the directions of every staff member.

Behaving in a manner which disrupts the education process: Classroom and School rules are established to protect the integrity of the learning environment, and students must follow them at all times. Students who cause a disruption by talking out of turn, making noises, throwing objects, inappropriate displays of affection, or otherwise distracting classmates or the teacher are disrupting the education process. This includes being disruptive or uncooperative during any instances of remote learning.

Scholastic dishonesty: Students must not engage in academic cheating. Cheating includes, but is not limited to, the giving or receiving of any unauthorized aid on any form of academic work. Students must not engage in plagiarism, which includes the copying of language, structures, ideas and/or thoughts of another person, including fellow classmates and representing it as one's own original work.

Electronic media and communication devices: Students may not use personal electronic media and/or communications devices at School. These devices will be collected and/or stored at the beginning of the day and returned at the end. Should a student use such a device at School, in addition to other consequences deemed appropriate by School staff, the item may be confiscated and held until an adult picks it up.

Engaging in or causing disruptive behavior on the School bus: Students must obey the bus rules, and not engage in disruptive behavior or language. Students may lose the privilege of bus service for a short or extended time period. Serious behavior violations may be categorized as a category II or III violations and treated as such.

Failing to be in one's assigned place: Students should only be in the rooms and other areas of the School to which they have been specifically given permission.

Teasing: Students must not make fun of, provoke, or disturb others playfully or maliciously.

Play fighting and threatening: Students may not play fight and/or threaten others as such behavior compromises the safety of the community.

Category II Behavior Violations: The following behaviors may result in in-school suspension, short term suspension (10 days or less), loss of privileges, increased supervision and/or other disciplinary consequences depending on the circumstances. Repeated Category II violations may

be treated as Category III violations. Students who repeatedly engage in Category II behaviors or have serious offenses in Category II behaviors may also be subject to long-term suspension or expulsion.

Defiance: Students must follow the directions of every adult in the School, including administrators, teachers, educational assistants, secretaries, custodians, lunchroom workers, and security guards. We acknowledge that students may have legitimate questions and explanations that they wish to express at any given moment. We do not wish to suppress their voice and agency; however, it is unacceptable for students to refuse to comply, walk away from adults and/or demonstrate disrespect and/or defiance, verbally or nonverbally.

Profanity or obscenity: Students must not say or write inappropriate words or make obscene gestures. Students must not draw or show sexually explicit pictures to anyone at School. Cursing or swearing is also strictly prohibited.

Smoking: Smoking and possession of any kind of tobacco or nicotine products at School, on School grounds, or at any School-related activity are prohibited (including e-cigarettes, vape etc.)

Alcohol, drugs, and drug paraphernalia: Students must not bring alcohol, drugs, or any drug paraphernalia to School. They must not manufacture, sell, handle, possess, use, deliver, or be under any degree of influence of any alcoholic beverage, intoxicant, or drug (legal intoxication is not a requirement). Students must not inhale any substance for the purpose of becoming intoxicated or under the influence. Prescribed medication must be delivered to the School by the parent or guardian with the written authorization of a physician. All prescribed medication must be administered at School by the School nurse. As described below, the possession of narcotics with the intent to sell or distribute is a Category III violation and may lead to immediate suspension, a recommendation for expulsion, and a police referral.

Pornographic material: The possession or creation of pornographic material is not tolerated.

Stealing: Students must not take without permission anything that does not belong to them or have in their possession anything that has been stolen.

Aggressive disorderly conduct**:** Students must not, by any type of conduct (including but not limited to violence, force, noise, coercion, threat, intimidation, fear, or passive resistance), cause the disruption, disturbance, or obstruction of any School function, activity, or event. Students may not urge other students to engage in such conduct for the purpose of causing such disruption or obstruction.

Gang activity: Gang activity is defined as an assembly of individuals who gather on a continuing basis, whose purpose the School reasonably believes is to violate School policy. Students must not wear or display any clothing, jewelry, colors, or insignia that a teacher or administrator may reasonably perceive as evidence of membership in or affiliation with a gang or that otherwise symbolizes support of a gang. Students must not use any word, phrase, written symbol, or gesture that intentionally identifies them as members of a gang or otherwise symbolizes support of a gang, nor try to recruit others to gangs.

Defacement or destruction of property**:** Students must not mark, damage, break, or destroy School property or anything that belongs to someone else. Students who destroy or vandalize School property are required to fix what is broken and/or pay for losses or damages, in addition to other consequences deemed appropriate by School staff.

Sexual misconduct or inappropriate touching: Students must not engage in sexual activity of any kind or touch themselves or others in an unacceptable way. “Unacceptable” is defined using the

“reasonable person” standard, i.e., if a reasonable person in our community would find a given action to be rude or offensive, then it is unacceptable.
Lookalike weapons: The possession, handling, or transmission of any object or instrument that is a "look-alike" weapon or instrument (e.g., rubber knife, or toy gun) is strictly prohibited.
Abusive or profane language or treatment: Students may not use abusive, threatening, vulgar, coarse, or degrading language (including racial epithets or sexist or homophobic remarks).
Engaging in inappropriate use of social media and technology: Students may not engage in online conduct or communication that may harass or intimidate any members of the School community, or reasonably lead to a disruption of the educational environment. RCTECS does not tolerate attempts to access the School’s files or other inappropriate uses of technology or the Internet. Students do not have the right to use School computers to access chat rooms or email or to access web sites or files that contain profanity, sexually explicit language or pictures, excessively violent themes, and/or other material inappropriate for minors. This offense may result in suspension and/or expulsion or other disciplinary consequences, depending on the circumstances.
Refusing to follow health and safety protocols: During any periods of elevate health risks resulting in the enactment of rules designed to keep the School community safe, students must follow all protocols (e.g., masking, social distancing hand-washing).

Category III Behavior Violations: Any student who engages in any of the behaviors in this category may lead to long term suspension or expulsion from the School.
Committing assault or assault and battery: Students may not commit assault, including sexual assault, or assault and battery on a student, School employee, or another person. Assault is an attempt or threat to physically harm another person; assault does not require physical contact. Battery is any unlawful touching of another person.
Intimidation or bullying (including cyber-bullying): Bullying is defined as a series of acts or a single negative act (depending on severity) that involves a real or perceived imbalance of power, i.e., where a more powerful (whether real or perceived) individual student harasses another student less powerful or perceived to be less powerful. Bullying can take many forms, including but not limited to: (1) physical, e.g., hitting, kicking, spitting, pushing, and taking personal belongings; (2) verbal, e.g., taunting, malicious teasing, name-calling, making threats; and (3) psychological, e.g., spreading rumors; manipulating social relationships; or engaging in social exclusion, extortion, or intimidation. Cyber-bullying involves the use of information technology, including e-mail, instant messaging, blogs, chat rooms, pagers, cell phones, and gaming systems in the deliberate harassment, threatening, or intimidation of students. Examples include sending mean, vulgar, or threatening messages or images; posting sensitive, private information about another person (including “sexting"); and impersonation.
Extortion: Students must not coerce a person – through intimidation, threat, or force – into doing anything that person does not wish to do. Students must not engage in the act of securing or attempting to secure money or other items of value from an unwilling person.
Harassment: Harassment of any type, including hazing and discriminatory harassment, is prohibited. Students must not make unwelcome sexual advances or requests for sexual favors; or engage in other verbal or physical conduct relating to a person's sex, race, color, national origin, sexual orientation, religion, height, weight, marital status, or disability (e.g., sexual or racial comments, threats or insults, or unwanted touching). Students may not engage in the harassment of students off School property under circumstances where such off-campus conduct: 1) affects

the education process; 2) actually endangers the health and safety of our students; or 3) is reasonably believed to pose a danger to the health and safety of our students. This includes written and/or verbal harassment, including cyberbullying, which materially and substantially disrupts the work and discipline of the School and/or which School officials reasonably forecast as being likely to materially and substantially disrupt the academic work and culture of the School.

Weapons: Students must not possess, handle, transmit, or use as a weapon any instrument that can be used to harm another person. Weapons include, but are not limited to:

- Firearms: Any weapon (including a starter gun) that is designed to, or may readily be converted to, expel a projectile by the action of an explosive
- Explosives: Any substance or prepared chemical that can explode or is capable of inflicting bodily injury or is reasonably likely to cause physical discomfort to another person, including fireworks and firecrackers
- Knives: Any knife or blade of any size
- Chemicals such as mace, pepper gas, or like substances
- Stun gun; brass knuckles; or blackjack
- Dangerous items: Prohibited items not designed as weapons that can be used or perceived as such, including but not limited to razors, box cutters, hammers, and metal combs of any length with a sharpened handle

Possession of controlled substance with intent to distribute or sell: The possession of narcotics with the intent to distribute or sell may be cause for immediate suspension, a recommendation for expulsion to the School's board of trustees, and referral to law enforcement officials.

False fire alarms or bomb reports: Students must not break or pull the fire alarm at any time unless there is an emergency, nor make bomb threats.

Starting a fire: Starting a fire or conspiring to start a fire on School property is strictly prohibited.

Gun-free Schools Act

Federal and state laws require the expulsion from School for a period of not less than one year of a student who is determined to have brought a firearm to the School, or to have possessed a firearm at School, except that the School director may modify such expulsion requirement for a student on a case-by-case basis, if such modification is in writing, in accordance with the Federal Gun-Free Schools Act of 1994 (as amended). Any such expulsion must be consistent with the requirements of the Individuals with Disabilities Education Act and its implementing regulations, for a student with or presumed to have disabilities. "Firearm," as used in this law, is defined by 18 USC §921(a), and includes firearms and explosives. The definition of "firearm" includes but is not limited to:

- Any weapon (including a starter gun) which will or is designed to or may readily be converted to expel a projectile by the action of an explosive
- The frame or receiver of any weapon described above
- Any firearm muffler or firearm silencer
- Any destructive device, which is defined as any explosive, incendiary, or poison gas, such as a bomb, grenade, rocket having a propellant charge of more than four ounces, a missile having an explosive or incendiary charge of more than one-quarter ounce, a mine, or other similar devices

The principal shall refer to the criminal justice or juvenile delinquency system any student who brings a firearm or weapon to the School. "Weapon" as used in this context shall mean any device, instrument, material, or substance that is used for or is readily capable of causing death

or serious bodily injury, except that such term does not include a pocket knife with a blade of less than two and a half inches in length.

Classroom consequences: When students lapse and exhibit misbehavior, teachers respond with interventions to redirect them. Continued misbehavior results in more severe consequences, including referral to the assistant principal or principal.
When students break the rules, one of the ways teachers respond is with logical consequences. Logical consequences are non punitive. They help students recognize the effects of their actions and fix any problems their actions may have caused. Logical consequences are respectful of the student, relevant to the mistake, and reasonable for the teacher to implement and the student to carry out.
There are three types of logical consequences: loss of privilege, break it/fix it and Space and Time. All logical consequences will usually fall into one of these categories--which type is used will depend not only on the situation but on what is known about the student developmentally, academically and socially.

- Loss of Privilege – A privilege is an opportunity for students to learn to be responsible when acting autonomously, such as choosing a partner or using classroom equipment. When a student struggles to manage that responsibility the privilege is removed for a brief period of time, generally a class period or a day.
- Break It, Fix It- This type of consequence gives students the opportunity to fix or clean up something they've broken or spilled, whether on purpose or by accident. It reinforces the fact that we all make mistakes and when we do, it's our responsibility to clean up after ourselves.
- Space and Time – This logical consequence lets a student who is losing focus or having trouble controlling their words or actions go to a designated space in the classroom to calm down and refocus.

Removal from the classroom/referral to assistant principal or principal: Egregious behaviors, including continual disruption, extreme disrespect to the teacher or others, or any physical altercation, may result in removal from the class and referral to the assistant principal or principal, followed by a phone call home and/or suspension.
<u>Short-Term Suspensions</u>
Short-term suspensions may be imposed by the Principal, Assistant Principal or the Board. The School shall follow due process procedures consistent with *Goss v. Lopez*, 419 U.S. 565 (1975) relating to short term suspensions. If a student commits an offense that calls for short-term suspension (10 days or less), s/he is subject to the following:

- If necessary for safety reasons, the student is immediately removed from class and/or School.
- The student is informed of the report that was made against him or her.
- The student is entitled, but not required, to respond to the charges against him or her. Refusal to respond will not mitigate or exacerbate the consequence.
- Investigation will proceed and determination of consequence will be made based on evidence gathered.
- The parent/guardian is notified of the imposition of short-term suspension by RCTECS in writing. Written notice shall be provided through the student, personal delivery via a RCTECS administrator, email, or express mail delivery to the last known address(es) of the

parents or guardians. Notification shall also be provided by telephone. Such notice shall provide a description of the incident(s) for which suspension is proposed and shall inform the parents or guardian of their right to request an immediate informal conference with the Principal. Such notice and informal conference shall be in the dominant language of the mode of communication used by the parents or guardian if known by RCTECS to be other than English.

- The School will schedule a meeting with a parent or guardian in order to discuss the infractions, consequences and the plan for student reintegration and restoration into the community.

Long-Term Suspension and Expulsion

If a student commits an offense that calls for long-term suspension (more than 10 days) or expulsion, the following steps are taken:

- If necessary for safety, the student is immediately removed from class and/or School.
- The student is informed of the charges against him or her.

The student is entitled, but not required, to respond to the charges against him or her. Refusal to respond will not mitigate or exacerbate the consequence.

- Upon determining that a student's action warrants a possible long-term suspension, the Principal shall verbally inform the student that he or she is being suspended and is being considered for a long-term suspension (or expulsion) and state the reasons for such actions.
- The parent/guardian is notified in writing by RCTECS. Written notice shall be provided by personal delivery or express mail delivery to the student's last known address. Where possible, notification also shall be provided by telephone if the School has been provided with a contact telephone number for the parent(s) or guardian(s). Such notice shall provide a description of the incident or incidents that resulted in the suspension and shall indicate that a formal hearing will be held on the matter that may result in a long-term suspension (or expulsion). The notification provided shall be in the dominant language used by the parent(s) or guardian's) if it is known to be other than English. The notice will state that at the formal hearing, the student shall have the right to be represented by counsel, present and question witnesses, and present evidence.
- The School sets a hearing date
- The student and/or his/her parent/guardian are notified in writing of the: charges and a description of the circumstances that gave rise to the hearing date, time and place of a hearing notice of the right at the hearing to: be represented by legal counsel (at the student's/parent's own expense) present evidence and question witnesses
- The School will also attempt to reach the family by phone call to discuss the hearing. In advance of the hearing, Statements and a witness list will be provided to the Student's family/counsel.
- In advance of the hearing, any documents on which the School intends to rely and a witness list will be provided to the Student's family/counsel. The School reserves the right to add additional documents and/or to make changes to its witness list. If necessary, records will be redacted in accordance with FERPA.
- The Principal or the designee of the Principal shall serve as Hearing Officer and preside over the hearing. The Hearing Officer shall, within four School days of the hearing, issue a written decision to the student, the parent/guardian, and the School's Board. The decision of the Hearing Officer may be appealed to the School's Board or a committee of the Board. That determination shall be final.

- The hearing shall not exceed two hours in length, unless the Hearing Officer elects to extend that limit. An audio transcript shall be made of the proceedings and a copy of that recording shall be made available to the student upon request.
- Should the student seek to appeal the ruling, he or she may do so by submitting a request for an appeal.
- A request for an appeal must be received by the School's Board Chair within two weeks of the Hearing Officer's written decision. Upon receipt of such a request, a committee composed of no less than three trustees who were not involved in the initial hearing will hear the appeal within 30 business days. Each party will have twenty minutes in which to make a statement. The scope of the appeal will be limited to positions and the record established during the first disciplinary hearing. In rendering its decision, the committee may consult the transcript of the disciplinary hearing and any evidence submitted in connection with it. The committee will provide a written ruling within five School days. For matters alleging a violation of law or of the School's charter agreement, submissions of complaints may be made to the School's authorizer, the State Department of Education.

Provision of Instruction During Removal: RCTECS will ensure that alternative educational services are provided to a child who has been suspended or expelled, to the extent of the law. Alternative instruction for suspended students will be of sufficient duration to enable a student to cover all class material, take all tests and quizzes, keep pace with other students, and progress to the next grade level. All suspended students are entitled to receive alternative instruction commencing within 24 hours of the suspension or expulsion. Alternative instruction dates and times will be listed on the student's suspension letter. All students will be provided with a minimum of two hours per day of alternative instruction.

For a student who has been expelled, alternative instruction will be provided in like manner as a suspended student until the student enrolls in another School or until the end of the School year, whichever comes first.

Instruction will take place in one of the following locations: the student's home, a contracted facility or a suspension room. One or more of the following individuals will provide instruction: teacher, teacher aide, or a tutor hired for this purpose. Please note that whoever administers this instruction will meet all certification requirements as stipulated in Section 2854(3)(a-1) of the New York State Education Law.

Discipline for Students with Disabilities: In addition to the discipline procedures applicable to all students, the following procedures are applicable to students with disabilities. A student not specifically identified as having a disability but whose School district of residence or charter School, prior to the behavior which is the subject of the disciplinary action, has a basis of knowledge—in accordance with 34 CFR §300.534—that a disability exists shall also be disciplined in accordance with these provisions. The School shall comply with sections 300.530-300.536 of the Code of Federal Regulations and the following procedures, except that in the event that the following procedures are inconsistent with federal law and regulations, such federal law and regulations shall govern.

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

Students whose IEP includes a Behavior Intervention Plan (BIP) will be disciplined in accordance with the BIP. If the BIP appears not to be effective or if there is a concern for the health and safety of the student or others if the BIP is followed with respect to the infraction, the matter will immediately be referred to the appropriate Committee on Special Education (CSE) for any consideration of changes.

If a student identified as having a disability is suspended during the course of the School year for a total of ten (10) days, such student will immediately be referred to the CSE of the student's district of residence for a manifestation determination and reconsideration of the student's educational placement. Such student shall not be suspended for a total of more than 10 days during the School year without the specific involvement of the CSE of the student's district of residence prior to the eleventh day of suspension, because such suspensions may be considered to be a change in placement.

In considering the placement of students referred because of disciplinary problems, the CSE of the student's district of residence is expected to follow its ordinary policies with respect to notification and involvement of the parent(s) or guardian(s).

RCTECS will ensure that the special education coordinator or special education teachers and/or the general classroom teacher will attend all meetings regarding their students initiated by the CSE from the student's district of residence. These meetings could be relating to the development and implementation of behavioral intervention plans, initial referrals, change in service, or annual review, Manifestation Determination Reviews (MDRs), among other things.

Provision of Services to Students with Disabilities During Removal

The School will place students in an interim alternative educational setting as appropriate and mandated by 34 C.F.R. § 300. 531.

Students removed for a period of fewer than ten (10) cumulative days during the School year will receive all classroom assignments and a schedule to complete such assignments during the time of their suspension. Provisions will be made to permit a suspended student to make-up assignments or tests missed as a result of his or her suspension. The School also shall provide additional alternative instruction to assist the student, so that the student is given full opportunity to complete assignments and master curriculum, including additional instructions, phone assistance, computer instruction, and/or home visits and one-on-one tutoring.

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

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

During any removal for drug, weapon, controlled substance and/or serious bodily injury offenses pursuant to 34 CFR §300.530(g), services will be provided to the extent necessary to enable the child to progress appropriately in the general curriculum and in achieving the goals of his or her IEP. These service determinations will be made by the CSE of the student's district of residence.

Additional Due Process for Students with Disabilities (Manifestation Determination Review - MDR): If discipline that would constitute a change in placement is contemplated for any student with a disability, the following steps shall be taken: (1) not later than the date on which the decision to take such action is made, the parent(s) or guardian(s) of the student with a disability shall be notified by the School of that decision and provided the procedural safeguards notice described in 34 CFR §300.504; and (2) immediately, if possible, but in no case later than ten (1) School days after the date on which such decision is made, the CSE of the student's district of residence and other qualified personnel shall meet and review the relationship between the student's disability and the behavior subject to the disciplinary action.
If, upon review, it is determined that the student's behavior was not a manifestation of his or her disability, then the student may be disciplined in the same manner as a student without a disability, except as provided in 34 CFR §300.530(d), which relates to the provision of services to students with disabilities during periods of removal.
A student's parent(s) or guardian(s) may request a hearing to challenge the manifestation determination. Except as provided below, the student will remain in his or her current educational placement pending the determination of the hearing officer.
If a parent or guardian requests a hearing or an appeal to challenge the interim alternative educational setting or the manifestation determination resulting from a disciplinary action relating to weapons, drugs, or serious bodily injury, the student shall remain in the interim alternative educational setting pending the decision of the hearing officer or until the expiration of the time period provided for in the disciplinary action, whichever occurs first, unless the parent or guardian and School agree otherwise.

Students with a 504 Plan and "Deemed to Know" Students: With regard to disciplinary actions, including suspension or expulsion, the Section 504 rights of charter School students with disabilities are the same as other students with disabilities.
When addressing discipline for students with disabilities, including students with 504 plans or those who are "presumed to have a disability," RCTECS will comply with applicable legal requirements governing the discipline of a student for misconduct.

Compliance With the Child Find Requirements of IDEA: RCTECS will comply with the federal Child Find requirements (34 CFR §300.111), which require Schools to have in place a process for identifying, locating and evaluating students with disabilities. Students enrolling for the first time in a New York public School will be screened by a team of teachers (including both regular and special education teachers) to identify any possible indication that the child may need a specialized or Individualized Education Program or referral to the CSE of the student's district of residence. Other students will be brought to the attention of the team if they are demonstrating any problems within the regular classroom environment. Strategies will then be implemented to address any identified special needs of the student. Should the problems persist and a disability is suspected, the student will be referred to the CSE of the student's district of residence for an evaluation.

Corporal Punishment: No employee or agent of the School shall inflict corporal punishment upon a student as a penalty for unacceptable conduct. The term "corporal punishment" means any act of physical force upon a student for the purpose of punishing that student. The term does not mean the use of reasonable physical force by a teacher to protect himself or herself from

physical injury; to protect another person from physical injury; to protect property, or to restrain or remove a student whose behavior is interfering with the orderly exercise and performance of School functions, powers or duties, if that pupil has refused to comply with a request to refrain from further disruptive acts, and provided that alternative procedures and methods not involving the use of physical force cannot reasonably be employed to achieve these purposes.

Search procedures: For the safety of students and everyone in the RCTECS community, School property that is assigned to students, including lockers, coat racks, cubbies, and desks, remain the property of the School. Students, therefore, have no reasonable expectation of privacy in these areas. School safety will make an individual search of a student's bag, desk, cubbies, lockers, and person only when there is reasonable suspicion to believe that a student is in the possession of an item which is prohibited on School property or which may be used to disrupt or interfere with the educational process. Searches will be conducted under the authorization of the principal or his/her designee. Items that are prohibited on School property, or which may be used to disrupt or interfere with the educational process, may be removed from students' desks, bag, backpack, cubbies, lockers and person by School authorities. Students may be subject to unannounced metal detection scanning searches from time to time in accordance with RCTECS's search and seizure policy, which may be obtained by contacting the main office. This would include a metal detector scan or a scan by means of a hand-held detector. The School reserves the right to amend the contents and reissue this Code. Final authority on all matters rests with the administration and Board of Trustees when applicable. It is the responsibility of the student, parents/guardian, and staff to review this Code periodically. Should you have any questions regarding the Code, it is your responsibility to bring this to the attention of the School administration.

Compliance & Legal Notes

Compliance with Data Reporting Requirements of the IDEA

In compliance with 34 CFR §300.645, the School will submit an annual report detailing the number of students with disabilities it serves, the nature of each student's disability, and each student's educational placement and setting. For reports that are the responsibility of the district of residence, the School will make any necessary data available to the district in a timely fashion, which details requirements for the "Charter School Report Card" and includes information relating to students with disabilities. In compliance with 34 CFR §300.645, the School will submit annually the following reports by the dates noted: (1) PD-1C/4C: Dec. 13 - Count of Students with Disabilities Provided Special Education on December 2 and the Settings in which Students with Disabilities are provided services; (2) PD-5C: mid-July - Students Exiting Special Education ; (3) PD-6: Feb. 1 - Special Education Personnel; (4) PD-8: mid-July - Students with Disabilities Suspended for Disciplinary Reasons; and (5) SEDCAR-1: Mar. 1 - ASEP Request for IDEA sub allocation.

The special education staff in conjunction with the Principal will be responsible for ensuring the collection, maintenance, and reporting of all data regarding students with disabilities. The reports listed shall be provided to the School district of residence and state, as required.

Compliance with the Child Find Requirements of IDEA

RCTECS Schools will comply with the federal Child Find requirements (34 CFR §300.111), which require Schools to have in place a process for identifying, locating and evaluating students

with disabilities. Students enrolling for the first time in a RCTECS Schools will be screened by a team of teachers (including both regular and special education teachers) to identify any possible indication that the child may need a specialized or Individualized Education Program. Other students will be brought to the attention of the team if they are demonstrating any problems within the regular classroom environment. Strategies will then be implemented to address any identified special needs of the student. More information may be found at this link: http://www.specialeducationguide.com/early-intervention/early-identification-how-the-child-find-program-works/

Rehabilitation Act of 1973 – Section 504

Section 504 of the Rehabilitation Act of 1973, 29 USC 794, (sometimes referred to as "Section 504") prohibits discrimination against individuals with disabilities solely on the basis of their disability. If you have Section 504 questions please contact the School's Learning Support Coordinator who has been designated as the Section 504 Coordinator. The Section 504 Coordinator is responsible for investigating and resolving complaints. In addition, any individual who desires information related to the Rehabilitation Act of 1973, or the Americans with Disabilities Act, may contact the Section 504 Coordinator. The School does not discriminate against individuals seeking to access a program or service of the School based on disability. Where an individual desires to participate in a program or service and needs reasonable accommodation in order to do so, they should contact the School's principal to request an accommodation. In addition, if you suspect that your child has a disability that may qualify him/her for support under Section 504, you should contact the School's principal to begin the referral process. Upon initiation of the Section 504 referral process, parents will be provided with a copy of the Section 504 Procedural Safeguards and Parent/Student Rights which contains complaint and due process procedures.

Dignity for All Students Policy: RCTECS is committed to providing safe and productive learning environments in which all students are treated with respect and dignity. In accordance with New York State's Dignity for All Students Act, each School will promptly address all incidents of harassment and/or discrimination of or by any student enrolled at RCTECS. This includes bullying, taunting, or intimidation in all their myriad forms.

Students' Rights. No student shall be subjected to harassment or bullying by employees or students on School property or at a School function. Additionally, no student shall be subject to discrimination based on the student's actual or perceived race, color, weight, national origin, ethnic group, religion, religious practice, disability, sexual orientation, gender, or sex, by School employees or students on School property or at a School function. Harassment may include, among other things, the use, both on and off School property, of information technology such as email, instant messaging, blogs, chat rooms, pagers, cell phones, gaming systems and social media websites to harass or threaten others. This type of harassment is referred to as cyber bullying, and it is considered a form of harassment, like bullying. Further, each School reserves the right to discipline students, consistent with our Code of Conduct, who engage in the harassment of students off School property under circumstances where such off-campus conduct: 1) affects the educative process; 2) actually endangers the health and safety of RCTECS students; or 3) is reasonably believed to pose a danger to the health and safety of our students within the educational system. This includes written and/or verbal harassment, including cyber bullying, which materially and substantially disrupts the work and discipline of the School and/or

which School officials reasonably forecast as being likely to materially and substantially disrupt the academic work and culture of the School.

Dignity Act Coordinator (DAC). RCTECS designates the Principal as the Dignity Act Coordinator (DAC). The DAC is trained to handle human relations in the areas of race, color, weight, national origin, ethic group, religion, religious practice, disability, sexual orientation, gender, and sex. The DAC will be accessible to students and employees for consultation and advice. Contact information for each School's DAC will be posted on the School's website.

Curriculum. The School shall conduct bullying and cyberbullying education during morning meetings, advisory or community meetings in every grade. The instruction is age appropriate, and is intended to support maintenance of an environment that is free of bullying, harassment, and discrimination.

Professional Development. Each School shall provide annual professional development to all employees on the Dignity for all Students Act and this policy, which shall address the social patterns of harassment, bullying, and discrimination, including but not limited to those acts based on a person's actual or perceived race, color, weight, national origin, ethnic group, religion, religious practice, disability, sexual orientation, gender, or sex; the identification and mitigation of harassment, bullying and discrimination; and strategies for effectively addressing problems of exclusion, bias, and aggression in educational settings.

Reporting and Investigating. All staff members are responsible for reporting harassment of which they have been made aware of to their immediate supervisor or the School director within one School day, and must file a written report within two School days of the notification. Any student who believes that s/he is being subjected to harassment, as well as any other person who has knowledge of or witnesses any possible occurrence of harassment, shall report the harassment to any staff member, the DAC, or to the School director. A staff member who witnesses harassment or who receives a report of harassment shall inform the School director. The principal shall promptly investigate the complaint and take appropriate action which may include, if necessary, referral to the board of trustees or a board designee. Follow-up inquiries, discipline, and/or appropriate monitoring of the alleged harasser and victim shall be made to ensure that harassment has not resumed and that those involved in the investigation of allegations of harassment have not suffered retaliation. Material incidents of discrimination and harassment on School grounds or at a School function will be reported to the State Education Department as required by law.

No Retaliation. RCTECS prohibits retaliatory behavior directed against complainants, victims, witnesses, and/or any other individuals who participate in the reporting and investigation of allegations of harassment. All complainants and those who participate in the investigation of a complaint in conformity with state law and this policy, who have acted reasonably and in good faith, have the right to be free from retaliation of any kind.

6th Grade									
Period	**Monday**	**Tuesday**	**Wednesday**	**Thursday**	**Friday**	**Length**	**Start Time**	**End Time**	
1	Math	Math	Math	Math	Math	45	8 30	9 15	
2	Math	Math	Math	Math	ELA	45	9 20	10 05	
3	ELA	ELA	ELA	ELA	Library Skills	45	10 10	10 55	
4	ELA	ELA	ELA	ELA	LAB (Science or CS	45	11 00	11 45	
5	LUNCH	LUNCH	LUNCH	LUNCH	LUNCH	25	11 50	12 15	
6	Social Studies	Social Studies	Social Studies	to Careers	Social Studies	45	12 20	1 05	
7	PE	Science	PE	Science	Careers	45	1 10	1 55	
8	Art / Music	Art / Music	ntroduction to	Foreign Language	Foreign Language	45	2 00	2 45	
9	Science	Foreign Language	Science	Art / Music	PE	45	2 50	3 35	
10	ntervention	ntervention	ntervention	ntervention	ntervention	45	3 40	4 25	

9th									
A DAY					B Day				
Period	Course itle	Length	Start ime	End ime	Period	Course itle	Length	Start ime	End ime
1	Math	(80 mintues)	8 00	9 20	6	Math	(80 mintues)	8 00	9 20
2	ELA	(80 mintues)	9 25	10 55	7	ELA	(80 mintues)	9 25	10 55
3	Sci	(80 mintues)	11 00	12 20	8	Language	(80 mintues)	11 00	12 20
	Lunch	(25 minutes)	12 25	12 55		Lunch	(25 minutes)	12 25	12 55
4	SS	(80 mintues)	1 00	2 20	9	between science	(50 minutes)	1 00	1 50
5	CS	(80 mintues)	2 25	3 45	10	PE	(50 minutes)	1 55	2 50
	Dismissal		3 45		11	to Careers	(50 minutes)	2 55	3 45
						Dismissal		3 45	

12th									
A DAY					B Day				
Period	Course itle	Length	Start ime	End ime	Period	Course itle	Length	Start ime	End ime
1	Math	(80 mintues)	8 00	9 20	6	Social Studies	(80 mintues)	8 00	9 20
2	ELA	(80 mintues)	9 25	10 55	7	Computer Science	(80 mintues)	9 25	10 55
3	Sci	(80 mintues)	11 00	12 20	8	C E	(80 mintues)	11 00	12 20
	Lunch	(25 minutes)	12 25	12 55		Lunch	(25 minutes)	12 25	12 55
4	WBL	(80 mintues)	1 00	2 20	9	PE	(50 minutes)	1 00	1 50
5	WBL	(80 mintues)	2 25	3 45	10	WBL	(50 minutes)	1 55	2 50
	Dismissal		3 45		11	WBL	(50 minutes)	2 55	3 45
						Dismissal		3 45	

	Math Teachers (6)				
	Monday	**Tuesday**	**Wednesday**	**Thursday**	**Friday**
1	Math (cohort 1)	Math (cohort 1)	Math (cohort 1)	Math (cohort 1)	Math (cohort 1)
2	Math (cohort 1)	Math (cohort 1)	Math (cohort 1)	Math (cohort 1)	Planning
3	Math (cohort 2)	Math (cohort 2)	Math (cohort 2)	Math (cohort 2)	Math (cohort 2)
4	Math (cohort 2)	Math (cohort 2)	Math (cohort 2)	Math (cohort 2)	Planning
5	LUNCH	LUNCH	LUNCH	LUNCH	LUNCH
6	Planning	Planning	Planning	Planning	Coaching Meeting
7	Planning	Planning	Planning	Planning	Planning
8	Math (cohort 3)	Math (cohort 3)	Math (cohort 3)	Math (cohort 3)	Math (cohort 3)
9	Math (cohort 3)	Math (cohort 3)	Math (cohort 3)	Math (cohort 3)	Planning
	Social Studies Teachers (6/9)				
	Monday	**Tuesday**	**Wednesday**	**Thursday**	**Friday**
1	6 (Cohort 3)	(Cohort 3)	6 (Cohort 3)	Planning	(Cohort 3)
2	6 (Cohort 2)	(Cohort 2)	6 (Cohort 2)	Planning	(Cohort 2)
3	Planning	Planning	Planning	Planning	Planning
4	6 (Cohort 1)	(Cohort 1)	6 (Cohort 1)	Planning	(Cohort 1)
5	LUNCH	LUNCH	LUNCH	LUNCH	LUNCH
6	9 (Cohort 1)	(Cohort 3)	9 (Cohort 1)	(Cohort 3)	(Cohort 1)
7	Planning	Planning	Planning	Planning	Planning
8	9 (Cohort 2)	Planning	9 (Cohort 2)	Planning	(Cohort 2)
9	Planning	Planning	Planning	Planning	Planning
	Math Teachers (9)				
	A Day			**B Day**	
1	Math (cohort 1)			Math (cohort 1)	
2	Math (cohort 2)			Math (cohort 2)	
3	Math (cohort 3)			Math (cohort 3)	
	LUNCH			LUNCH	
4	Planning			Planning	
5	Planning			Planning	

August 2023					
M	T	W	Th	F	First Day of School
	8/1/2023	8/2/2023	8/3/2023	8/4/2023	Teacher PD
8/7/2023	8/8/2023	8/9/2023	8/10/2023	8/11/2023	Holiday/No School
8/14/2023	8/15/2023	8/16/2023	8/17/2023	8/18/2023	Last Day for Students
8/21/2023	8/22/2023	8/23/2023	8/24/2023	8/25/2023	Last Day for Teachers
8/28/2023	8/29/2023	8/30/2023	8/31/2023	9/1/2023	
September 2023					
M	T	W	Th	F	**Quarter Start and End Dates:**
9/4/2023	9/5/2023	9/6/2023	9/7/2023	9/8/2023	Q1: 9/6/23-11/9/23
9/11/2023	9/12/2023	9/13/2023	9/14/2023	9/15/2023	Q2: 11/13/23-01/31/24
9/18/2023	9/19/2023	9/20/2023	9/21/2023	9/22/2023	Q3: 02/01/24- 04/12/24
9/25/2023	9/26/2023	9/27/2023	9/28/2023	9/29/2023	Q4: 04/15-06/27/24
October 2023					
M	T	W	Th	F	
10/2/2023	10/3/2023	10/4/2023	10/5/2023	10/6/2023	
10/9/2023	10/10/2023	10/11/2023	10/12/2023	10/13/2023	
10/16/2023	10/17/2023	10/18/2023	10/19/2023	10/20/2023	
10/23/2023	10/24/2023	10/25/2023	10/26/2023	**10/27/2023**	
10/30/2023	10/31/2023				
November 2023					
M	T	W	Th	F	
		11/1/2023	11/2/2023	11/3/2023	
11/6/2023	11/7/2023	11/8/2023	11/9/2023	11/10/2023	
11/13/2023	11/14/2023	11/15/2023	11/16/2023	11/17/2023	
11/20/2023	11/21/2023	11/22/2023	11/23/2023	11/24/2023	
11/27/2023	11/28/2023	11/29/2023	11/30/2023		
December 2023					
M	T	W	Th	F	
				12/1/2023	
12/4/2023	12/5/2023	12/6/2023	12/7/2023	12/8/2023	
12/11/2023	12/12/2023	12/13/2023	12/14/2023	12/15/2023	
12/18/2023	12/19/2023	12/20/2023	12/21/2023	12/22/2023	
12/25/2023	12/26/2023	12/27/2023	12/28/2023	12/29/2023	
January 2024					
M	T	W	Th	F	
1/1/2024	1/2/2024	1/3/2024	1/4/2024	1/5/2024	
1/8/2024	1/9/2024	1/10/2024	1/11/2024	1/12/2024	
1/15/2024	1/16/2024	1/17/2024	1/18/2024	1/19/2024	
1/22/2024	1/23/2024	1/24/2024	1/25/2024	1/26/2024	
1/29/2024	1/30/2024	1/31/2024			
February 2024					
M	T	W	Th	F	
			2/1/2024	2/2/2024	
2/5/2024	2/6/2024	2/7/2024	2/8/2024	2/9/2024	
2/12/2024	2/13/2024	2/14/2024	2/15/2024	2/16/2024	
2/19/2024	2/20/2024	2/21/2024	2/22/2024	2/23/2024	

2/26/2024	2/27/2024	2/28/2024	2/29/2024		
March 2024					
M	**T**	**W**	**Th**	**F**	
				3/1/2024	
3/4/2024	3/5/2024	3/6/2024	3/7/2024	3/8/2024	
3/11/2024	3/12/2024	3/13/2024	3/14/2024	3/15/2024	
3/18/2024	3/19/2024	3/20/2024	3/21/2024	3/22/2024	
3/25/2024	3/26/2024	3/27/2024	3/28/2024	3/29/2024	
April 2024					
M	**T**	**W**	**Th**	**F**	
4/1/2024	4/2/2024	4/3/2024	4/4/2024	4/5/2024	
4/8/2024	4/9/2024	4/10/2024	4/11/2024	4/12/2024	
4/15/2024	4/16/2024	4/17/2024	4/18/2024	4/19/2024	
4/22/2024	4/23/2024	4/24/2024	4/25/2024	4/26/2024	
4/29/2024	4/30/2024				
May 2024					
M	**T**	**W**	**Th**	**F**	
		5/1/2024	5/2/2024	5/3/2024	
5/6/2024	5/7/2024	5/8/2024	5/9/2024	5/10/2024	
5/13/2024	5/14/2024	5/15/2024	5/16/2024	5/17/2024	
5/20/2024	5/21/2024	5/22/2024	5/23/2024	5/24/2024	
5/27/2024	5/28/2024	5/29/2024	5/30/2024	5/31/2024	
June 2024					
M	**T**	**W**	**Th**	**F**	
6/3/2024	6/4/2024	6/5/2024	6/6/2024	6/7/2024	
6/10/2024	6/11/2024	6/12/2024	6/13/2024	6/14/2024	
6/17/2024	6/18/2024	6/19/2024	6/20/2024	6/21/2024	
6/24/2024	6/25/2024	6/26/2024	6/27/2024	6/28/2024	

NEW YORK STATE EDUCATION DEPARTMENT
CHARTER SCHOOL OFFICE

ATTACHMENT 5a: NEW APPLICANT AND PROSPECTIVE SCHOOL TRUSTEE BACKGROUND INFORMATION SHEET
(For New School Applications Only)

Applicant Group Members ("AG"): The term Applicant Group is newly applied to include those individuals formerly identified as *lead applicants* and those participating in the planning of the application to establish the proposed charter school; those who will comprise the initial board of trustees; and those who will become school employees—anyone who is involved in the development of the Letter of Intent and the Full Application. All members, including prospective board members, must provide the background information where indicated for Applicant Group Members.

Prospective BOT Members ("BOT"): Service on a public charter school board of trustees ("board") is a position of great trust and responsibility. As a member of a public charter school's board, you are charged with overseeing the education of all students enrolled in the school, as well as the expenditure of public monies directed to the charter school. To properly evaluate proposed board members, please provide full and complete background information where indicated for proposed board members.

Note: Additionally, prospective members of the Board of Trustees are required to undergo a criminal background check via a fingerprint scan arranged by and at the expense of the State Education Department. ***The inability or unwillingness of any member of the applicant group to promptly undergo the required criminal background check via fingerprint scans within the timeframe requested in advance of the Board of Regents meeting shall be grounds for terminating an application or denying a charter recommendation.***

CONTACT INFORMATION FOR ALL APPLICANT GROUP MEMBERS

Member Name: Jenifer Wheaton

Proposed Charter School Name: Rochester CTE Charter School

[redacted]

Please note that this document is considered a public record and as such, may be made available to members of the public upon request under the Freedom of Information Law. Personal contact information provided above will be redacted.

Background Information – All Applicant Group Members

1. Please provide your educational and employment history. You may do so by attaching a résumé. **Note:** Individuals <u>are not required</u> to have degrees or education credentials to serve on a charter school's Board of Trustees. This documentation is for identify verification only.

   ☒ Résumé Attached

   ☒ Copy of Diploma, Transcript or Supporting Documentation Attached
   ☐ If education credentials are not available, please submit a signed and notarized letter stating the highest level of education obtained and the reason why the documentation cannot be provided.

2. Please indicate how you became aware of the opportunity to join the applicant group.

3. Please affirm that you have read Article 56 of the New York State Education Law and understand the relationship between a charter school and the authorized chartering entity as defined in that statute.

   ☒ I affirm.

4. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies. If your team has not yet submitted a full application, please affirm that you will commit to read and understand the charter school application, the charter school board's by-laws and all proposed policies at the time of its submission for review.

   ☒ I affirm.

Statement of Intent—All Applicant Group Members

5. Please provide a personal statement regarding the experience and skills that you bring to the table.

6. Please provide a personal statement regarding your role, responsibilities, and commitment in relation to the development and preparation of the application (as a member of the applicant group), and/or in relation to the operation of the charter school (if you are a member of the proposed initial board of trustees).

7. Please provide any other information that you feel is pertinent to the Department's review of your background.

Jenifer Wheaton
Printed Name

[redacted]

8.29.22
Date

Background Information—Proposed Board of Trustees Only

8. Please affirm that you are or will be at least eighteen years old at the time of your appointment/election to the board.

   ☒ I affirm.

9. Please indicate whether you have ever been convicted of a misdemeanor and/or felony in state or federal court in any jurisdiction.

   ☒ This does not apply to me. ☐ Yes.

   If the answer to this question is yes, please provide the following details regarding your conviction(s): (1) the name of the criminal offense(s); (2) whether the criminal offense(s) was a misdemeanor or felony; (3) the facts and circumstances surrounding your conviction(s); (4) the date(s) of your conviction(s); and (5) the date(s) of disposition(s).

10. Please indicate if you currently have any criminal charge(s) pending against you in state or federal court in any jurisdiction.

    ☒ This does not apply to me. ☐ Yes. If yes, please provide an explanation.

11. What board position(s) and/or offices(s) will you hold? (e.g., member, parent representative, vice-president, Finance committee, etc.):

    Member at Large

12. Please explain why you wish to serve on the board.

13. Please indicate whether you have previously served or are currently serving on a board of a school district, a non-public school or any not-for-profit corporation (to the extent not otherwise indicated in your response to Item 1, above). In addition, please describe any other experience, knowledge or skills you feel is relevant to service on the charter school board.

    ☒ This does not apply to me. ☐ Yes. (Include description here):

Conflict of Interest - Proposed Board of Trustees Only

14. Please indicate whether you, your spouse, or other family member knows any of the other prospective board members.

☐ I / we do not know any such persons. ☒ Yes.
If your answer is yes, please indicate the precise nature of your relationship here:
Personal relationship; neither school nor work related

15. Please indicate whether you, your spouse, or other family member knows any person who is a proposed charter school employee.

☒ I / we do not know any such persons. ☐ Yes.
If yes, please indicate the precise nature of your relationship here:

16. Please indicate if you, your spouse, or other family member or any corporation, business or other entity in which you, your spouse or other family member serve as an employee, officer, or director or own a controlling interest in, plans to contract or do business with, the proposed charter school, including but not limited to, the lease of real or personal property to the proposed charter school.

☒ No. ☐ Yes.
If yes, please describe the nature of the contract or business and, if applicable, the relationship of the person to the corporation, business or entity involved:

17. If the charter school is partnered with an educational service provider (a management company, whether for-profit or not-for-profit), please indicate whether you, your spouse, or any family member knows any employees, officers, owners, directors or agents of that provider. If your answer is in the affirmative, please describe any such relationship.

☐ Yes.
☐ Not applicable because the School does not/will not contract with a management company or charter management organization.
☒ I / we do not know any such persons.

18. If the charter school is partnered with an educational service provider, please indicate whether you, your spouse or other family member has a direct or indirect ownership, employment, contractual or management interest in the provider. For any interest indicated, please provide a detailed description.

☐ Yes.
☐ Not applicable because the School will not contract with a management company or charter management organization.
☒ I / we have no such interest.

19. If the charter school is partnered with an educational services provider, please indicate if you, your spouse or other family member anticipates conducting, or is conducting, any business with the provider. If so, please indicate the precise nature of the business that will be conducted.

☐ Yes.
☐ Not applicable because the School will not contract with a management company or charter management organization.
☒ I / we do not anticipate conducting any such business.

20. Please indicate the potential ethical or legal conflicts of interests (if any) that would, or are likely to, exist should you be approved for service on the charter school's board.

☒ None ☐ Yes

21. Please explain how you would handle a situation in which you believe one or more members of the charter school's board are involved in working for their own benefit, or the benefit of their friends and family.

22. Please indicate whether you, your spouse or other family member is a director, officer, employee, partner or member of, or is otherwise associated with, any organization which filed an application in conjunction with the charter school, i.e., is partnered with the charter school. To the extent you have provided this information in response to the previous items 16-23, you may so indicate.

☒ This does not apply to me, my spouse or other family members.
☐ Yes.

Educational Philosophy -Proposed Board of Trustees Only

23. Please explain your understanding of the charter school's mission and/or philosophy.

24. Please explain your understanding of the educational program of the charter school.

25. Please indicate what you believe to be the characteristics of a successful charter school. Please provide the specific steps you think the board of the charter school will need to take to ensure that this charter school is and remains successful.

STATEMENT OF ASSURANCE—PROPOSED TRUSTEES ONLY

I, Jenifer Wheaton (name of proposed board member) state that I am the applicant for board member approval and I have read the questionnaire and any supporting documents and know the contents thereof; that the same is true to my knowledge except as to the matters therein stated to be alleged upon information and belief, and as to those matters I believe it to be true and further acknowledge that I am aware of the fact that, pursuant to Penal Law §175.30, a person who knowingly offers a false instrument for filing to a public official or public servant is guilty of Offering a False Instrument for Filing in the 2nd Degree, a Class A Misdemeanor.

[redacted]

8.29.22
Date

2. Please indicate how you became aware of the opportunity to join the applicant group.

I initially became aware of this opportunity through a personal acquaintance, who is also a Board Member Applicant.

5. Please provide a personal statement regarding the experience and skills that you bring to the table.

As a certified Special Education teacher with approximately 20 years of experience, (all of which have been with urban and/or otherwise at-risk youth), I am the only board applicant with this particular credential. I have been involved with two local charter schools, one as a parent, and one as a staff member. During my employment at the charter school, I was on the Leadership Team as Coordinator of Special Education, and had the opportunity to work alongside the CEO and other school leaders, as we worked tirelessly to prepare for the school to be considered for re-chartering. I sat on the School Improvement Team, (both as a member at large and as a chairperson), working with a team comprised of both teachers and parents to ensure that particular components of the charter were being upheld. I will carry these experiences with me to work with the staff and leaders of this new school to help them through these same processes.

6. Please provide a personal statement regarding your role, responsibilities, and commitment in relation to the development and preparation of the application (as a member of the applicant group), and/or in relation to the operation of the charter school (if you are a member of the proposed initial board of trustees).

The city of Rochester is in crisis. High school students are dropping out at alarming rates, and several are finding themselves trapped in the cycle of poverty, unable to see a way out. As a member of the proposed initial Board of Trustees for the Rochester CTE Charter School, I will remain committed to the work that needs to be done to ensure that the school is not only a safe haven for students in grades 6-12, but also an avenue to ensure they are ready to compete in today's ever-changing, technologically driven society. Students of all ages, from all economic backgrounds, and with all levels of cognitive abilities are not only able to learn, but they are able to thrive. I am committed to helping the teachers and leaders of Rochester CTE Charter School instill this belief in to their students. I envision myself being a "hands-on" member of the Board, engaging in face-to-face conversations with the teachers, leaders, and students to ensure that the key design elements of the charter are being upheld, in innovative ways that support students' progress- both social/emotional as well as academic.

7. Please provide any other information that you feel is pertinent to the Department's review of your background.

Prior to my work in the charter school, I worked at a high school in the RCSD that underwent an enormous change during my tenure there. I got to experience a singular high school get broken in to four small schools, that all operated independently under the same roof. As a teacher in a "new school", I had the opportunity to work closely with highly regarded consultants who helped shape our school's culture. Part of that work included working with CTE teachers (in the areas of Engineering and

Manufacturing), setting students up with internships at local manufacturing businesses; and I watched as students secured jobs, entrance in to colleges, and scholarships to RIT. I am proud of the work that I helped to accomplish during these early years in my career, and will welcome the opportunity to expand upon these experiences with the Rochester CTE Charter School.

12.Please explain why you wish to serve on the board.

I have spent my career thus far working in some capacity with at-risk and/or marginalized youth. I have watched as the graduation rates have decreased over the years in the Rochester City School District, and as the crime rates have increased. I am a mother of two black sons, and chose to move out of the city when my eldest completed his experience at an amazing elementary (charter) school. I did not have faith that any high school in the RCSD would be able to meet his needs, while at the same time preparing him for a competitive post-secondary experience. I would like to see this narrative change for other students and parents in the city, and would be honored to serve on the board to help this happen.

21. Please explain how you would handle a situation in which you believe one or more members of the charter school's board are involved in working for their own benefit, or the benefit of their friends and family.

All healthy relationships are built on a foundation of trust and communication. Professional relationships (such as board of trustees) are no different. If I ever had reason to believe that one or more members were involved in working for the benefit of anyone other than the students in which the school seeks to serve, I would approach the board with my concerns and have a team conversation. I would be sure to cite evidence and continue to revert back to the Charter's Key Design Elements, and the mission of the school. Gossip or accusatory speculation is neither helpful nor productive, and I would avoid each at all costs.

Attachment 5b - By-laws

Bylaws of Rochester Career and Technical Education Public Charter School

ARTICLE I

NAME

A. The name of the corporation is the Rochester Career and Technical Education Public Charter School (hereinafter " (Rochester CTE CS " or the "Corporation").

ARTICLE II

MISSION OF THE ROCHESTER CAREER AND TECHNICAL EDUCATION PUBLIC CHARTER SCHOOL

The mission of Rochester CTE CS is to prepare students for career pathways in the future global marketplace. By integrating the core academic curriculum aligned to NYSED Next Generation Standards, the 21st-century skills, and the College and Career Quality Standards and through experiential learning, internships and post-secondary credits, Rochester Career and Technical Education Public Charter School students will access a ladder of opportunities to equip them with the skills, credits and certification for entrance into institutions of higher education and career pathways, based on their interests.

ARTICLE III

MEMBERSHIP

A. The Corporation has no members. The rights, which would otherwise vest in the members, vest in the trustees of the Corporation (here-after the "Trustees") of the Corporation. Actions, which would otherwise require approval by a majority of all members or approval by the members, require only approval of a majority of all Trustees.

ARTICLE IV

BOARD OF TRUSTEES

A. Powers.

The board of trustees (hereinafter the "Board") shall conduct or direct the affairs of the Corporation and exercise its powers, subject to the limitations of applicable law, including the Education Law, Not-for-Profit Corporation Law, the General Municipal Law, the Corporation's charter (the "Charter") and these bylaws (" Bylaws"). The Board may delegate the management of the activities of the Corporation to others, so long as the affairs of the Corporation are managed, and its powers are exercised, under the Board' s ultimate jurisdiction.

Without limiting the generality of the powers hereby granted to the Board, but subject to the same limitations, the Board shall have all the powers enumerated in these Bylaws, and the following specific powers:

1. To elect and remove Trustees;
2. To select and remove Officers as defined in Section VIII, agents and the Principal of the Corporation; to prescribe powers and duties for them; and to fix their compensation;
3. To conduct, manage and control the affairs and activities of the Corporation, and to make rules and regulations;

4. To enter into contracts, leases and other agreements which are, in the Board's judgment, necessary or desirable in obtaining the purposes of promoting the interests of the Corporation;
5. To carry on the business of operating charter schools and apply any surplus that results from the business activity to any activity in which the Corporation may engage;
6. To act as trustee under any trust incidental to the Corporation's purposes, and to receive, hold, administer, exchange and expend funds and property subject to such a trust.
7. To acquire real or personal property, by purchase, exchange, lease, gift, devise, bequest, or otherwise, and to hold, improve, lease, sublease, mortgage, transfer in trust, encumber, convey or otherwise dispose of such property;
8. To borrow money, incur debt, and to execute and deliver promissory notes, bonds, debentures, deeds of trust, mortgages, pledges, hypothecations and other evidences of debt and securities; and
9. To indemnify and maintain insurance on behalf of any of its Trustees, Officers, employees or agents for liability asserted against or incurred by such person in such capacity or arising out of such person's status as such, subject to the provisions of the New York Not-for-Profit Corporation Law and the limitations noted in these Bylaws.

A. Number of Trustees.
The number of Trustees of the Corporation shall be not less than five (5) nor more than seventeen (17). The Board may fix the exact number of Trustees, within these limits, by Board resolution or amendment of the Bylaws. Any reduction in the number of trustees made pursuant to this paragraph shall be made in accordance with the requirements of Education Law Section 226(1).

B. Election of Trustees.
1. Election.
The Board shall elect Trustees by the vote of a majority of the Trustees then in office, whether or not the number of Trustees in office is sufficient to constitute a quorum, or by the sole remaining Trustee.
2. Eligibility.
The Board may elect any person who in its discretion it believes will serve the interests of the Corporation faithfully and effectively.
3. Parent Representation.
One ex officio Board seat shall be reserved for a parent of a student currently enrolled in one of the schools of the Corporation. The parent representative will be elected pursuant to the procedure that applies to the election of all Trustees (Art.4 C.1.).
4. Term of Office.
   a. The Trustees elected or appointed shall be divided into three classes for the purpose of staggering their terms of office. All classes shall be as nearly equal in number as possible.
   b. The terms of office of the Trustees initially classified shall be as follows: that of the first class shall expire at the next annual meeting of the Trustees, the second class at the second succeeding annual meeting and the third class at the third succeeding annual meeting. Following the expiration of these designated terms, the term of each Trustee shall continue for three (3) years, except the term of any Trustee who is a parent of a child enrolled in the charter school shall be one (1) year.

- The term of office of a Trustee elected to fill a vacancy in these Bylaws begins on the date of the Trustee's election, and continues:
  - for the balance of the unexpired term in the case of a vacancy created because of the
    resignation, removal, or death of a Trustee, or
  - for the term specified by the Board in the case of a vacancy resulting from the increase of the number of Trustees authorized.
- A Trustee's term of office shall not be shortened by any reduction in the number of Trustees resulting from amendment to the charter, or the Bylaws, or other Board action.
- A Trustee's term of office shall not be extended beyond that for which the Trustee was elected by amendment of the Corporation's charter or the Bylaws or other Board action.

5. Time of Elections.
   The Board shall elect Trustees whose terms begin in June of a given year at the annual meeting ("Annual Meeting") for that year, or at a regular meeting designated for that purpose, or at a special meeting ("Special Meeting") called for that purpose.

C. Removal of Trustees.
The Board may remove a Trustee from office on examination and due proof of the truth of a written complaint by any Trustee, of misconduct, incapacity or neglect of duty, provided, that at least one week's previous notice of the proposed action shall have been given to the accused and to each Trustee. (Education Law Section 226(8)). Any vote to remove a Trustee shall require a two-thirds majority in order to pass. The New York State Board of Regents may also remove a trustee at its discretion consistent with Education Law Section 226(4).

D. Resignation by Trustee.
A Trustee may resign by giving written notice to the Board President or Secretary. The resignation is effective upon receipt of such notice, or at any later date specified in the notice. The acceptance of a resignation by the Board President or Secretary shall not be necessary to make it effective. Any Trustee that shall fail to attend three consecutive meetings without an excuse accepted as satisfactory by the Trustees shall be deemed to have resigned, and that vacancy shall be filled.

E. Vacancies.
A vacancy is deemed to occur on the effective date of the resignation of a Trustee, upon the removal of a Trustee, upon declaration of a vacancy pursuant to these Bylaws, or upon a Trustee' s death. A vacancy is also deemed to exist upon the increase by the Board of the authorized number of Trustees.

F. Compensation of Trustees.
Trustees shall serve without compensation. However, the Board may approve reimbursement of a Trustee's actual and necessary expenses while conducting Corporation business.

ARTICLE V

PRINCIPAL OFFICE

The Corporation's principal office (the "Principal Office") shall be at the following address: Rochester Career and Technical Education Public Charter School, [ADDRESS] or at such other place within the State of New York as the Board may select by resolution or amendment of the Bylaws. The Secretary shall note any change in office on the copy of the Bylaws maintained by

the Secretary.

ARTICLE VI
MEETINGS OF THE BOARD

A. Place of Meetings.
Board Meetings shall be held at the Corporation's Principal Office, or at such other location designated by the Board. The location of any Board meeting shall comply with the requirements of the Open Meetings Law. The Board may from time to time elect to conduct meetings remotely via video conferencing equipment in a manner that is consistent with the Open Meetings Law and other applicable authorities.

B. Annual Meetings.
An Annual Meeting shall be held in the month of June of each year for the purpose of electing Trustees, making and receiving reports on corporate affairs, and transacting such other business as comes before the meeting.

C. Regular Meetings.
Regular meetings shall be held at least one time per month (12 times per year) and other times as the Board determines.

D. Special Meetings.
A Special Meeting shall be held at any time called by the President, or by any Trustee upon written demand of not less than one-fifth of the entire Board.

E. Adjournment.
A majority of the Trustees present at a meeting, whether or not a quorum, may adjourn the meeting to another time and place.

F. Notices.
Notices of Board Meetings shall be given as follows:

1. Annual Meetings and Regular Meetings
may be held without notice to the Board members if the Bylaws or the Board fix the time and place of such meetings.
2. Special Meetings
Notice of all meetings of the Board of Trustees shall be mailed to all Trustees at least five (5) days but not more than ten (10) days prior to the date set for such meeting to the usual address of every Trustee. Notice thereof shall state the time and place of the meeting and, in the case of a special meeting, the purpose or purposes for holding such meeting and the Trustee(s) who called for the special meeting. In accordance with the Open Meetings Law, if a Board of Trustees' meeting is scheduled at least one week in advance, notice of its time and place shall be given to the news media and conspicuously posted in one or more public locations at least seventy-two (72) hours before the meeting. If a meeting is scheduled less than one (1) week in advance, notice of the time and place of the meeting shall be given to the news media, to the extent practicable, and shall be conspicuously posted in one or more public locations at a reasonable time before the meeting.
3. Notice of all Board Meetings,
including annual, regular and special meetings, shall be given to the public in a manner consistent with the Open Meetings Law. To the extent there are any conflicts between any provision of these Bylaws and the Open Meetings Law, the Open Meetings Law will

control.

G. Waiver of Notice.

Notice of a meeting need not be given to a Trustee who signs a waiver of notice or written consent to holding the meeting or an approval of the minutes of the meeting, whether before or after the meeting, or attends the meeting without protest prior to the meeting or at its commencement, of the lack of notice. The Secretary shall incorporate all such waivers, consents and approvals into the minutes of the meeting.

ARTICLE VII

ACTION BY THE BOARD

A. Quorum.

A majority of the whole Board shall constitute a quorum of the transaction of any business.

B. Action by the Board.

1. Actions Taken at Board Meetings.
   Except as otherwise provided by statute or by these Bylaws, the vote of a majority of the Board present at the time of the vote, if a quorum is present at such time, shall be the act of the Board. lf at any meeting of the Board there shall be less than a quorum present, the Trustees present may adjourn the meeting until a quorum is obtained.
2. Board Participation by Other Means.
   In all events, a quorum of Trustees must be present to lawfully conduct a Board meeting of the Corporation. Trustees participating by means of video-conferencing may be counted toward achieving a quorum. Trustees participating by means of video-conferencing shall do so from a site, at which the public may attend, listen and observe. Trustees who attend a Board meeting by telephone may not be counted for purposes of establishing a quorum. Once a quorum is present, Trustees may participate in a Board meeting through conference telephone or similar communication equipment, provided that all Trustees participating in such meeting can hear one another and there is no objection from any Trustee or any person in the public audience. Trustees other than in-person and live video-conferencing shall not vote (i.e., Trustees who attend a Board meeting by telephone). (See Chapter 289 of the Laws of 2000; Gen. Const. Law Sections 102, 103, and 104.)
3. Appointment of Committees.
   The Board may create committees for any purpose, and shall appoint members to, and designate the chairs of such Boards. A Board standing committee ("Standing Committee") will consist of not fewer than three (3) Trustees, who shall serve at the pleasure of the President of the Board. An Executive Committee shall consist of not fewer than five (5) members who shall serve at the pleasure of the President of the Board.
4. Authority of Board Committees.
   The President of the Board may delegate to a Board committee
   any of the authority of the Board, except with respect to:
   a. The election of Trustees;
   b. Filling vacancies on the Board or any committee, which has the authority of the Board;
   c. The amendment or repeal of Bylaws or the adoption of new Bylaws; and
   d. The appointment of other committees of the Board, or the members of the committees.
5. Procedures of Committees.
   The Board may prescribe the manner in which the proceedings of any Board committee are to be conducted. In the absence of such prescription, a Board committee may prescribe

the manner of conducting its proceedings, except that the regular and special meetings of the committee are governed by the provisions of these Bylaws with respect to the calling of meetings, and in accordance with the state Open Meetings Law.

6. Standing Committees of the Board.
   The Standing Committees of the Board will include the following:
   a. An Executive Committee responsible for setting Board direction and taking action on the Board's behalf in situations where convening the full board would not allow for resolution in a timely manner;
   b. A Finance Committee that presents monthly and annual financial statements to the Board, that proposes the annual budget for Board approval, and that reviews and approves the annual audited financial statements;
   c. An Education Committee that: 1) monitors the academic achievement of Rochester CTE CS students based on data from the schools' comprehensive assessment program, 2) monitors the progress of the Corporation's overall educational program in relation to the goals and objectives stated in each school's charter application, and 3) conducts the annual performance evaluation of the Corporation's Principal and negotiates the terms of his/her contract; and
   d. A Governance Committee that is responsible for evaluating the Board's effectiveness and nominating new Trustees.
7. Ad Hoc Committees.
   Other ad hoc committees may be convened as necessitated by circumstances (e.g., a Charter Renewal Committee).
8. Standard of Care.
9. Performance of Duties. Each Trustee shall perform all duties of a Trustee, including duties on any Board committee, in good faith and with that degree of diligence, care and skill, including reasonable inquiry, as an ordinary prudent person in a like position would use under similar circumstances. As members of the governing body of the Corporation, Trustees shall refrain from taking actions that abuse their authority.
10. Reliance on Others.
    In performing the duties of a Trustee, a Trustee shall be entitled to rely on information, opinions, reports or statements, including financial statements and other financial data, presented or prepared by:
    a. One or more Officers or employees of the Corporation whom the Trustee believes to be
       reliable and competent in the matters presented;
    b. Legal counsel, public accountants or other persons as to matters that the Trustee believes are within that person's professional or expert competence; or
    c. A Board committee on which the Trustee does not serve, duly designated in accordance with
       a provision of the Corporation's Charter or Bylaws, as to matters within its designated authority, provided the Trustee believes the Committee merits confidence and the Trustee acts in good faith, and with that degree of care specified in Paragraph C.l., and after reasonable inquiry when the need is indicated by the circumstances, and without knowledge that would cause such reliance to be unwarranted.
11. Investments.
    In investing and dealing with all assets held by the Corporation for investment, the Board

shall exercise the standard of care described above in Paragraph C.l. and shall consider among other relevant considerations the long and short term needs of the Corporation in carrying out its purposes, including its present and anticipated financial requirements. The Board may delegate its investment powers to others, provided that those powers are exercised within the ultimate direction of the Board. Nothing herein shall authorize the Board, or those acting on its behalf, to invest the corporation's money, assets, or funds in any manner prescribed by the New York State Constitution and/or any other applicable law.

C. Rights of Inspection.
Every Trustee has the right to inspect and copy all books, records and documents of every kind and to inspect the physical properties of the Corporation, provided that such inspection is conducted at a reasonable time after reasonable notice, and provided that such right of inspection and copying is subject to the obligation to maintain the confidentiality of the reviewed information, in addition to any obligations imposed by any applicable federal, state or local law.

D. Participation in Discussions and Voting.
To the extent permitted by General Municipal Law and in accordance with the disclosure requirements in Article XII below, every Trustee has the right to participate in the discussion and vote on all issues before the Board or any Board committee, except that any Trustee shall recuse him or herself from the discussion and vote on any matter involving such Trustee relating to:
1. a self- dealing transaction;
2. a conflict of interest,
3. indemnification of that Trustee uniquely;
4. an allegation of misconduct by that Trustee; or
5. any other matter at the discretion of a majority of the Trustees then present.

E. Duty to Maintain Board Confidences.
Every Trustee has a duty to maintain the confidentiality of all Board actions, which are not required by law to be open to the public, including discussions and votes, which take place at any executive session "(Executive Session") of the Board. Any Trustee violating this confidence may be removed from the Board.

ARTICLE VIII

OFFICERS

A. Officers.
The Officers of the Corporation consist of a President, Vice President, a Secretary and a Chief Financial Officer (hereinafter "Treasurer"). The Corporation also may have such other officers, as the Board deems advisable. '
1. President.
Subject to Board control, the President presides over meetings and has such other powers and duties as the Board may prescribe.
2. Vice President.
If the President is absent or disabled, the Vice President shall perform all the President's duties and, when so acting, shall have all the President's powers and be subject to the same restrictions. The Vice President shall have other such powers and perform such

other duties as the Board may prescribe.

3. Secretary.
   The Secretary shall:
   a. keep or cause to be kept at the Corporation's principal office, or such other place as the Board may direct, a book of minutes of all meetings of the Board and Board committees, noting the time and place of the meeting, whether it was regular or special (and if special, how authorized), the notice given, the names of those present, and the proceedings;
   b. keep or cause to be kept a copy of the Bylaws, with amendments, and the Charters of the Corporation, with amendments; give or cause to be given notice of the Board and committee meetings as required by the Bylaws; and
   c. have such other powers and perform such other duties as the Board may prescribe.
4. Treasurer.
   The Treasurer shall:
   a. keep or cause to be kept adequate and correct accounts of the Corporation's properties, receipts and disbursements;
   b. make the books of account available at all times for inspection by any Trustee;
   c. deposit or cause to be deposited the Corporation's monies and other valuables in the Corporation's name and to its credit, with the depositories the Board designates;
   d. disburse or cause to be disbursed the Corporation's funds as the Board directs;
   e. render or cause to be rendered to the President and the Board, as requested but no less frequently than once every fiscal year, an account of the Corporation's financial transactions and financial condition;
   f. prepare or cause to be prepared any reports on financial issues required by an agreement on loans; and
   g. have such other powers and perform such other duties as the Board may prescribe.

B. Election, Eligibility and Term of Office.
   1. Election.
      The Board shall elect the Officers annually at the Annual Meeting or a regular meeting designated for that purpose or at a Special Meeting called for that purpose, except that Officers appointed to fill vacancies shall be elected as vacancies occur.
   2. Eligibility.
      A Trustee may hold any number of offices, except that neither the Secretary nor Treasurer may serve concurrently as the President.
   3. Term of Office.
      Each Officer serves at the pleasure of the Board, holding office until resignation, removal or disqualification from service, or until his or her successor is elected.

C. Removal and Resignation.
   The Board may, by majority vote of the Trustees then in office, remove any Officer, either with or without cause, at any time. Any Officer may resign at any time by giving written notice to the Corporation, the resignation taking effect upon receipt of the notice or at a later date specified in the notice.

D. Amendments to the Bylaws.
   The Board of Trustees may amend the Bylaws when necessary. All changes to the Bylaws and any other section of the charter are subject to approval by the Trustees of the State

University of New York and the New York State Board of Regents.

ARTICLE IX

NON-LIABILITY OF TRUSTEES

The Trustees shall not be personally liable for the Corporation's debts, liabilities or other obligations.

ARTICLE X

INDEMNIFICATION OF CORPORATE AGENTS

The Corporation may, to the fullest extent now or hereafter permitted by and in accordance with standards and procedures provided by Sections 721 through 726 of the Not-for-Profit Corporation Law and any amendments thereto, indemnify any person made, or threatened to be made, a party to any action or proceeding by reason of the fact that he, his testate or in testate was a Trustee, Officer, employee or agent of the Corporation, against judgments, fines, amounts paid in settlement and reasonable expenses, including attorneys' fees.

ARTICLE XI

SELF-DEALING TRANSACTIONS

The Corporation shall not engage in any self-dealing transactions, except as allowed by General Municipal Law and approved by the Board. " Self-dealing transaction" means a transaction to which the Corporation is a party and in which one or more of the Trustees has a material financial interest ("interested Trustee(s)"). Notwithstanding this definition, the following transaction is not a self-dealing transaction, and is subject to the Board's general standard of care:

A transaction which is part of a public or charitable program of the Corporation, if the transaction

1. is approved or authorized by the Board in good faith and without unjustified favoritism,
2. results in a benefit to one or more Trustees or their families because they are in a class of persons intended to be benefited by the program, and
3. does not conflict with Article XII E below.

ARTICLE XII

OTHER PROVISIONS

A. Fiscal Year.
   The fiscal year of the Corporation begins on July 1 and ends June 30 of each year.

B. Execution of Instruments.
   Except as otherwise provided in these Bylaws, the Board may adopt a resolution authorizing any Officer or agent of the Corporation to enter into any contract or execute and deliver any instrument in the name of or on behalf of the Corporation. Such authority may be general or confined to specific instances. Unless so authorized, no Officer, agent or employee shall have any power to bind the Corporation by any contract or engagement, to pledge the Corporation's credit, or to render it liable monetarily for any purpose or any amount.

C. Checks and Notes.
   Except as otherwise specifically provided by Board resolution, check, drafts, promissory notes, orders for the payment of money, and other evidence of indebtedness of the Corporation may be signed by the Director of Operations ("DOO") or Principal. In line with

the Fiscal Policies and Procedures of the School, payments in excess of the determined dollar amount must have two signatures including either the Board President or Treasurer, or the DOO or Principal. if written permission from the Board President or Treasurer has been granted.

D. Construction and Definitions.
Unless the context otherwise requires, the general provisions, rules of construction, and definitions contained in the Not-for-Profit Corporation Law and the Education Law shall govern the construction of these Bylaws. Without limiting the generality of the foregoing, words in these Bylaws shall be read as the masculine or feminine gender, and as the singular or plural, as the context requires, and the word "person" includes both a corporation and a natural person. The captions and headings in these Bylaws are for reference and convenience only and are not intended to limit or define the scope or effect of any provisions.

E. Conflict of Interest.
The General Municipal Law defines prohibited conflicts of interest for Rochester CTE CS Trustees, Officers and employees. Under the General Municipal Law, no Rochester CTE CS Trustee, Officer, or employee may have an interest, direct or indirect, in any contract with the School, when such Trustee, officer or employee, individually or as a member of the Board, has the power or duty to

1. negotiate, prepare, authorize or approve the contract, or authorize or approve payment under the contract,
2. audit bills or claims under the contract, or
3. appoint an officer or employee who has any of the powers or duties set forth above.

The Rochester CTE CS Treasurer shall not have an interest, direct or indirect, in a bank or trust company designated as a depository or paying agent or for investment of funds of Rochester CTE CS. This, however, does not preclude payment of lawful compensation and necessary expenses of a school employee in one or more public offices or positions of employment, the holding of which is not prohibited by law.

In accordance with the General Municipal Law, its prohibitions on conflict of interest do NOT apply to:

1. The designation of a bank or trust company as a depository, paying agent, registration agent or for investment of Rochester CTE CS funds except when the chief fiscal officer, treasurer, or his/her deputy or employee, has an interest in such bank or trust company; provided, however, that where designation of a bank or trust company outside the municipality would be required because of the foregoing restriction, a bank or trust company within the municipality may nevertheless be so designated;
2. A contract with a person, firm, corporation or association in which a Rochester CTE CS officer or employee has an interest which is prohibited solely by reason of employment as an officer or employee thereof, if the remuneration of such employment will not be directly affected as a result of such contract and the duties of such employment do not directly involve the procurement, preparation or performance of any part of such contract;
3. The designation of a newspaper, including but not limited to an official newspaper, for the publication of any notice, resolution, ordinance or other proceeding where such publication is required or authorized by law;
4. The purchase by Rochester CTE CS of real property or an interest therein, provided the purchase and the consideration therefore is approved by order of the supreme court

upon petition of the
governing board;

5. The acquisition of real property or an interest therein, through condemnation proceedings according to law;
6. A contract with a membership corporation or other voluntary non-profit corporation or association;
7. The sale of lands and notes pursuant to Section 60.10 of the local finance law;
8. A contract in which an officer or employee has an interest if such contract was entered into prior to the time he/she was elected or appointed as such officer or employee, but this does not authorize a renewal of any such contract;
9. Employment of a licensed physician as school physician for a school upon authorization by a two-thirds vote of the board of trustees;
10. A contract with a corporation in which an officer or employee has an interest by reason of stockholdings when less than five percent of the outstanding stock of the corporation is owned or controlled directly or indirectly by such officer or employee;
11. A contract for the furnishing of public utility services when the rates or charges therefore are fixed or regulated by the public service commission;
12. A contract for the payment of a reasonable rental of a room or rooms owned or leased by an officer or employee when the same are used in the performance of his/her official duties and are so designated as an office;
13. A contract for the payment of a portion of the compensation of a private employee of an officer when such employee performs part-time service in the official duties of the office;
14. A contract in which a school officer or employee has an interest if the total consideration payable thereunder, when added to the aggregate amount of all consideration payable under contracts in which such person had an interest during the fiscal year, does not exceed the sum of seven hundred and fifty dollars;
15. A contract with a member of a private industry council established in accordance with the federal job training partnership act or any firm, corporation or association in which such member holds an interest, provided the member discloses such interest to the council and the member does not vote on the contract.

In addition, a Rochester CTE CS Trustee, Officer or employee may not:

1. Directly or indirectly, solicit any gift, or accept or receive any gift having a value of $75 or more, whether in the form of money, service, loan, travel, entertainment, hospitality, thing, or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to or could reasonably be expected to influence him/her in the performance of his/her official duties, or was intended as a reward for any official action on his/her part;
2. Disclose confidential information acquired in the course of his/her official duties or use such information to further his/her personal interests;
3. Receive, or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before the Board; or
4. Receive, or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before the Board whereby the compensation is to be dependent or contingent upon any action by the agency. This does not prohibit the fixing of fees based upon the reasonable value of services

rendered.

Any contract willfully entered into by or with Rochester CTE CS in which there is a prohibited interest is void and unenforceable. In addition, any Trustee, Officer or employee who willfully and knowingly violates the foregoing provisions shall be guilty of a misdemeanor.

Rochester CTE CS acknowledges that competitive bidding does not cure the prohibition against having any interest in a contract when the Trustee, Officer or the employee has the power to approve the contract.

In addition to any other penalty imposed, any person who knowingly and intentionally violates the above may be fined, suspended, or removed from office or employment in the manner provided by law.

Any Trustee, Officer or employee who has, will have, or later acquires an interest in any actual or proposed contract with the Board must publicly disclose the nature and extent of such interest in writing to the Board as soon as he/she has knowledge of it.

Although certain interests may not be expressly prohibited by law, they are still subject to disclosure requirements. Legal counsel shall be sought concerning any question regarding disclosure of specific items.

Written disclosure shall be made part of and set forth in the minutes of the Board. Once made, no further disclosures with respect to additional contracts with the same party during the remainder of the fiscal year need be made.

F. Interpretation of Charter.

Whenever any provision of the Bylaws is in conflict with the provisions of the schools ' Charters, the provisions of the Charters shall control.

ARTICLE XIII

AMENDMENT

A majority of the Trustees may provisionally adopt, amend or repeal these Bylaws, subject to the provisions of Section VIII(E).

Dated: _____

Attachment 5c: Code of Ethics

CODE OF ETHICS
FOR SCHOOL TRUSTEES, OFFICERS AND EMPLOYEES

The Board of Trustees recognizes that sound, ethical standards of conduct serve to increase the effectiveness of school Board trustees and their staff as educational leaders in their community.

Actions based on an ethical code of conduct promote public confidence and the attainment of school goals. The Board also recognizes its obligation under the General Municipal Law, to adopt a code of ethics consistent with the provisions of the General Municipal Law, setting forth the standards of conduct required for all school trustees, officers and employees.

Therefore, every officer and employee of the school, whether paid or unpaid, including Board of Trustees, shall adhere to the following code of conduct:

1. ***Gifts:*** An officer or employee shall not directly or indirectly solicit any gifts; nor shall an officer or employee accept or receive any single gift having a value of $75 or more, or gifts from the same source having a cumulative value of $75 or more over a twelve-month period, whether in the form of money, services, loan, travel, entertainment, hospitality, thing or promise, or any other form, if it could reasonably be inferred that the gift was intended to influence him or her in the performance of his or her official duties or was intended as a reward for any official action on his or her part.However, the Board welcomes and encourages the writing of letters or notes expressing gratitude or appreciation to staff members. Gifts from children that are principally sentimental in nature and of insignificant financial value may be accepted in the spirit in which they are given.
2. ***Confidential information:*** An officer or employee shall not disclose confidential information acquired by him or her in the course of his or her official duties or use such information to further his or her own personal interest. In addition, he/she shall not disclose information regarding any matters discussed in an executive session of the Board, whether such information deemed confidential or not.
3. ***Representation before the Board:*** An officer or employee shall not receive or enter any agreement, express or implied, for compensation for services to be rendered in relation to any matter before the school Board.
4. ***Representation before the Board for a contingent fee:*** An officer or employee shall not receive or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before the school Board, whereby the compensation is to be dependent or contingent upon any action by the school with respect such matter, provided that this paragraph shall not prohibit the fixing at any time of fees based upon the reasonable value of the services rendered.
5. ***Disclosure of interest in matters before the Board:*** A member of the Board of Trustees and any officer or employee of the school, whether paid or unpaid, who participates in the discussion or gives official opinion to the Board on any matter before the Board shall publicly disclose on the official record the nature and extent of any direct or indirect financial or other private interest he or she has in such matter. The term "interest" means a pecuniary or material benefit accruing to an officer or employee.

6. ***Investments in conflict with official duties:*** An officer or employee shall not invest or hold any investment directly in any financial, business, commercial or other private transaction that creates a conflict with his or her official duties.
7. ***Private employment:*** An officer or employee shall not engage in, solicit, negotiate for or promise to accept private employment when that employment or service creates a conflict with or impairs the proper discharge of his or her official duties.
8. ***Future employment:*** An officer or employee shall not, after the termination of service or employment with the Board, appear before the Board or any panel or committee of the Board, in relation to any case, proceeding, or application in which he or she personally participated during the period of his or her service or employment or that was under his or her active consideration. This shall not bar or prevent the timely filing by a present or former officer or employee of any claim, account, demand or suit against the school on his or her own behalf or on behalf of any member of his or her family arising out of any personal injury or property damage or for any lawful benefit authorized or permitted by Law.

Distribution of Code of Ethics

The Board of Trustees Chairperson shall cause a copy of this Code of Ethics to be distributed annually to every officer and employee of the school. Each officer and employee elected or appointed thereafter shall be furnished a copy before entering upon the duties of his or her office or employment.

Penalties

In addition to any penalty contained in any other provision of law, any person who shall knowingly and intentionally violate any of the provisions of the Board's code of ethics may be fined, suspended or removed from office or employment, as the case may be, in the manner provided by law.

Attachment 6a: Comprehensive Management Services Provider

A. A list of any other schools managed by the organization in New York and in other states, including contact information.

CEI currently manages two charter schools under comprehensive management contracts, Summit Academy Charter School and Collegiate Academy of Mathematics and Personal Awareness Charter School, both located in Brooklyn, NY.

Summit Academy Charter School
27 Huntington Street Brooklyn, NY 11231
School Leader: Machael Spencer-Edwards

[redacted]

Collegiate Academy of Mathematics and Personal Awareness Charter School
1962 Linden Blvd Brooklyn, NY 11207

[redacted]

B. Academic performance data from all schools managed by the organization for the past three years

NYS assessments have not been administered since 2018-19. The spring 2019 NYS assessment scores pre-dates CEI's work with both Summit Academy Charter School and Collegiate Academy of Mathematics and Personal Awareness Charter School, therefore, academic performance data is not provided here.

Background: Summit Academy Charter opened in fall 2008, is authorized by the NYCDOE and has partnered with CEI since July 2019. CAMPA Charter School opened in fall 2014, is authorized by NYSED and has partnered with CEI since March 2020. CEI began contracts with both Summit Academy Charter School and CAMPA Charter School as part of their charter renewal process and a request by their charter authorizers that the schools' partner with an existing, high performing educational service provider to increase student achievement (in the case of both Summit Academy Charter School and CAMPA Charter School) and increase financial performance, management and health (in the case of CAMPA Charter School). With existing core competencies in (1) Whole school turnaround for schools in need of improvement, (2) Capacity building for teachers, leaders, administrators, and parents to improve student engagement, school climate, and student achievement; and (3) Direct enrichment programs for students, CEI and the schools entered into educational service partnership agreements that detail services in line with the key Benchmarks identified as growth areas by the schools' authorizers.

C. A summary of the organization's fiscal performance for the past three years and a description of the organization's current financial plan

CEI has had clean, unqualified audits for the past three years with no management points issued. Please see ***Appendix E.***

As of 03/16/20022, CEI's cash on hand is $2,325,641.00. CEI maintains enough cash flow to ensure all projects can move forward and uninterrupted for a period longer than 6 months. CEI has a strong background in managing fiscal funds awarded through various government agencies including two U.S department of Education grants totalling 10 million U.S. dollars in funding, two community school contracts awarded by NYCDOE as well contracts to deliver professional development and technical assistance to more than 100 schools during the school year 2021-2022.

CEI's financial plan for the next five year forecasts increased revenue annually offset by equally increased expenses as the organization invests in new initiatives. Please see below.

Fiscal Year 2023 - 2027 Annual Budgets					
Revenue	**FY23**	**FY24**	**FY25**	**FY26**	**FY27**
Budgeted Grants:					
Federal Arts Grants	1,340,000	1,200,000	1,200,000	1,200,000	800,000
NYC Council for Boost	350,000	450,000	475,000	500,000	525,000
NYC Council for Immigrant and Cultural Initiative	14,500	60,000	80,000	80,000	80,000
NYS Special Legislative Grants	185,000	200,000	200,000	200,000	200,000
Community Schools Lead Agency	990,000	1,485,000	1,485,000	1,485,000	495,000
21st Century	525,000	525,000	525,000	525,000	525,000
Consulting Income					
NYC Public Schools	2,820,000	2,890,500	2,962,763	3,036,832	3,112,752
Executive Coaching for Superintendents	150,000	165,000	181,500	199,650	219,615
Charter School Support					
Summit	406,000	400,000	400,000	400,000	400,000
Campa	212,000	200,000	200,000	200,000	200,000
Dr. Richard Izquierdo Charter School	264,630	265,000	265,000	265,000	265,000
Yonkers Charter School of Educational Excellence	100,000	100,000	100,000	100,000	100,000
Cardinal McCloskey Charter School	60,000	60,000	60,000	60,000	60,000
JVL Wildcat Academy Charter School	75,000	75,000	75,000	75,000	75,000
Rochester CEI School	100,000	189,102	309,440	474,188	563,555
Other charter schools	766,640	800,000	800,000	800,000	800,000
Annual Gala	755,000	750,000	750,000	750,000	750,000
Leadership Conference	146,000	150,000	150,000	150,000	150,000
Fundraising General Operating Support	640,000	800,000	1,000,000	1,250,000	1,500,000
Total Revenue	**9,899,770**	**10,764,602**	**11,218,703**	**11,750,670**	**10,820,922**
Expenses					
Salaries	5,071,362	5,514,390	5,747,012	6,019,523	5,543,241
Fringe	1,267,840	1,378,597	1,436,753	1,504,881	1,385,810
Total Personnel	**6,339,202**	**6,892,987**	**7,183,765**	**7,524,404**	**6,929,051**
Non-Salary Expenses	3,560,568	3,871,615	4,034,937	4,226,265	3,891,871
Total Expenses	**9,899,770**	**10,764,602**	**11,218,703**	**11,750,670**	**10,820,922**
Change in Net Assets	-	-	-	-	-

D. A description of services to be provided by the organization

Summary:

1. Education and Instruction-Related Services.

a. Develop and implement the School's educational programs and programs of instruction, consistently with the description of such programs in the Charter, including, but not limited to, developing policies and procedures relating to student admissions, student records, student discipline, school year and school day requirements, special education, student testing, extracurricular and co-curricular activities and programs, and affiliation with other groups, clubs or associations and oversee the School's implementation of such programs (including, if CMO so elects, by directly implementing such programs at the School).

b. Report on the educational progress of each student at the School by analyzing the results of interim assessments and diagnostic tests developed and administered by the School as part of the School's student performance evaluation system.

c. Develop and implement a comprehensive program design for college and career readiness and socio-economic growth and oversee the School's implementation of such program design (including, if CMO so elects, by directly implementing such program design at the School).

d. Implement CEI's course offerings:

i. Introduction to Careers: In each grade, CEI will offer courses on coding, robotics and health sciences aligned to NYSLS and the School's course progression and CTE pathways.

ii. Arts Education/ Benchmarks- A student-centered, hands-on visual art,and creative programs that directly teach academic content, strengthen social emotional learning (SEL) skills, and align with NYS Standards.

e. Develop and/or acquire instructional and curricular materials, equipment and supplies on the School's behalf as CMO may determine to be required from time to time, which shall be acquired at the expense of the School and shall remain property of the School.

2. <u>Business Operations.</u>

a. The School and CMO shall develop an annual School evaluation program to be coordinated by CMO at such time as determined by the School.

b. Direct the business administration of the School, including, but not limited to, the preparation and maintenance of appropriate policies and procedures needed for the effective operation of the School.

c. Lead the identification, selection and contracting with providers of services required by the School, which shall include but not necessarily be limited to, transportation, auditing, payroll, custodial and food services, and which services shall be paid for in accordance with the School's budget at the School's sole cost and expense.

d. Manage the acquisition of materials, supplies, and equipment for use at the School.

e. Arrange for contracts, in accordance with the School's budget at the School's sole cost and expense.

f. Market and advocate for the School, including by developing digital and other materials associated with the School's branding, and promoting the School for the purposes of increasing student enrollment, fundraising, recruiting staff and for public relations.

g. Devise a fundraising strategy in cooperation with the Board and conduct fundraising activities on behalf of the School, including, but not limited to, applying for federal, state and local grants, as CMO deems appropriate in light of such school's needs, budget and actual and projected enrollment.

h. Design and implement (along with the School's Leadership Team), student recruitment and enrollment procedures, including the processing of student applications, and oversee the School Leadership Team's implementation of such procedures (including, if CMO so elects, by directly implementing such procedures at the School).

i. Assist the School in preparing reports required to be submitted to the Authorizer or any other governmental authority, including the School's annual report and any charter renewal application(s) to be submitted to the Authorizer.

j. With the cooperation of the Board and School Leadership Team (as required by CMO), direct and oversee the School's compliance with legal requirements, and such conditions as may be imposed upon the School by the Authorizer or any other governmental authority, provided that the School is ultimately responsible for compliance with laws and regulations applicable to it.

k. Facilitate the School's purchase and procurement of information technology ("IT") equipment and services, as CMO deems appropriate, at the School's sole cost and expense, including but not limited to:

i. wireless/broadband capabilities for the School;

ii. telephone service;

iii. all hardware associated with telephone and wireless/broadband technology; and

iv. computer hardware.

l. CMO shall support the School' facilities search, lease, license, sub-lease or sub-license and renovations, as applicable, of one or more school facilities for the School, in each case pursuant to a separate agreement to be negotiated by the parties.

m. Contract with such third parties on the School's behalf for after school programs which CMO deems reasonable, and which services shall be paid for in accordance the School's budget and at the School's sole cost and expense.

n. Periodically provide students, parents, faculty members and other School stakeholders with such written information or materials regarding the School's programming as may be reasonably required in the course of a school's usual operations, and provide such information as the Board may reasonably require from time to time regarding the School's operations.

o. Provide to the Board reports on the education, operational and financial performance of the School in the form of oral and summary reports at Board meetings, as well as periodic comprehensive written reports in a form mutually agreed upon by the Parties. Additionally, CMO shall provide other such reports as may be reasonably required by the Board or third parties from time to time.

3. Human Resources and Employment.

a. Lead the recruitment of the School's Principal(s) (who shall be responsible for the day-to-day academic program of the School) and the Director(s) of Operations (who shall be responsible for the day-to-day operations of the school(s)) as any vacancies in such positions arise.

b. Assist the Principal(s) and Director(s) of Operations in recruiting and recommending for hire the Assistant Principal(s), as applicable, who shall be support the School Leadership's day-to-day oversight of the School's operations.

c. Lead the recruitment and screening efforts of teachers, administrators and other personnel for the School by using reasonable efforts to build a pool of qualified applicants through advertising, networking and other methods.

d. Provide general human resources services including assisting the Leadership Team with the selection and training of the administrative staff of the School, determining staff needs, recommending the adoption of procedures for the hiring, supervision, discipline and termination of personnel and other personnel policies and administrative procedures applicable to the staff, assisting the Board and Leadership Team in setting compensation levels of the School's staff, and directing the development and training of administrative staff and establishing procedures for hiring substitute staff.

e. Upon specific request by the Board, in accordance the School's budget and at the School's sole cost and expense initiate employee benefit plans and administer such plans.

v. Budgeting, Financial Services and Reports.

a. On or before May 15th of each year during the Term, CMO shall prepare an initial draft of the School budget for review with the Principal and Director of Operations with the draft budget being submitted to the Board for final review and approval prior to the next fiscal year.
b. Provide financial management services in accordance with the School's Financial Policies and Procedures.

vi. Board Training: CEI will provide evaluation and training on governance best practices, specifically related to compliance with the school's charter, the NYSED Performance Framework, Open Meetings Law, compliance and mission development.

For a full description, see ***Attachment 6b.***

E. A description of the management structure and a summary of key personnel at the organization

Please see ***Appendix B: Attachment C*** for CEI's organizational chart.

Key personnel from CEI that will support the development of RCTECS and their biographies are below.

Michael Kohlhagen, CEI Chief Executive Officer

CEI is led by Chief Executive Officer Michael Kohlhagen (2015 to present). Prior to taking over leadership of the organization, AS Vice President, Michael helped lead CEI's comprehensive school turnaround programs, expanded our professional development program, which now offers CTLE credits, and established strategic partnerships with peer organizations in New York City and around the country in order to bring best practices into the schools that we serve. Michael has been working in public education since 1988 when he started as a social worker for New York City's Department of Education. His focus has always been on meeting the full range of student needs in our public schools—academic, social and emotional. In the 1990s, he worked as Director for Pupil Personnel Services at NYCDOE and then in 1999 joined the Hartford Public School system in Connecticut to help lead their Student Support Services Division. Later, as Assistant Superintendent for Instruction at Port Chester-Rye Union Free School District, Michael led the District to good standing in all schools, led the successful application submission and award of a USDOE Blue Ribbon School and led an initiative to improve use of instructional technologies in the district as well as creation of a school-based Health Center initiative with three locations. He served as Superintendent of Schools for Wethersfield Public Schools (CT) where he established a new health care reserve and improved state achievement scores across all schools. As CEO of CEI, Michael has ushered in a new era of data-driven programming and service delivery, developed partnerships with nationally-recognized peer organizations, and maintained the organization's long-standing commitment to making the school the center of change in public education reform efforts.

Virginia A. Connelly, CEI Executive Director of School Transformation

Virginia has served as an advisor in numerous capacities to the NYC Department of Education, the BOCES system in NY state, the CUNY system, and Teachers College at Columbia University. Virginia served as Pupil Services Director for a drug prevention program with a budget of over $3 million and a staff of 30 dedicated counselors. She created "Project Soar" which became the model drug prevention program for NYC and NY state. She served as part of the school leadership team in a broad set of schools, including IS 90, School of Visual and Performing Arts (SVPA), JHS 22, and JHS 123. As principal of 123, Virginia was responsible for its removal from the NY state SURR list (schools intended for redesign and/or closure) and it's development into a model

middle school for NYC. IS 123 became a model for inclusive education, mastery grading, block scheduling and highly functioning PLCs. While serving as principal, Ginny was named as a "Distinguished Principal" and selected as a Cahn Fellow, a nationally recognized program for outstanding school leaders at Teachers College, Columbia University. She went on to serve as the faculty member for the Bronx in NYC's newly created Leaders in Education Apprenticeship Program (LEAP) for aspiring principals. She went on to

create the New Principals Support program for first and second year principals within the Office of Leadership at the NYC Department of Education and to serve as Deputy Superintendent for NYC's Community School District 8.

Stephanie Mauterstock, CEI Executive Director of Charter Schools

Stephanie has 21 years of experience in education, with the last 17 years focused on charter school founding, growth and advocacy in New York City and nationally. Stephanie completed her tenure as the Executive Director of a public school in Queens, NYC, which serves 600 low income elementary school students, in October 2021. She successfully fully re-opened the school to all staff and students in September 2021, after completing significant building upgrades and modifications for ventilation to a private facility and re-outfitted the School to ensure adequate technology and comply with COVID-19 protocol and procedures, and leading teachers union negotiations. Prior to that, she served as Vice President of Tugboat Education where she provided education consulting services on projects relating to school founding and start-up, strategy and business plan development, finance and funding, human resources and talent development, grants, and accountability for charter schools, charter school authorizers, school districts, and education non-profits. She has written successful charter school applications and charter renewal applications to five different charter authorizers. She is formerly the chief operating officer of Students for Education Reform (SFER) and SFER Action Network, national organizations devoted to developing first generation college students into grassroots organizers who fight for educational justice in their communities. Previously, Ms. Mauterstock served as chief operating officer of Manhattan Charter School and Manhattan Charter School 2. Ms. Mauterstock just ended her six year tenure as the Board Chair of the Ascend Public Charter Schools in Brooklyn which currently serves over 7,000 students in Brooklyn and will grow to serve 10,000 students in grades K-12 at each of its schools.

John Widlund, CEI Director Career & Technical Education

John Widlund is a lifelong educator and a graduate of McKee High School of the New York City school system. He has been a Leader in Career and Technical Education (CTE) for over 30 years and at every level. He started as a teaching apprentice (SVA at McKee CTE HS) Assistant Principal (McKee CTE HS) and as a principal (George Westinghouse High School and The School of Cooperative Technical Education) and most recently Executive Director of Career and Technical over 100 schools and 70,000 students. He led the rapid expansion of 40 new CTE programs and supported the creation of the Brooklyn Steam Center with principal Kayon Pryce. His passion is helping schools design high quality CTE programs, realizing the potential for a dual education that is academically rigorous and real world in nature. Students learn best when they see themselves in the work and are able to be fully engaged in their learning. Since joining CEI in 2021, John has found a new home and role that is continuing to find solutions to

the challenges our schools currently face.

CEI Leadership Coaches: In addition to the CEI staff listed above, CEI has experienced leadership coaches trained in our evidence-based leadership framework, many of who are former charter school principals and charter management organization leaders from high performing schools and networks. These coaches will bolster CEI's capacity to deliver both professional development and high-dosage coaching for leadership development.

CEI Rochester

Karen L. Fahy, Ed.D, CEI Rochester, Executive Director of School Transformation and Accountability

Karen has worked in the education field for over 30 years as an ENL teacher, secondary English teacher and department chair, instructional coach, Director of Humanities and PK-12 Literacy in Geneva, NY and most recently, served as the Director of ELA and Integrated Literacy in the Rochester City School District. During her tenure in Rochester, she designed and led a district wide PK-12 Literacy improvement plan, focusing on equity and access to grade level content through a systematic use of data, NYS Next Generation standards-based instruction, tiered differentiated and scaffolded literacy instruction and family and community involvement. She coordinated the PK-12 subject area content teams and led the effort to integrate literacy into all content areas through the utilization of the Four Hallmarks of Advanced Literacy (Lesaux, 2016). Included in her accomplishments during her four year tenure in RCSD are leading the creation of a K-12 ELA Next Generation Priority Standards Curriculum Framework with embedded common formative assessments and accompanying professional learning sessions, ELA walkthrough tools and professional learning sessions, the implementation of a K-5 dual language literacy program, myView/miVision, and the creation of an internal scoring system for ELA NYSED benchmark exams with accompanying learning sessions, in collaboration with the Department of Testing and the Department of Mathematics.

Karen is a member of the NYSED Early Learning Task Force, NYSED 3-8 ELA Assessment Item Writing Team, NYS Teacher Certification (English) Exam creation team, and served as an advisor on the NYSED Guide to Aligning ELA Curriculum to the Next Generation Standards. She is also a member of the Rochester Area Literacy Council, and the NYS Reading Association. Karen served as the co-chair of the StriveTogether Network (Collective Impact) Geneva 2020 Literacy Action Team until 2017, served as co-chair of the StriveTogether Roc the Future Early Grade Literacy Action Team, and was a member of the Strive Together Leadership Team as a result of Rochester's award of the Strive Accelerator Grant. Her education and certifications include a B.A. in English Literature, MS. Ed. In Education and Curriculum, SBL and SDL certifications, and Ed.D. in Educational Administration, with a concentration in literacy, all from the University of Rochester. Karen lives in Geneva with her husband, and has two daughters and sons in law, and five grandchildren, all residents of Geneva.

Mary Doyle, CEI Rochester, Director of Development and School Improvement

Mary has successfully led strategic initiatives in a range of high-need school districts including New York City, Rochester, and Providence. She is a former Executive Director for the New York City Department of Education and Chief of Staff for the Rochester City School District.

Mary holds a master's degree in education policy from Harvard University and an Advanced Certificate in School District Leadership from the University of Rochester. She is a graduate of the Rochester City School District.

Dylan Burrows, CEI Rochester, Data and Assessment Coach
Dylan most recently served as an Instructional Coach of a 9-12 charter school in Nashville, Tennessee. Dylan's experience in education focused on school-wide curriculum adoption and implementation, utilization of ed-tech tools, and data analysis. He earned his master's degree in education with a focus in instructional practice at Lipscomb University. Dylan will collaboratively deliver professional development and coaching services related to data analysis and data driven instruction.

Educational Services Agreement

between

THE CENTER FOR EDUCATIONAL INNOVATION

and

ROCHESTER CAREER AND TECHNICAL EDUCATION CHARTER SCHOOL

EDUCATIONAL SERVICES AGREEMENT

THIS EDUCATIONAL SERVICES AGREEMENT (the "Agreement") is made and entered into as of this ___ day of ____, 2023 (the "Effective Date") by and between the Center for Educational Innovation ("CMO"), a New York not-for-profit corporation with its principal place of business located at 369 Lexington Ave Suite 303, New York, NY 10017, and Rochester Career and Technical Education Public Charter School (the "School"), an education corporation organized under the laws of New York (the "State") having an address of _____. Together, CMO and the School shall be referred to herein as the "Parties" and each individually, a "Party."

WHEREAS, CMO is an educational service provider with the qualifications, experience, and expertise necessary to effectively provide essential programming and services to charter schools; and

WHEREAS, the School, led by its Board of Directors (the "Board"), has received a provisional charter (the "Provisional Charter") approved by the New York State Board of Regents (the "Regents") (together with the New York State Education Department, which carries out charter oversight work for the Regents, the "Authorizer") to operate a charter school in the State of New York (the "State") pursuant to certain terms and conditions set forth in its approved Provisional Charter dated _____(as amended to date) and a charter agreement (the "Charter Agreement," including the approved charter application, which is incorporated into the Charter Agreement by reference) by and between the School and the Authorizer dated _____ (the "Charter Agreement"), which shall be incorporated by reference into this Agreement (collectively, the Provisional Charter and the Charter Agreement shall collectively be referred to as the "Charter"); and

WHEREAS, the School is entering into this Agreement with CMO in order to meet its obligations under the Charter, specifically its commitment to providing a high-quality education for its students; and

WHEREAS, it is the Parties' intention to create a relationship based on trust, common educational objectives, and clear accountability, through which the parties will work together to deliver an exceptional education program and experience to the students enrolled at the School; and

WHEREAS, the Parties wish to define their relationship and set forth the terms and conditions of their respective rights and responsibilities to each other;

NOW, THEREFORE, in consideration of the recitals and the mutual covenants, representations, warranties, conditions, and agreements hereinafter expressed, the Parties agree as follows:

1. **TERM AND RENEWAL.** This Agreement shall be effective as of the July 1, 2023 and shall continue until June 30, 2028 (the "Term") unless terminated prior to such date in accordance with Section 11 below. The Parties agree to give written notice of their intent to renew or not to renew this Agreement on or before January 1, 2028 and should both parties desire to renew this Agreement, they shall work diligently to negotiate such agreement by March 31, 2028.

2. **REPRESENTATIONS AND WARRANTIES.**

   a. **Representations and Warranties of CMO.** CMO represents and warrants as follows:

      i. Organization and Status. CMO is a not-for-profit corporation duly organized and in good standing under the laws of New York. CMO shall notify the School in writing of any change in its corporate status, or if it enters into a receivership, becomes the subject of a voluntary or involuntary bankruptcy proceeding or makes an assignment for the benefit of creditors. This notification shall be made as far in advance of any such change as is reasonably practicable. CMO has received its tax-exempt status under Section 501(c)(3) of the Internal Revenue Code and shall at all times maintain tax-exempt status.

      ii. Authority. CMO possesses the requisite power and authority to execute and deliver this Agreement, to perform its obligations hereunder and to otherwise consummate the transactions contemplated hereby. This Agreement constitutes the valid and binding obligations of CMO, enforceable against CMO in accordance with its terms.

      iii. Litigation. There is no suit, claim, action, or proceeding now pending or, to the best of the Board's knowledge, threatened, to which the CMO is a party or which may result in any judgment, order, decree, liability, award or other determination which will or may reasonably be expected to have an adverse effect upon CMO or prevent or hamper the consummation of the agreements contemplated by this Agreement. No judgment, order, decree or award has been entered against CMO.

      iv. Conduct of CMO. CMO's Services (defined below) provided under this Agreement shall comply with the Charter and all laws and regulations applicable to CMO.

      v. Full Disclosure. No representation or warranty of CMO herein and no statement, information or certificate furnished or to be furnished by CMO pursuant hereto or in connection with this Agreement contains any untrue

statement of material fact or omits a material fact necessary in order to make the statements contained herein not misleading or on which the School would reasonably need to rely to perform its obligations under this Agreement.

b. Representations and Warranties of the School. The School represents and warrants as follows:

i. Organization and Tax-Exempt Status. The School is, and shall at all times throughout the Term remain, an education corporation in good standing with the Authorizer, and possesses the legal ability to operate one or more charter schools and contract for the educational services contemplated in this Agreement. The School has received its tax-exempt status under Section 501(c)(3) of the Internal Revenue Code and shall at all times maintain tax-exempt status.

ii. Authority. The School possesses the requisite power and authority to execute and deliver this Agreement and to perform its obligations hereunder and to consummate the agreements contemplated hereby. This Agreement constitutes a valid and binding obligation of the School, enforceable against the School in accordance with its terms.

iii. Litigation. There is no suit, claim, action, or proceeding now pending or, to the best of the Board's knowledge, threatened, to which the School is a party or which may result in any judgment, order, decree, liability, award or other determination which will or may reasonably be expected to have an adverse effect upon the School or prevent or hamper the consummation of the agreements contemplated by this Agreement. No judgment, order, decree or award has been entered against the School.

iv. Full Disclosure. No representation or warranty of the School herein and no statement, information or certificate furnished or to be furnished by the School pursuant hereto or in connection with this Agreement contains any untrue statement of material fact or omits a material fact necessary in order to make the statements contained herein not misleading or on which CMO would reasonably need to rely to perform its obligations under this Agreement.

3. **CONDUCT OF THE SCHOOL AND THE BOARD.** The School has materially complied, and at all times during the Term shall materially comply with all local, State, and federal laws and regulations that are applicable to the School, which include, but are not limited to, the Internal Revenue Code, the Family Educational Rights and Privacy Act, the Individuals with Disabilities Education Act, New York Education Law

and regulations regarding charter schools, the Not-for-Profit Corporation Law, provisions of the General Municipal Law as well as its By-Laws, its Financial Policies and Procedures, and other such policies and procedures as the Board may adopt. The School has maintained and will maintain adequate records of the activities and decisions of the School to ensure and document compliance with all such laws and regulations. The School agrees to provide CMO with copies of all such records and to allow CMO, at CMO's discretion, to assist with the preparation and retention of such records to ensure that, among other things, CMO may perform all Services and duties set forth in this Agreement. The School is authorized to organize and operate the School and is vested by the Authorizer with all powers necessary to carry out the educational program outlined in the Charter. Except as so delegated to CMO herein (unless such delegation is prohibited by applicable law), the School shall at all times retain all rights and responsibilities under the Charter.

4. **DELEGATION OF RESPONSIBILITY.**

a. General. The School hereby authorizes CMO to undertake on its behalf the functions specified in this Agreement in regards to the business, administrative and academic services of the School, it being understood that, at all times, CMO shall remain accountable and subject to the oversight of the School and the Board shall retain the ultimate rights and duties of oversight of the School pursuant to the Charter and applicable law. Notwithstanding anything to the contrary herein, the School further authorizes CMO to take such reasonable actions that may not be expressly set forth in this Agreement, but which shall be determined to be reasonably necessary in CMO's reasonable judgment to properly and effectively provide the services contemplated by this Agreement to the School, provided such actions are consistent with the Charter, applicable laws and the annual School budget. Furthermore, the School hereby designates employees of CMO, to the extent permitted by law, as agents of the School, and to the extent necessary, "other school officials" with the meaning of FERPA (defined herein), having a legitimate educational interest such that they are entitled to access to education records under 20 U.S.C. § 5 1232g, the Family Educational Rights and Privacy Act ("FERPA"). CMO, its officers, and employees shall comply with FERPA and its regulations at all times, and shall only use such information to fulfill the terms of this Agreement and for no other purpose.

b. Right to Subcontract. Except to the extent prohibited by law or this Agreement CMO may subcontract any function or service it is obligated to provide hereunder, provided that no such subcontract shall relieve or discharge CMO from any obligation or liability under this Agreement except as set forth in the Charter or as

approved by the Board, and provided further that CMO shall not subcontract a majority of the services provided hereunder.

c. Authorizer Authority. Nothing in this Agreement shall be construed in any way to limit the authority of the Authorizer to take and enforce actions against the School pursuant to state law.

d. Expense. Unless stated otherwise, all out of pocket expenses incurred by CMO in furtherance of the Services set forth herein for the benefit of the School shall be the responsibility of the School and subject to the School's financial policies and procedures applicable for such reimbursement, which shall be shared with CMO at the inception of this Agreement and promptly should they be amended in the future. For the avoidance of doubt, CMO is solely responsible for its own costs associated with providing the services contemplated by this Agreement, including the salary and benefits of its employees and such other similar costs associated with the operation of CMO.

5. DUTIES AND OBLIGATIONS

a. Duties and Obligations of CMO. Throughout the Term of this Agreement, CMO shall provide the following educational and operational services (the "Services") in consultation and communication with the Board and/or the School Leadership (defined as the Principal(s), Assistant Principal(s) and Director of Operations):

i. Education and Instruction-Related Services.

1. Develop and implement the School's educational programs and programs of instruction, consistently with the description of such programs in the Charter, including, but not limited to, developing policies and procedures relating to student admissions, student records, student discipline, school year and school day requirements, special education, student testing, extracurricular and co-curricular activities and programs, and affiliation with other groups, clubs or associations and oversee the School's implementation of such programs (including, if CMO so elects, by directly implementing such programs at the School).

2. Report on the educational progress of each student at the School by analyzing the results of interim assessments and diagnostic tests developed and administered by the School as part of the School's student performance evaluation system.

3. Develop and implement a comprehensive program design for college and career readiness and socio-economic growth and oversee the School's implementation of such program design (including, if CMO so elects, by directly implementing such program design at the School).

4. Implement CEI's course offerings:

    a. Introduction to Careers: In each grade, CEI will offer courses on coding, robotics and health sciences aligned to NYSLS and the School's course progression and CTE pathways. Each course will be a trimester long, allowing students to rotate through all three offerings a year and be exposed to engaging content and hands-on learning.

        i. Coding: Interactive STEM education program consisting of coding sessions aligned with the Computer Science for All initiative which incorporates core content from the New York State Science Learning Standard curriculum. STEM instruction will feature virtual coding classes promoting computer science education as each student creates their own video game and develops 21st century skills through hands-on collaborative learning.

        ii. Robotics: Students use active and hands-on learning as they design, build and test their own robots. At the same time, they learn computer science concepts in algorithms, abstractions, communication, programming, and prototyping. The CEI Robotics Program immerses students in STEM concepts as they build, test, and troubleshoot their robots.

        iii. Health Sciences

    b. Arts Education/ Benchmarks- A student-centered, hands-on visual art,and creative programs that directly teach academic content, strengthen social emotional learning (SEL) skills, and align with NYS Standards. Benchmarks is a comprehensive student arts residency program that inspires young people to tackle major social issues and become engaged citizens. Students create large-scale, meaningful

artwork on benches for public display, to effect social change. Students receive a robust visual arts curriculum that addresses contemporary social challenges selected by students. Issues such as racism, gender inequality, drug abuse, homelessness, and religious intolerance are addressed through research and facilitated discussion, research the issue, formulate a message for social change and realize that message through visual art or music. The program includes a peer-to-peer workshop in which a select group of students become the teachers and lead a social-action arts workshop with an invited group of students, and culminates in a final event in which students speak out on the issues and share their art and music works which transmit their messages of change.

ii. Develop and/or acquire instructional and curricular materials, equipment and supplies on the School's behalf as CMO may determine to be required from time to time, which shall be acquired at the expense of the School and shall remain property of the School.

iii. Business Operations.

1. The School and CMO shall develop an annual School evaluation program to be coordinated by CMO at such time as determined by the School. The evaluation will be designed as a school inspection by a team of CMO and School personnel and outside evaluators, to be selected by CMO. The team will observe classes and other school operations, analyze a wide variety of data, review student work samples, meet with a sampling of parents, students and teachers, and engage in other activities designed to obtain a detailed picture of each school and student success. The results of such evaluation shall be presented to the Board by CMO.

2. Direct the business administration of the School, including, but not limited to, the preparation and maintenance of appropriate policies and procedures needed for the effective operation of the School. Such policies and procedures shall be approved by the School's Board to the extent required by law.

3. Lead the identification, selection and contracting with providers of services required by the School, which shall include but not necessarily be limited to, transportation, auditing, payroll, custodial

and food services, and which services shall be paid for in accordance with the School's budget at the School's sole cost and expense.

4. Manage the acquisition of materials, supplies, and equipment for use at the School. Materials, supplies and equipment purchased for the School shall become and remain the property of the School. Such acquisition shall be paid for in accordance with the School's budget at the School's sole cost and expense. Any required lease arrangements for such acquisition shall be separately documented with the School as Lessee, to the extent reasonably possible.

5. Arrange for contracts, in accordance with the School's budget at the School's sole cost and expense, for any other services, such as security or custodial, or the acquisition of any other supplies or equipment that CMO (deems necessary or reasonable to the attainment of the educational goals of the School (in consultation and with the approval of the Board if such services were not previously approved in the School's budget and in accordance with the School's Financial Policies and Procedures).

6. Market and advocate for the School, including by developing digital and other materials associated with the School's branding, and promoting the School for the purposes of increasing student enrollment, fundraising, recruiting staff and for public relations. CMO will be responsible for the cost of the development and production of such digital materials.

7. Devise a fundraising strategy in cooperation with the Board and conduct fundraising activities on behalf of the School, including, but not limited to, applying for federal, state and local grants, as CMO deems appropriate in light of such school's needs, budget and actual and projected enrollment. Monies raised from CMO's fundraising activities that are specifically earmarked or otherwise specifically directed to be contributed to or expended for the benefit of the School shall be contributed to or used for the benefit of the School. Other monies derived from CMO's general fundraising activities shall be used or distributed as CMO deems appropriate, in its sole discretion, including but not limited to use for the benefit of, or distribution among, the schools that CMO supports or manages. CMO shall assist the School in ensuring compliance with any grant conditions, including the completion of any reporting requirements

in connection therewith. CMO will be responsible for the cost of fundraising activities undertaken by CMO on behalf of the School.

8. Design and implement (along with the School's Leadership Team), student recruitment and enrollment procedures, including the processing of student applications, and oversee the School Leadership Team's implementation of such procedures (including, if CMO so elects, by directly implementing such procedures at the School).

9. Assist the School in preparing reports required to be submitted to the Authorizer or any other governmental authority, including the School's annual report and any charter renewal application(s) to be submitted to the Authorizer.

10. With the cooperation of the Board and School Leadership Team (as required by CMO), direct and oversee the School's compliance with legal requirements, and such conditions as may be imposed upon the School by the Authorizer or any other governmental authority, provided that the School is ultimately responsible for compliance with laws and regulations applicable to it.

11. Facilitate the School's purchase and procurement of information technology ("IT") equipment and services, as CMO deems appropriate, at the School's sole cost and expense, including but not limited to:

    i. wireless/broadband capabilities for the School;

    ii. telephone service;

    iii. all hardware associated with telephone and wireless/broadband technology; and

    iv. computer hardware.

    In addition, CMO shall provide or arrange for a third-party provider to provide technology-related services to the School, including, troubleshooting and website and network design. CMO shall also complete an E-Rate application on the School's behalf with the cooperation of the School's Leadership Team and Board, as needed.

12. CMO shall support the School' facilities search, lease, license, sub-lease or sub-license and renovations, as applicable, of one or more

school facilities for the School, in each case pursuant to a separate agreement to be negotiated by the parties. CMO shall assist the School in negotiating any financing arrangements necessary for the School to lease, license, sub-lease or sub-license any facility from CMO. In the event CMO deems it to be in the best interest of the Parties for the School to enter into a lease, license, sub-lease or sub-license directly with a third party landlord or licensor, CMO shall assist the School in negotiating any such agreement and/or any financing arrangement necessary for the School to enter into such transaction. CMO and the School shall be solely responsible their respective costs and expenses in connection with any real estate transaction. CMO shall not be liable under any lease, purchase, financing, construction, or other document with a third party pertaining to any facility without CMO's prior written consent.

13. Contract with such third parties on the School's behalf for after school programs which CMO deems reasonable, and which services shall be paid for in accordance the School's budget and at the School's sole cost and expense.

14. Periodically provide students, parents, faculty members and other School stakeholders with such written information or materials regarding the School's programming as may be reasonably required in the course of a school's usual operations, and provide such information as the Board may reasonably require from time to time regarding the School's operations.

15. Provide to the Board reports on the education, operational and financial performance of the School in the form of oral and summary reports at Board meetings, as well as periodic comprehensive written reports in a form mutually agreed upon by the Parties. Additionally, CMO shall provide other such reports as may be reasonably required by the Board or third parties from time to time.

iv. <u>Human Resources and Employment.</u>

1. Lead the recruitment of the School's Principal(s) (who shall be responsible for the day-to-day academic program of the School) and the Director(s) of Operations (who shall be responsible for the day-to-day operations of the school(s)) as any vacancies in such positions arise. The Principal(s) and Director(s) of Operations shall be employees of the School, but shall report jointly to the Board and

CMO. The School shall have responsibility and sole authority for the supervision, evaluation (using a form developed by CMO), discipline, retention, transfer and termination of the Principal(s), with any decision to transfer or terminate the Principal(s) or Director(s) of Operations subject to the prior approval of the Board.

2. Assist the Principal(s) and Director(s) of Operations in recruiting and recommending for hire the Assistant Principal(s), as applicable, who shall be support the School Leadership's day-to-day oversight of the School's operations. Changes to the positions included in the School Leadership Team is subject to approval by CMO. The Principal(s) shall have responsibility and authority for the supervision, discipline, retention, transfer and termination of the Assistant Principal(s), provided CMO shall have the right to make recommendations to the Principal(s) with respect to the foregoing actions. In the event that CMO and the applicable Principal are in disagreement with respect to retention or termination of the Assistant Principal(s), the Principal may seek review of any decision with respect to such retention or termination by the Board, which in such a case will make a final decision with respect to the matter.

3. Lead the recruitment and screening efforts of teachers, administrators and other personnel for the School by using reasonable efforts to build a pool of qualified applicants through advertising, networking and other methods. The Principal(s) and Director(s) of Operations shall have the final authority to hire such teachers, administrators and other personnel. The hiring of any teachers, administrators and other personnel for the School shall be subject to CMO's approval. In the event that CMO and the applicable Principal and Director of Operations are in disagreement with respect to the hiring of a teacher, the Principal and Director of Operations may seek review of any decision with respect to such hiring by the Board, which in such a case will make a final decision with respect to the matter.

4. Provide general human resources services including assisting the Leadership Team with the selection and training of the administrative staff of the School, determining staff needs, recommending the adoption of procedures for the hiring, supervision, discipline and termination of personnel and other personnel policies and administrative procedures applicable to the staff, assisting the Board and Leadership Team in setting

compensation levels of the School's staff, and directing the development and training of administrative staff and establishing procedures for hiring substitute staff.

5. Upon specific request by the Board, in accordance the School's budget and at the School's sole cost and expense initiate employee benefit plans and administer such plans.

6. For the avoidance of doubt, the Parties acknowledge and agree that the Principal(s), Director(s) of Operations, teachers, administrative and any other staff of the School shall be employees of the School and not of CMO.

v. Budgeting, Financial Services and Reports.

1. On or before May 15th of each year during the Term, CMO shall prepare an initial draft of the School budget for review with the Principal and Director of Operations with the draft budget being submitted to the Board for final review and approval prior to the next fiscal year. The budget shall contain reasonable detail as requested by the Board and shall include projected expenses and costs reasonably associated with operating the School including, but not limited to: the projected cost of services and education programs provided to the School; leasehold and other lease or purchase costs incurred for the School facility (if applicable); maintenance and repairs to the School facility and capital improvements (if applicable); personnel salaries and benefits expenses; payroll processing expenses; supplies and furnishings necessary to operate the School; all taxes of any kind that may be assessed or imposed; insurance premiums and deductible payments; utilities; food service expenses, professional and legal fees; school development and start-up expenses, including costs of audits, Board expenses, and any other costs and expenses connected to the operation of the School.

2. Provide financial management services in accordance with the School's Financial Policies and Procedures. Financial management services shall include but not be limited to: a) invoice, receive and deposit into the School's bank account(s) such revenues and per pupil funding to which the School is entitled; b)) administer the processing of the School's payroll using a third party payroll provider; and c) open credit accounts with vendors on behalf of the School. Prepare and provide other necessary financial statements

and reports to the Board as may be required by the Charter or applicable law and regulations, provided CMO is given reasonable advance notice. CMO shall also cooperate with the auditors retained by the Board in preparation of annual audited financial statements of the School. CMO shall provide reasonable assistance to the auditors in order to facilitate the delivery by the auditors of such audited statements as required by law no later than 180 days after the close of each fiscal year. CMO shall also provide assistance to the School in implementing required or suggested changes contained in any audit management letters.

vi. Board Training: CEI will provide evaluation and training on governance best practices, specifically related to compliance with the school's charter, the NYSED Performance Framework, Open Meetings Law, compliance and mission development.

vii. Other Schools. The School acknowledges that CMO may enter into similar or different services agreements with other charter schools or other organizations. In the event that CMO advances an expense for a common project (e.g. advertising an enrollment drive) on behalf of more than one school which CMO manages, CMO shall ensure that it properly invoices the School (and each other school) for such proportional share of any such expense that CMO deems reasonably appropriate, ensuring that the School shall not in any way assume any part of an expense attributable to another school.

b. Duties and Obligations of the School

i. Education and Instruction-Related Services.

1. Implement the educational programs and programs of instruction, as such programs are described in the School's Charter, with CMO's direction and oversight.

2. Administer interim assessments and diagnostic tests designed to measure the progress of each student at the School.

3. Assist CMO in overseeing and managing school quality, including participating in an evaluation of the School on an annual basis.

ii. Business Operations.

1. Support CMO in its fundraising, marketing, recruitment and advocacy efforts by taking any action reasonably requested by

CMO, including hosting open houses, devising a fundraising strategy in conjunction with CMO and supplying CMO with information necessary for CMO to conduct such efforts on the School's behalf.

2. Arrange and supervise any minor improvements or repairs to the School's facilities consistent with the School budget at the School's sole cost and expense.

3. After considering the recommendations and guidance to be provided by CMO and the School Leadership (where applicable), the Board shall create and adopt policies of the School, which shall be consistent with the Charter and applicable law.

4. In accordance with the Charter and the requirements of this Agreement, the Board shall work diligently with CMO to approve the annual budget within thirty (30) days of submission of the proposed budget by CMO to the Board in accordance with this Agreement.

5. The Board shall do, or cause to be done, all things necessary to ensure that all legal requirements, and all such conditions as may be imposed by the Authorizer or other governmental authority, are fully complied with at all times. If the Board shall at any time receive notice from any public authority or other person that the School is or may be in violation of the Charter or any applicable law or regulation the Board shall immediately notify CMO of the alleged violation and shall thereafter work diligently with CMO to investigate such alleged violation, determine whether such alleged violation in fact exists, promptly respond to the complaining party and to correct any violation found to exist.

6. The Board, in consultation with CMO, the Principal and Director of Operations, shall establish a procedure for the receipt and timely review of complaint or grievances by any parent, community individual or institution.

iii. <u>Human Resources and Employment.</u>

1. Interview Principal candidates and select and hire a Principal from the group of qualified candidates presented to the School by CMO when a vacancy for such position exists. Notwithstanding the

foregoing, the selection of a Principal shall be mutually agreed upon by the School and CMO.

2. Interview teacher and other staff candidates and select teachers and other staff from the group of qualified candidates presented to the School by CMO. Notwithstanding the foregoing, CMO's approval of a teaching or staff candidate is required prior to the School hiring any such candidate.

3. Design, implement and monitor professional development activities for the School's instructional personnel.

4. Develop and deliver ongoing teacher and support staff training, including in areas such as college and career readiness and socio-emotional growth.

5. Cooperate with CMO with any administrative tasks associated with the School's employee benefit plans.

6. Maintain personnel records for employees in accordance with applicable law.

7. Track teacher certifications and employee fingerprint clearances for School staff.

iv. Budget, Financial Services and Reports.

1. Arrange and pay for an annual audit of the School to be conducted in compliance with applicable law and regulations, showing the manner in which funds are spent at the School. The annual audit shall be performed by a certified public accountant recommended by CMO and selected by the Board.

2. With assistance from CMO, if desired, arrange and pay for its own legal services, as necessary.

3. To enable CMO to perform such financial management services outlined in Section 5(a)(vi) and in accordance with the School's Financial Policy and Procedures, the School will provide reasonable access to the School's bank account and any other accounts including the authority to sign checks on behalf of the School and such other assistance as may be needed from time to time to effectively provide the services contemplated herein. Nothing herein

shall allow CMO to sign checks or execute money transfers from the School to CMO.

v. Providing Information & Documentation. The Board and School Leadership shall furnish CMO with all information, documents and records necessary for CMO to fully and effectively provide its Services and support and otherwise carry out its duties under this Agreement.

vi. Tax Status. In accordance with the Charter and applicable law, the Board shall take all steps required to obtain and maintain the School's status as a tax-exempt organization under federal and State law such that contributions to the School are deductible to the donor for federal income tax purposes. In the event of arbitration between the Parties, the Board and CMO shall agree that, notwithstanding any claims for relief each may seek from the other, it will require that any relief granted be consistent with maintaining the School's tax-exempt status.

c. Additional Services. CMO may, but is not obligated to, provide additional services to the School upon request. CMO and the School agree to negotiate in good faith additional compensation for such additional services. Any agreement regarding same shall be in writing and submitted to the Authorizer for approval in accordance with the Charter. The proposed budget prepared by CMO each shall for review and approval by the Board shall provide for the payment of the costs and expenses related to such additional services. Such additional services may include, but are not limited to, special education management, tutoring program support and facilities management. CMO may perform functions off-site, except as prohibited by State law. CMO may utilize web-based systems to provide support and counsel to the School.

6. FEES. For each school year covered by this Agreement, in consideration for the Services provided by CMO to the School, CMO shall be paid a service fee to be negotiated annually during the term of this Agreement. Said fee shall be equal to or greater than the initial service fee. The initial service fee shall be equal to ten percent (10%) of all Public Revenues received by the School during the 2023 – 2024 school year (the "Service Fee"). For the purposes of this Agreement, Public Revenues means, with respect to any school year, an amount equal to the sum of any funding received by any federal, State or local government, or any political subdivision thereof, including, but not limited to, any entitlement funding, excluding in-kind contributions (e.g., transportation services, food services), start-up funding (e.g. Federal Public Charter School Program Planning and Implementation Grant), funding for school means and funding for competitive grants. For the avoidance of doubt, all Public Revenues received by the School that are earmarked for a particular purpose (e.g., Special Education Funding) shall

be used by the School solely for such purpose. The amount of such earmarked Public Revenues shall be used solely for the purpose of calculating the amount of the Service Fee. Within fifteen (15) days of the end of each fiscal quarter, CMO shall provide the School with an invoice detailing the amount of the Service Fee due and owing by the School to CMO for the previous month based on the actual Public Revenues received by the School. The School shall pay all amounts due within thirty (30) days of receiving such invoice. In the event the School is required to return any Public Revenues to the federal, state or local government or a political subdivision thereof, CMO shall reimburse the School for ten percent (10%), or such higher percentage if the Service Fee had been increased, in accordance with this Agreement, at the time the Public Revenues were received by the School, of such returned Public Revenues. In the event the School receives additional Public Revenues not accounted for by CMO in the quarterly invoices during any fiscal year, the School shall pay CMO ten percent (10%), or such higher percentage if the Service Fee has been increased in a subsequent school year in accordance with this Agreement, of such additional Public Revenues within thirty (30) days of the School's receipt of such Public Revenues.

7. **PROPRIETARY WORKS.** The School acknowledges that CMO owns and shall own all existing, and hereafter created, copyrights and other intellectual property rights with respect to all works of authorship, inventions and work product including, instructional materials, training materials, curriculum and lesson plans, and any other materials, teaching methodologies, school management methodologies, and all improvements, modifications, and derivative works thereof that are created, invented or developed by (i) CMO, its employees, agents or subcontractors, or (ii) an individual employed or retained by the School within the scope of such employment or retention utilizing ideas or products developed by CMO (collectively, the "Proprietary Works"). The foregoing definition excludes any intellectual property developed by the School with federal funds pursuant to any CSP or dissemination grant where such property must be retained by the school or the U.S. Department of Education. CMO hereby grants the School, solely as may reasonably be required in connection with the performance of this Agreement, a non-exclusive, non-sub licensable, non-transferable, royalty-free license to use Proprietary Works as necessary or desirable to operate the School during the Term of this Agreement. The School shall cause all persons who create, invent or develop Proprietary Works for the School to assign to CMO in writing their intellectual property rights in such works. Upon CMO's reasonable request, the School will provide CMO with a copy of all Proprietary Works. This Section 7 shall survive termination of this Agreement.

8. **USE OF NAME.** CMO hereby grants the School, solely as may reasonably be required in connection with the performance of this Agreement, a non-exclusive, non-sub licensable, non-transferable, royalty-free license to use the names and trademarks "_____" and "_____" and any logos provided to the School by

CMO (the "Trademarks") in connection with the operation of the School and all promotional activities in connection therewith, subject to the following conditions. The School agrees that it will (i) not use or register any domain name containing "_____" on this day or any day thereafter, other than those that are in use on the day of execution of this agreement and in accordance with the branding guide lines provided by CMO; (ii) cooperate to use any website, social, wireless, mobile or other media network or application provided by CMO for the School's use; (iii) not set up its own official site, page or venue in any social media or user-generated content media (including Facebook, Twitter and YouTube), other than those that are in use on the day of execution of this agreement, without prior written consent of CMO; (iv) use the Trademarks in compliance with all reasonable notices and guidelines provided by CMO; and (v) use the Trademarks in a dignified manner in accordance with reputable trademark practices. The School shall acquire no rights in the Trademarks, and all goodwill of the Trademarks shall inure to the benefit of and remain with CMO. CMO shall have pre-approval rights for each form and manner of public display of the Trademarks. The School agrees to use the Trademarks only in connection with high-quality educational services reflecting favorably on the reputation and goodwill of CMO and, at CMO's request, to provide CMO with representative samples of materials used by the school bearing the Trademarks. If CMO objects to any such materials for not properly using the Trademarks or for not being of sufficient quality, the School will promptly make all appropriate corrections. Should this Agreement be terminated or not renewed for any reason, the School shall, as soon as practicable but not later than the end of the school year in which this Agreement may be terminated or not renewed, petition to the Authorizer to revise its Charter to formally change the name of the School to remove any reference to _____ and _____ and diligently follow such petition through to its completion. Upon the effectiveness of such revision and removal, the School will cease all further use of the Trademarks and return all materials promptly to CMO. This Section 8 shall survive the termination of this Agreement.

9. INDEMNIFICATION AND EXCULPATION

a. Indemnification. The School and CMO do hereby agree that each Party shall be solely responsible for such Party's own acts and omissions as well as the acts and omissions of each Party's own board of directors or trustees, partners, officers, employees, agents, and representatives. Each Party to this Agreement (acting as Indemnitor) does hereby indemnify and hold harmless the other, and its respective board of directors or trustees, partners, officers, employees, agents, representatives, and attorneys (acting as Indemnified Persons), from and against any and all claims, actions, damages, liabilities, penalties, fines, expenses, losses or awards ("Claim"), plus reasonable attorneys' fees and expenses incurred in connection with Claims and/or enforcement of this Agreement, which directly result from any action taken or not taken by the Indemnitor which action or inaction constitutes fraud, willful misconduct or willful material breach

by the Indemnitor of any of the terms, conditions, warranties, representations, or undertakings contained in or made pursuant to this Agreement. Such indemnification may be achieved by the purchase of general liability and property insurance policies, in accordance with Article 10. Notwithstanding anything herein to the contrary, CMO's liability under this Agreement shall be limited to the extent of its insurance coverage limits applicable to this Agreement.

b. Notice and Defense. The Party to be indemnified (Indemnitee) shall give the Party from whom indemnification is sought (Indemnitor) prompt written notice of any Claim for which indemnification is sought. Failure to give notice shall not affect the Indemnitor's duty or obligations under this Agreement except to the extent the Indemnitor is prejudiced thereby. The Indemnitor may undertake the defense of any third party claim by representatives chosen by it. If the Indemnitor undertakes the defense of a Claim, then the Indemnitor shall be deemed to accept that it has an indemnification obligation under this Paragraph 9 with respect to such Claim, unless it shall in writing reserve the right to contest its obligation to provide indemnity with respect to such third party claim. The Indemnitee shall make available to the Indemnitor or its representatives all records and other materials required by them and in the possession or under the control of the Indemnitee, for the use of the Indemnitor and its representatives in defending any such Claim, and shall in other respects give reasonable cooperation in such defense. If there is a reasonable probability that a Claim may materially and adversely affect the Indemnitee other than as a result of money damages or other money payments, (i) the Indemnitee shall have the right to defend, compromise or settle such Claim and (ii) the Indemnitor shall not, without the written consent of the Indemnitee, settle or compromise any Claim which does not include as an unconditional term thereof the giving by the claimant to the Indemnitee a release from all liability in respect of such Claim.

c. Failure to Defend. If the Indemnitor, within thirty (30) days after notice of any such Claim, fails to dispute the obligation of the Indemnitee with respect to such Claim or fails to defend such Claim actively and in good faith, then the Indemnitee will (upon written notice to the Indemnitor) have the right to undertake the defense, compromise or settlement of such Claim or consent to the entry of a judgment with respect to such Claim, on behalf of and for the account and risk of the Indemnitor, and the Indemnitor shall thereafter have no right to challenge the Indemnitee's defense, compromise, settlement or consent to judgment therein.

d. Exculpation. The parties hereto agree that in no event: (i) will CMO (or its directors, trustees, officers, employees or agents in their capacity as such) be liable to the School for monetary damages hereunder other than in respect of losses directly resulting from action taken or not taken by them which action or inaction constitutes fraud, willful misconduct or willful material breach by them of any of the terms, conditions,

warranties, representations or undertakings contained in or made pursuant to this Agreement; and (ii) will the School (or its directors, trustees, officers, employees or agents in their capacity as such) be liable to CMO for monetary damages hereunder other than in respect of losses directly resulting from action taken or not taken by them which action or inaction constitutes fraud, willful misconduct or willful material breach by them of any of the terms, conditions, warranties, representations or undertakings contained in or made pursuant to this Agreement.

10. INSURANCE

a. **Insurance Coverage**. At all times during the Term of this Agreement, the School shall at a minimum maintain at its sole cost and expense in full force and effect the insurance coverage set forth in the Charter. The School shall also maintain such workers compensation and disability insurance as required by State law. CMO shall maintain at its sole cost and expense such insurance as it shall reasonably deem necessary under this Agreement, including general liability insurance of $1,000,000 per occurrence/$2,000,000 aggregate, educators legal/errors and omissions insurance, $1,000,000 per occurrence/$2,000,000 aggregate, an umbrella policy in the amount of $7,000,000, $1,000,000 directors and officers liability insurance, $1,000,000 employment practices liability insurance, $1,000,000 automobile insurance and workers compensation and disability insurance as required by State law. Each party shall also maintain sexual abuse/molestation coverage in the amount of $1,000,000. Each Party shall name the other as an additional insured on their commercial general liability policy and the School shall name CMO as a named insured on its employment practices liability insurance policy if such coverage is available from the School's insurer. To the extent legally permissible and permitted by the insurance carrier, the School authorizes CMO to bind any insurance required by the School, at the School's expense, through a master policy held by CMO.

b. **Subcontractors.** CMO shall require that its subcontractors, if any, shall maintain insurance commercially standard insurance policies (including but not limited to general liability, automotive, directors and officers, workers compensation and disability insurance) and that such subcontractors name CMO and the School as additional insured's (except on workers compensation and disability policies, which is not permitted by law).

c. **Contractors.** The School shall require that its contractors, if any, shall name CMO and the School as additional insured's under their respective commercial general liability and automobile liability insurance policies for personal injury and property damage.

d. Certificates. The Parties shall furnish one another certified copies of the insurance policies or Certificates of Insurance that demonstrate compliance with this Agreement. Each Party shall comply with any information or reporting requirements required by the other Party's insurer(s), to the extent reasonably practicable.

11. TERMINATION

a. Termination by School. The School may terminate this Agreement for cause prior to the end of the Term for any of the reasons set forth in subparagraphs (i) and (ii) below:

i. if CMO materially breaches any of the material terms and conditions of this Agreement and fails to remedy such breach within ninety (90) days after receipt of written notice of such breach from the School, unless such breach is incapable of being reasonably cured within ninety (90) days in which case this Agreement may be terminated if CMO fails to initiate and continue a cure for such breach within ninety (90) days after receipt of such written notice; or

ii. if there occurs an enactment, repeal, promulgation or withdrawal of any federal, State, or local law, regulation, or court or administrative decision or order which, after exhausting all possible appeals, results in a final judgment or finding that this Agreement or the operation of the School in conformity with this Agreement, would violate the School's responsibilities, duties or obligations under the State or federal constitutions, statutes, laws, rules or regulations.

b. Termination by CMO. CMO may terminate this Agreement for any of the reasons set forth in subparagraphs (i), (ii), (iii) or (iv) below:

i. If the School materially breaches any of the material provisions of this Agreement and fails to remedy such breach within ninety (90) days after receipt of written notice of such breach from CMO, unless such breach is incapable of being cured within ninety (90) days in which case this Agreement may be terminated if the School fails to initiate and continue a cure for such breach within ninety (90) days after receipt of such written notice; or

ii. if there occurs an enactment, repeal, promulgation or withdrawal of any federal, state, or local law, regulation, or court or administrative decision or order which, after exhausting all possible appeals, results in a final judgment or finding that this Agreement or the operation of the School in conformity with this Agreement, would have a material adverse effect on CMO's ability

to provide Services to the School in accordance with its budget, this Agreement or the CMO School Model; or

iii. The School refuses or willfully fails to follow any material direction of CMO related to the implementation of CMO's Services contemplated by this Agreement; or

iv. The Authorizer revokes the School's authority to operate.

c. Termination Upon Agreement of the Parties. This Agreement may be terminated upon written agreement of the Parties; provided, however, that each Party shall use its good faith best efforts to avoid a termination of this Agreement that becomes effective during the school year because of the disruption of such termination to the educational program and the students. Therefore, in the event this Agreement is terminated by either Party prior to the end of the Term, absent unusual circumstances and other than pursuant to Sections 11(a)(ii), 11(b)(ii) or 11(b)(iv), the termination will not become effective until the end of the school year.

d. Procedures upon Expiration or Termination. Upon expiration or termination of this Agreement for any reason, the Parties agree to cooperate in good faith and use their best efforts to complete a prompt and orderly separation, it being the intention of both Parties that the School shall remain open and operating in its normal course in the event of such expiration or termination of this Agreement, in accordance with the following rights and obligations of the Parties:

i. CMO shall pay to the School any outstanding money raised specifically for the School that CMO owes to the School pursuant to Section 5(a)(iii)(7).

ii. The School shall have the right to use CMO's Proprietary Works and other intellectual property, as described under Sections 7 and 8 hereof, then currently in use by the School (including but not limited to the Trademarks), until the last day of the then current school year.

iii. CMO shall provide the Board with originals and copies of all student records, financial reports, employee records, and other School data in CMO's possession and not currently in the possession by the Board.

iv. CMO shall provide the School with reasonable educational and operational transition assistance for a period of sixty (60) days after the termination of this Agreement, provided that the School shall pay to CMO all fees, expenses and other costs of CMO consultants and agents who may, from time to time, upon mutual agreement of the parties, provide assistance to the School or its students.

v. In the event that this Agreement is terminated or not renewed at a time when CMO has loaned funds to the School, guaranteed any debt or other financial obligation of the School, or provided credit support, whether in the form of a letter of credit or otherwise, to the School, notwithstanding any other provision of this Agreement to the contrary, such termination shall be effective and the School shall remain liable to CMO until the first date on which such loan and such interest has been repaid in full, such guarantee has been released by the beneficiary thereof, or such letter of credit or other credit support has been released and/or returned to CMO, all in accordance with the term therein.

12. Dispute Resolution. As a condition precedent to any other legal recourse (unless such legal recourse seeks injunctive relief), the resolution of disputes that arise under this Agreement shall be submitted to mediation. An initial meeting to resolve the dispute shall be conducted by the parties at a meeting to be held at the School's offices within fourteen (14) working days of a written request, which request shall specify in reasonable detail the nature of the dispute to be resolved at such meeting. The meeting shall be attended by representatives of the Parties and any other person that may be affected in any material respect by the resolution of such disputes. Such representatives shall have authority to settle the dispute and shall attempt in good faith to resolve the dispute. Should the parties be unable to informally resolve a dispute, the Parties agree, subject to Section 13(p), to submit any dispute to the American Arbitration Association (the "AAA"), to take place in New York, New York, to be adjudicated in accordance with AAA's expedited procedures, if the dispute is of such nature and/or amount that is permissible under such expedited procedures.

13. MISCELLANEOUS PROVISIONS

a. Independent Contractor Status. The Parties to this Agreement intend that the relationship between them created by this Agreement is that of an independent contractor, and not employer-employee. No agent, employee, or servant of CMO shall be deemed to be the employee, agent or servant of the School except as expressly acknowledged in writing by CMO.

b. Force Majeure. Neither Party shall be liable if the performance of any part or all of this contract is prevented, delayed, hindered or otherwise made impracticable or impossible by reason of any strike, flood, riot, fire, explosion, war, act of God, sabotage, accident, failure of communications systems (electronic or otherwise) or any other casualty or cause beyond either Party's control, and which cannot be overcome by reasonable diligence and without unusual expense.

c. Notices. All communications and notices relating to this Agreement are to be delivered in writing, with confirmation of delivery, to the following address or to such other address as either Party may designate from time to time.

i. If to the School, to:

ii. If to CMO, to:

d. Governing Law. The rights and remedies of either Party under this Agreement shall be cumulative and in addition to any other rights given to either Party by law and the exercise of any rights or remedy shall not impair either Party's right to any other remedy. This Agreement shall be governed by and construed and enforced in accordance with the internal laws of the State of New York.

e. Enforceability and Validity of Certain Provisions. If any provisions of this Agreement shall be held, or deemed to be, or shall, in fact, be inoperative or unenforceable as applied in any particular situation, such circumstances shall not have the effect of rendering any other provisions herein contained invalid, inoperative, or unenforceable to any extent whatsoever. The invalidity of any one or more phrases, sentences, clauses, or paragraphs herein contained shall not affect the remaining portions of this Agreement or any part hereof.

f. Section Headings. The headings in this Agreement are for the convenience of the parties only, and shall have no effect on the construction or interpretation of this Agreement and are not part of this Agreement.

g. Conflict with Charter. To the extent there are any conflicts between the terms of the Charter and the terms of this Agreement, the terms of the Charter shall control.

h. Entire Agreement. This Agreement shall not be changed, modified, or amended nor shall a waiver of its terms or conditions be deemed effective except by writing signed by both Parties and then subject to approval of the Authorizer in accordance with the Charter Agreement. This Agreement constitutes the entire agreement between the Parties with respect to the subject matter hereof and supersedes all other prior agreement, understandings, statements, representations, and warranties, oral or written, express or implied, between the parties hereto and their respective affiliates, representatives, and agents in respect of the subject matter hereof.

i. Waiver. The failure of either Party hereto to insist upon or to enforce its rights shall not constitute a waiver thereof, and nothing shall constitute a waiver of such Party's

right to insist upon strict compliance with the provisions hereof. No delay in exercising any right, power, or remedy created hereunder shall operate as a waiver thereof, nor shall any single or partial exercise of any right, power, or remedy by any such Party preclude any other or further exercise thereof or the exercise of any other right, power, or remedy. No waiver by any Party hereto to any breach of or default in any term or condition of this Agreement shall constitute a waiver of or assent to any succeeding breach of or default in the same or any other term or condition hereof.

j. Succession. The covenants and agreements contained herein shall be binding upon, and inure to the benefit of, the heirs, legal representatives, successors, and permitted assigns of the respective parties hereto.

k. Assignment. This Agreement may not be assigned by either Party without the prior written consent of the other Party. Both Parties acknowledge that an assignment of this Agreement by either Party may constitute a material change to the Charter and may require approval by the Authorizer pursuant to the Charter and the Act.

l. Form of Execution. This Agreement may be executed by facsimile and in any number of counterparts, each of which shall be an original, but all of which shall together constitute one and the same instrument.

m. Further Actions. Each Party hereto shall, at all times, cooperate in taking such actions and doing or causing to be done all things necessary, proper, or advisable or reasonably requested by the other Party hereto effect the intent and purpose of this Agreement and implement the transactions contemplated hereby.

n. Survival. The provisions of Sections 6, 7, 8, 9 and this Section 12, and any other sections or exhibits to this Agreement that by their nature extend beyond the expiration or termination of this Agreement shall survive any expiration or termination of this Agreement; *provided* that any provisions that is stated to extend for a specific period of time shall survive only for such specified period of time.

o. Confidentiality**.** The School shall treat the terms of this Agreement confidentially and shall not disclose the terms hereof to any third party other than as required by applicable federal and State law including the New York Freedom of Information Law ("FOIL") and by the Authorizer. To the extent that the School wishes to voluntarily disclose this Agreement to an educational consultant, academic or university, the School agrees to require such consultant to execute a non-disclosure agreement in a form acceptable to CMO. Notwithstanding the above, the School agrees not to voluntarily provide a copy of this Agreement to any board of trustees' member or prospective board of directors member of any existing or prospective

charter school except as required by law. A response to a FOIL request shall not be considered voluntary hereunder.

p. Specific Performance. In addition to all of the remedies otherwise available to CMO, including, but not limited to, recovery of damages and reasonable attorneys' fees (if awarded by a court or arbitrator) incurred in the enforcement of Articles 7 and 8, CMO shall have the right to injunctive relief to restrain and enjoin any actual or threatened breach of the provisions of Article 7 or 8 of this Section. All of CMO's remedies for breach of Articles 7 and 8 shall be cumulative and the pursuit of one remedy shall not be deemed to exclude any other remedies. The School acknowledges and agrees that CMO's rights under Articles 7 and 8 are special and unique and that CMO would not adequately be compensated by money damages if the event of a violation of Articles 7 or 8 by the School.

In witness whereof, the Parties have caused this Agreement to be signed and delivered by their duly authorized representatives.

THE CENTER FOR EDUCATIONAL INNOVATION

By: _____
Name:
Title: Board Chair
Date:

ROCHESTER CAREER AND TECHNICAL EDUCATION PUBLIC CHARTER SCHOOL

By: _____
Name:
Title: Board Chair
Date:

Attachment 6c: Management Organization Business Plan

A. Comprehensive Management Organization Information

1. **Name of the Comprehensive Management Organization:**
   Center for Educational Innovation

2. **Role of the Comprehensive Management Organization:**
   Service provider and partner to public schools: district and charter

3. **State of incorporation**: NY

4. **State(s) in which the Comprehensive Management Organization(s) operates**:
   NY, CT, MD, PR

5. **Year founded:** 1989

6. **The contact's name, address, phone number, and email address for each member of the Comprehensive Management Organization leadership team:**

Michael Kohlhagen, Chief Executive Officer, (347) 931-4896, mk1@the-cei.org
Virginia Connelly, Executive Director of School Transformation, (914) 512-1102, vconnelly@the-cei.org
Karen Fahy, Executive Director of School Transformation Rochester, kfahy@the-cei.org
Victor Isayev, Chief Financial Officer, (917) 796-9532, visayev@the-cei.org
Paul Loboen, Chief Technology Officer, (914) 233-7602, ploboen@the-cei.org
Alexandra Leff, Executive Director of Arts Education, (917) 837-4488, aleff@the-cei.org
Stephanie Mauterstock, Executive Director of Charter Schools, (917) 686-9416, smauterstock@the-cei.org
Anthony Orzo, Executive Director of Field Services, (646) 634-1272, aorzo@the-cei.org

Address:
Center for Educational Innovation
369 Lexington Ave Fl 303
New York, NY 10017

B. Comprehensive Management Organization History and Growth Plan

1. **Describe the Comprehensive Management Organization's mission, strategic vision, and desired impact.**

Mission: With a focus on equity and innovation, CEI works directly with school leaders, teachers, students, and families to create high-performing schools in under-resourced communities to help children succeed.

Strategic Vision: CEI believes the school should be the center and driving force of public education, innovation, and reform. Every child deserves a quality education.

Core Beliefs

- *School is the driving force and the center of change*. To create a culture for success and improve student performance, the school must be the driving force and the center for change. The school can determine a student's success or failure.
- *Developing innovative and rigorous learning environments that meet the needs of all students in their community*. Now more than ever, we need innovative and replicable models to provide students - especially those at risk - with the best possible learning environments to prepare them for success in college, the workplace, and adult life. CEI is dedicated to providing culturally relevant, innovative, and rigorous learning environments that prepare students to be college-and-career ready in our ever-evolving society.
- *Providing job-embedded coaching and mentoring to build the capacity of teachers and administrators*. Teachers, school leaders, and administrators are responsible for creating climate and conditions supportive of teaching and continuous improvement. It's our goal to strengthen education organizations and instructional leadership through job-embedded coaching and mentoring. This includes establishing a vision for excellence, building trust, and providing teachers with coherent instructional guidance and time to collaborate with colleagues and improving teaching practice. CEI job-embedded coaching and mentoring builds capacity and engages key stakeholder groups to value collaboration; provide opportunities for all voices to be heard; elevate professional practice in all areas and build a meaningful and inclusive school culture in which all members feel valued and respected.
- *Building professional learning communities with teachers, administrators, and teams to strengthen instructional practice and improve outcomes for students*. CEI believes that when educators collaborate within a school, overall curriculum and instruction is improved, as well as the school climate. To this end, we establish and grow professional learning communities (PLCs). PLCs are groups of educators who meet to collectively improve student learning and achievement. PLCs engage in a continuous cycle of collaborative inquiry questioning based on classroom practices in an effort to build a shared knowledge as professionals. The implementation of PLCs have been very successful. Teachers and school leaders in PLCs often cited this work as particularly transformative for their ability to use data to improve teaching and learning.
- *Creating strong and strategic partnerships with schools, families, and communities to transform education*. We believe that student outcomes will not improve without building the capacity of the adults who work with them. Therefore, it's our goal to promote stronger connections between the schools and their communities and to ensure that the people operating within systems have access, resources, and ability to support student learning. To prepare students for lifelong success, we strive to promote stronger connections between K-12, higher education, and employment opportunities for all students.

Theory of Action and Desired Impact

If *we engage in continuous improvement….* "To get better at getting better", CEI is committed to the practice of Continuous Improvement (CI) to improve the lives of our students, families, and educators. The path to practicing continuous quality improvement starts with a clear vision and an understanding of how our programs work. The CI Framework begins with the senior leadership and board prioritizing and embedding it within the program's culture. The CI Framework also offers opportunities for ongoing learning and improvement so that services are better delivered and more effective. Our approach will enable CEI to:

- Define intended results and the path to achieve them.
- Use the best available evidence of what works.
- Understand the barriers that hinder progress.
- Use data in real time to decide what actions to take.

If *we focus on equity, diversity, and inclusion in our core practices…* Our organization is committed to equity and advancing racial justice in all areas of civic and community life. The racial and ethnic disparities that persist in education and other sectors make clear that systemic racism continues to deny access to opportunity and undermine the well-being of communities of color.

- *Equitable access to all participants*: CEI is committed to becoming an organization that disrupts racial inequities and transforms educational outcomes for underserved students in New York and beyond. We believe in meeting the community where it is and helping community members overcome barriers and dismantling inequities within the public systems. We respect the voices, perspectives, and expertise of our partners and proactively seek partnerships with organizations that share our vision of equity. Enrollment in our program is open to all students. Health and fitness activities in our programs are adapted for special needs students. CEI has bilingual Spanish-English staff to respond to a growing population of Hispanic students and families in our communities. We also mainstream special needs and ELL students, providing all activities with adaptations where necessary and lower student-to-staff ratios to maintain a high quality for all.
- *DEI in our core practices:* CEI values diversity and we take pride in creating activities, procedures, and staffing to produce the best outcomes for those who participate in our programs. Our organization is made up of a diverse group of staff members to ensure and we work together to ensure policies and procedures within our organization are culturally sensitive and inclusive.

If *we develop innovative model K-12 schools that meet the needs of students, community, and industry…* CEI is committed to developing an innovative K-12 school model that drives innovation into our community to help make life easier for schools, industry and families. Innovation is more than deploying cutting-edge educational technology, it is learning in real-world environments, collaboration with the community, and innovative strategies and methods in the classroom. Our innovative school model aims to:

- Students are put at the center of their learning;
- Students are empowered to be co-creators of their school experience;
- Teachers are dedicated in personalized learning experiences and meeting individual student needs; and,
- Students and teachers are given the resources they need to achieve.

If *we build strong and strategic partnerships with all stakeholders to support student success…* We strive to build strong partnerships with schools, teachers, community members, and families. Our staff actively cultivates relationships with stakeholders by engaging, encouraging participation, and keeping everyone informed and involved. Doing so helped ensure the school leadership and community members become advocates and champions of our mission and programs. We believe in meeting the community where it is. We respect the voices, perspectives,

and expertise of our partners and proactively seek partnerships with organizations that share our vision.

If *we provide schools with innovative professional services, mentoring, and coaching anchored in research and best practices…* The CEI program is focused on building capacity for sustainable results and creating the necessary school-based conditions for success. We believe that the knowledge, skills, and dispositions required for success today call for a vastly different set of learning experiences than those in the past. To be successful, students must play a more active role in their own learning. Attention to inclusiveness in the classroom, differentiation in teaching and learning, and universal high expectations is required for the success of all children. It's our responsibility to help schools to reimagine the systems that shape student learning and elevate the communities in the process. CEI job-embedded coaching and mentoring builds capacity and engages key stakeholder groups to value collaboration; provide opportunities for all voices to be heard; elevate professional practice in all areas and build a meaningful and inclusive school culture in which all members feel valued and respected. CEI programs are designed and guided by evidence-based research and practices. To ensure that our programs are implemented in a well-coordinated manner and focused on results, we've embedded best practices from reputable research from the Wallace Foundation- the School Turnaround Field Guide, Carnegie Foundation's core principles of improvement, and WestEd's four domains for rapid school improvement.

Then *CEI* will continued to be recognized as a driving force in public education, innovation, and reform in NYS.

2. **Provide a brief overview of the organization's history. List all charter revocations or surrenders, bankruptcies, school closures, non-renewals, or shortened or conditional renewals for any of the schools operated by the organization and provide explanations. Explain any performance deficits or compliance violations that have led to formal authorizer intervention with any school operated by the organization. Provide details as to how such deficiencies were resolved.**

History: CEI, established in 1989, is a New York City-based non-profit education organization and a recognized leader in capacity building, youth, and education programs. CEI was founded to advance quality public education in communities across the United States, with the goal of making a difference in the lives of students. We recognize the critical link between well-prepared, equity-driven school leaders and student achievement. In working with schools to close the achievement gap and improve outcomes for students with disabilities, students who are Black, Latino, English language learners, and those who are economically disadvantaged, we strive to create learning environments where students' talents and abilities are nurtured.

Our track record of working with Focus Districts positions us to customize our professional development curriculum and deploy a diverse and qualified staff to meet the unique needs of teachers, students and families and promote equitable access to high-quality education. CEI's experience working with school leaders and school districts covers a wide spectrum, from inexperienced to developing to exemplary. For three decades, CEI has provided customized support to schools and life-changing educational programs for students in low-income

communities. CEI helps school leaders build the capacity of teachers, leaders, administrators, and parents to improve student engagement, school climate, and student achievement. Our enrichment programs prepare students to compete in the 21st century and help them achieve educational equity.

CEI's existing core competencies and offerings have been (1) Whole school turnaround for schools in need of improvement, (2) Capacity building for teachers, leaders, administrators, and parents to improve student engagement, school climate, and student achievement; and (3) Direct enrichment programs for students. CEI was selected to serve as a Partnership Support Organization (PSO) from 2007 to 2014. In this capacity, we supported more than 200 public schools in New York City through a contract with the New York City Department of Education. We provided the full range of support services needed to help schools make continuous improvements, including:

- Development of a detailed School Improvement Plan (SIP).
- Identification of specific areas of professional development / technical assistance needed to achieve the growth objectives included in the SIP.
- Providing long-term integrated professional development in the areas identified in the SIP.
- Conducting regular teacher observations and exchange of that data with teacher leaders and teachers in order to monitor and advance professional practice improvement.
- Supporting instruction to improve achievement for subgroups of high need students, including English Language Learners (ELL) and students with disabilities (SWD).
- Motivating principals to assist their focus on educational leadership administrative tasks for the school's support staff as a means to maintain the SIP beyond the assigned administrative PSO.

CEI has been recognized for its work as provider of high-quality and innovative wraparound services for youth attending New York public schools under its 20-year-old enrichment program Project BOOST (Building Options and Opportunities for Students) funded by the New York City Council Speaker's Initiative under College and Career Readiness, foundation grants, philanthropic giving and CEI's Annual Gala.

Additionally, CEI has been entrusted as the lead CBO of two New York City Department of Education (NYCDOE) Community Schools: J.H.S. 80 The Mosholu Park Middle School and P.S.206 The Jose Celso Barbosa elementary school under contract with the New York City Department of Education Office of Community Schools. As the lead CBO, CEI has been tasked with implementing the community school strategy and coordinating all wraparound services for both community schools, including coordination of all health-related services.

Since its creation, CEI has served 1.2 million students in New York's public schools. Additionally, CEI has served thousands of teachers and school leaders through its vast menu of leadership and teacher development and awarded multi-year contracts with NYCDOE in the areas of teacher and school leader professional development as well as whole school reform.

Charter revocations or surrenders, bankruptcies, school closures, non-renewals, or shortened or conditional renewals; performance deficits or compliance violations that have led to formal

authorizer intervention: CEI ***has not*** served as a management organization to a charter school when it has experienced any of these interventions.

3. **List and describe all schools currently operated by the Comprehensive Management Organization.**

Summit Academy Charter School: Summit Academy Charter School in Red Hook Brooklyn bridges the gap between aspirations and reality by preparing 6-12 grade students to gain acceptance to, excel in, and graduate from college by using three pillars of success: mastery of core subjects, character building, and community leadership. By engaging students in an academically rigorous, college-preparatory curriculum, competitive athletics program, and comprehensive fine arts academy, Summit Academy Charter School will prepare our young people to participate meaningfully in the greater economy and expand their choices and opportunities. Summit Academy Charter School opened in fall 2008, is authorized by the NYCDOE and has partnered with CEI since July 2019.

Collegiate Academy of Mathematics and Personal Awareness Charter School (CAMPA Charter School): CAMPA Charter School is a 6-8 grade school in East New York, Brooklyn will ensure that our students achieve academic success and engage in practices that lead to self-confidence and physical and mental health. Our students will not only leave CAMPA Charter School with a command of the skills necessary to perform at a high level in high school and college but will also develop the social tools required to thrive in our ever-changing global society. CAMPA Charter School opened in fall 2014, is authorized by NYSED and has partnered with CEI since March 2020.

4. **List and describe all future schools the Comprehensive Management Organization plans to operate (excluding the school described in the current RFP application).**

In partnership with experienced, local Boards of Trustees that share our commitment to diversity, equity, inclusivity and justice, over the next five years, CEI seeks to serve as the comprehensive management organization to launch ***up to two additional Career and Technical Education charter schools*** for students at-risk of academic success, using the same comprehensive school design proposed for RCTECS, ***opening Fall 2024, 2025 or 2026 in central or upstate NY***.

5. **Describe the Comprehensive Management Organization's five-year growth plan for developing new schools in New York and other states.**

CEI's five year growth plan for developing new charter schools includes:

- Opening fall 2023, Rochester, NY: RCTECS
- Opening fall 2024, central or upstate, NY
- Opening fall 2025 or fall 2026, central or upstate, NY

6. **Provide a rationale for the proposed five-year growth plan; for example, how the organization determined the appropriate pace and scope of the proposed growth and why the organization is well-positioned to implement the growth plan.**

CEI has a proven track record. Our team includes experts in school turnaround, school transformation, human capital, serving English language learners, serving students with

disabilities, and other specialists. Our team is diverse, experienced, innovative and passionate about serving public school students- be they in traditional public schools or charter schools.

A. *CEI supports and empowers teachers by transforming professional learning environments.*

CEI works with school leadership to identify the key components of Professional Learning Communities as well as the key features of "design teams" within a school. CEI's approach to leadership and sustainability centers on the belief that leadership teams must be open to honest and supportive critique if they are to thrive. As such, CEI facilitates discussion and interactive sessions on active listening, interpretive listening, and the principles of effective decision making in our professional development courses. Further, CEI devotes learning time to change management by facilitating discussions and activities that present change as a multi-stage emotional process and the importance of emotional intelligence in successful initiative implementation. CEI has worked closely with NYU Metro Center and SRI International to establish and grow professional learning communities (PLCs) in both district and charter schools. PLCs are groups of educators who meet to collectively improve student learning and achievement. PLCs have been by far one of the most successful aspects of CEI's work, and both teachers and school leaders cite this work as particularly transformative for their ability to lead in the classroom and school levels. Findings from an external evaluation demonstrate this value:

- 100% reported that their participation in PLCs helped improve teaching practices.
- 92% of teachers reported that CEI's PLC protocols helped to improve the process.
- After five years of ongoing professional development and technical assistance, participants unanimously reported that they benefited greatly as being more skilled, knowledgeable, and prepared.
- Many school leaders attributed a positive shift in the culture of their school, recognizing a more collaborative, cohesive, and focused school culture spurred on by the schools' work with PLCs.

B. *CEI supports and empowers school leaders with the skills and tools to lead exceptional instructional communities.*

CEI works with school leaders to establish and maintain Professional Learning Communities (PLCs) that are focused on finding solutions to learner-centered problems along with the pedagogical practices that best address them. CEI's professional development courses cover curriculum, instruction, evaluation, and building a collaborative school culture. We help school leaders develop strategies for building authentic student voice and engagement, knowing that student ownership of their own learning is a key driver for achievement. School leaders develop their skills around analysis of standards to determine which are "anchor standards" and why; develop rubrics or checklists based on learning progressions; and analyze grading policies to determine how and under what conditions they promote learning. Additionally, CEI works with school leaders to develop "data literacy", strategies for formative and diagnostic assessment, and the ability to determine best practices that align with how the brain learns, retains and applies/transfers concepts and skills. CEI helps school leaders develop their teachable point of view (TPOV) and identify the components of an effective "design" team as well as its intersection with intellectual collaboration.

CEI works with new and current school leaders to identify areas of instructional, systems, and interpersonal development. For example, CEI's professional development services help school leaders identify the potential for inequitable systems within a school; and develop their ability to "manage up" within an educational hierarchy. Equity and culturally responsive leadership will be at the forefront of principal and aspiring leader training. CEI also works with school leaders to develop the skill of asking authentic and effective clarifying and probing questions. Further, CEI helps new and experienced school leaders engage in self-reflection and identification of their areas of implicit bias.

C. The above strategies dramatically increase student achievement.

For example, from 2007 to 2018, CEI served 31 independent public charter schools that serve a high-need student population in New York and New Jersey, funded by the United States Department of Education Teacher Incentive Fund (TIF). Partnership for Innovation and Collaboration for Charter Schools (PICCS) was an evidence-based, continuously-refined approach; the 31 schools that started PICCS in 2007 have demonstrated significant long-term positive impact on student outcomes and closing achievement gaps. Each school participated as part of a cohort in a five-year school transformation program. With CEI's support, schools implemented innovative human capital management systems that help educators and school leaders become highly effective professionals capable of offering personalized educational programs that result in continued student growth. Key PICCS activities included:

- Rigorous evaluations of teachers and school leaders using multiple measures of effectiveness, including student outcomes and professional practices
- Formative assessments to monitor student progress and guide curricular and instructional practices, collaborative and action-oriented
- Professional learning communities among teachers
- Observation and feedback on conducting instructional rounds for school leaders
- Implementation of distributive leadership practices

An independent evaluation found that these initiatives in concert "facilitated a greater focus on and documentation of effective teaching, increased collaboration amongst staff, and an intensified use of data to inform and drive instruction. Teachers were working together more to develop shared understandings or curricula, instruction, and assessment. Ultimately, students reaped the benefits …". Those schools with higher levels of fidelity in implementation of the CEI model achieved larger gains in student achievement (approximately 3 times greater increases in student proficiency rates in ELA and math than their peer schools with lower levels of fidelity in implementation).

D. CEI also has a long track record of experience we are bringing to the development of our Career and Technical Education school design.

Project BOOST, (Building Options and Opportunities for Students), is CEI's signature enrichment program that helps students gain the skills necessary for long-term growth and success. Academic support includes interactive, hands-on STEAM instruction, coding and robotics, Esports, arts and theater, academic goal setting, and college visits. CEI first launched Project BOOST in 2002 as an after-school enrichment program targeted to students in grades 4-8 with the broad intention of helping "boost" academic outcomes for students in under-funded schools and/or disadvantaged neighborhoods. In 2007, we began offering an integrated school-

day and after-school version of Project BOOST, ultimately growing it into one of CEI's most prominent programs. By 2018, Project BOOST was in operation at 20 schools serving 600 students. The goals of Project BOOST are student and community engagement, reducing chronic absenteeism, and helping students master their academic challenges while building new habits necessary to thrive and succeed in school and beyond. This is achieved through CEI's coaching model for students which goes above and beyond traditional tutoring and homework help. CEI employed a proprietary curriculum that is culturally responsive, innovative and reflects the values of CEI including our anti-racist principles.

CEI is well positioned for growth. We have grown our team of experts in advance of launching new schools to reflect our commitment to CTE and charter school development. See the biographies in ***Attachment 6a*** below for CEI's Executive Director of Charter Schools and CEI's Director Career & Technical Education. These new staff members are already hard at work and demonstrating their commitment to Career and Technical Education and innovation through the following:

- One of CEI's contract schools includes the Charter School for Educational Excellence (CSEE) in Yonkers, NY. CEI has been partnering with CSEE on the development of their Career and Technical pathways as they complete their high school grades curriculum.
- CEI is developing and Summit Academy Charter School will launch an Innovation Center in fall 2022. The Innovation Center planned for Summit Academy Charter School will follow the same blueprint as described throughout the RCTECS application.

Additionally, we have built local teams who are embedded in their communities, have worked across charter and traditional public schools in a variety of leadership capacities and have demonstrated effectiveness at bringing together diverse stakeholders to lead the initiative of opening new schools. See the biographies in ***Attachment 6a*** for CEI Rochester's team who will launch RCTECS with the applicant group. See ***I.C.3*** and ***6*** and ***I.I.*** for a summary of conversations and evidence of CEI's commitment to building diverse coalitions to transform the Rochester community beyond those served by the students and families that RCTECS will serve. See ***Attachment 2c*** for letters of support.

7. **Specifically identify the key risks associated with this growth plan and describe the steps the organization is taking to mitigate these risks. Respondents should demonstrate an understanding of the challenges of replication in general and as they relate specifically to their organization's growth plans. The response should detail specific risks and explain how the organization will minimize the impact of each of these risks, and ideally provide contingency plans for them.**

Risk: Inability to secure facilities/facilities financing
Mitigation Strategy:

- We will build a locally rooted team in the community in advance of growth, as we have done in Rochester with RCTECS. CEI staff, in partnership with local boards, will work together to identify facilities in advance of "green-lighting" a school's opening.
- CEI is committed to building schools that are financially sustainable on public revenue. For this reason, CEI works with applicant groups to keep its management fee below market rate for comprehensive management providers in New York State to that schools can build the

fiscal reserves to invest in a future facility as schools get to scale. See ***Attachment 9***. With a commitment to transparency, we commit to reviewing our management fee with local Boards as schools grow and we work together to manage resources and priorities. See ***Attachment 6b.***

Risk: The need to curtail expansion if student performance is ambiguous or drops.
Mitigation Strategy:

- We will closely monitor student achievement on interim assessments with local Boards and school leaders and course correct or offer additional supports through our local teams in real time.
- CEI does not have and will not seek any funding streams that commit us to growing at a particular pace and our history of supporting independent, community based schools that do not have resources beyond public funding, is evidence of our demonstrated commitment to student achievement.
- In the same way that CEI will work with local boards to develop a "green-lighting" dashboard to determine whether a school is ready to open, CEI will develop its own "green-lighting" dashboard to determine whether CEI is prepared to submit another application to open a charter school or build a local team in a new community.

8. Discuss lessons learned during any past replication efforts. For example, identify challenges encountered and how the organization addressed them, as well as how the organization would minimize such challenges for the proposed schools.

N/A. CEI has never opened a new charter school as a comprehensive management organization.

9. List any schools that were previously approved by this or another authorizer, but which failed to open or did not open on time and explain the reasons for the failure or delay.

N/A. CEI has never applied for a new charter school as a comprehensive management organization.

10. Complete the following table to delineate decision-making responsibilities between the school and organization as they relate to key functions:

The table below sets forth key decision rights between the CEI and the School, or the authority the board and authority it will delegate to the leadership of the school. In highly culture-driven organizations it is tempting to say many key decisions are collaborative. Though many decisions will be arrived at collaboratively, in alignment to NYSED's charter amendment guidelines for requesting material and non-material changes, the following decisions will be held by the CEI or a school's board. Below we use the RAPID decision rights framework:

- R = Recommend - Makes proposals, consults with input providers, provides data & analysis that inform decision
- A = Agree - Negotiates modifications with Recommender if they have concerns, exercises veto power if necessary
- P = Perform - Executes decisions once made, ensures actions are prompt & effective

- I = Input - Provides relevant information to the Recommender to inform feasibility, sustainability, and practicality
- D = Decide - Ultimate point of accountability, closes the decision-making process, commits the organization to a decision

Function	Network/ Management Organization Decision- Making	School Decision-Making
Performance Goals	D	
Curriculum	D	R/P/I
Professional Development	D	R/P/I
Data Management and Interim Assessments	D	R/P/I
Promotion Criteria	R	D/P/I
Culture	R	D/P/I
Budgeting, Finance, and Accounting	D/ P	R/I
Student Recruitment	P	P
School Staff Recruitment and Hiring	D/R/P (for Principal) R/ P	D (for staff)
H/R Services	P	I
Development/Fundraising	P	I
Community Relations	R	D/P
Information Technology	D/ P	R/I
Facilities Management	R/P	D/P/I
Vendor Management/Procurement	D/ P	R/I
Other operational services, if applicable		

C. Performance of Existing Schools:

1. **Provide an overview of prior performance across all schools ever operated by the Comprehensive Management Organization, including closed schools and schools that moved away from the organization.**

Current charter schools: As noted in ***Attachment 6a***, Summit Academy Charter School has partnered with CEI since July 2019 and CAMPA Charter School has partnered with CEI since March 2020. CEI began contracts with both Summit Academy Charter School and CAMPA Charter School as part of their charter renewal process and a request by their charter authorizers that the schools' partner with an existing, high performing educational service provider to increase student achievement (in the case of both Summit Academy Charter School and CAMPA Charter School) and increase financial performance, management and health (in the case of CAMPA Charter School). NYS assessments have not been administered and publicly reported on since 2018-19. The spring 2019 NYS assessment scores pre-date CEI's work with both Summit Academy Charter School and CAMPA Charter School, therefore, academic performance data is not provided here.

Former charter schools: The most challenging situation CEI's charter portfolio has faced is the end of our partnership with Urban Choice Charter School (UCCS) in Rochester. CEI found that while we were performing above and beyond the scope of work in our MOU, the school leader and board lacked the willingness to implement our recommendations. Following consultation with leadership at NYSED, CEI provided UCCS with a set of recommendations for improvement to our partnership, and our formal communication did come with a notice of termination of the partnership if the improvements were not made. UCCS chose not to continue our partnership and the partnership ended in February 2022. Similar to above, the spring 2019 NYS assessment scores pre-date the period of time of CEI's partnership with UCCS.

Some of the lessons learned from this partnership that CEI is bringing forward into future initiatives are the following:

- UCCS was required to assume an education/ institutional partner as a requirement of renewal by NYSED. (NYSED has ceased this practice due to its ineffectiveness at improving school performance on its benchmarks.)
- CEI has developed a needs assessment tool to determine whether mutual success can be achieved before entering into an MOU, including: What do we need to know about their willingness at different organizational levels (board, leader, staff) and in varying capacities (instruction, data, financial, enrollment, etc.) to implement CEI's recommendations; Is there sufficient time to make the improvements CEI recommends.
- CEI point persons need to be local or transitioned to local leaders within a determined time frame.
- Engrained governance and school leadership practices can be difficult to change. Coupled with governance training, a speedier board member recruitment, onboarding and offboarding process, and the willingness to do so if CEI recommends, is needed to ensure the board is committed to the success of the partnership.

2. Discuss if all charter schools currently being operated meet or exceed all the Framework's standards paying special attention to Benchmark 1 and Benchmark 9. If these standards are not being met discuss why and what strategies are being implemented to address these deficiencies.

CAMPA Charter School (CAMPA) is authorized by NYSED and CEI is fluent in the Performance Framework and the benchmarks, having led governance training to and written renewal applications for CAMPA and other charter schools. CAMPA and CEI are proud of the school's demonstration of teaching and learning (Benchmark 2); culture, climate and family engagement (Benchmark 3); and mission and key design elements (Benchmark 8) which the school is confident will yield strong academic progress for CAMPA students in 2021-22 (Benchmark 1, evidence to be submitted to NYSED by October 3, 2022).

However, Benchmark 9 around enrollment, recruitment and retention of special populations and enrollment, in general, is a concern. CAMPA has had low enrollment since it opened. While enrollment has increased by 25% since CEI has been supporting CAMPA, it still hovers around 110 students, affecting the school's financial sustainability (Benchmarks 4, 5). In 2021-2022, CAMPA spent even greater amounts of time and efforts towards forming relationships and even partnerships with area elementary schools through its partnership with CEI. In particular, the school has expanded outreach through CEI's street recruitment efforts during summer 2022,

which uses teachers, who are outgoing and from the community who can relate to parents on a personal and direct level. Knowledgeable about CAMPA's program, CEI recruiters first meet with local principals and administrators to gain background knowledge of the school and then engage that school's parents in person before or after the school's summer rising program and at local parks. The recruitment teams focused on geographic areas that are in walking distance to the school to reduce the cost of bussing to the school. Additionally, to support enrollment in CAMPA's programs after recruitment leads are generated, the school increased the frequency of open houses to meet parent demand.

However, having heard from our community and stakeholders that the current facility affects recruitment and enrollment, and now that student achievement is actively making strong upward gains affecting parent demand to attend CAMPA, CEI and the Board are actively seeking a new facility for our students a facility that will allow the school to expand its educational program and contribute to fulfilling its key design elements and mission. Members of the school's leadership are actively pursuing multiple sites within the school's existing borough of Brooklyn, NY.

In order to establish an effective working relationship, CEI has hired staff dedicated to supporting CAMPA in all the areas outlined in the MOU between CAMPA and CEI. In May 2020, to support the routine business of the school, as well as financial management and compliance, CEI hired a dedicated finance and business operations member to work at CAMPA. In December 2021, CEI hired an Executive Director of Charter Schools who spends 25-50% of her time on CAMPA. The CEI Executive Director of Charter Schools has a long-standing professional relationship with the School prior to joining CEI, having written the school's initial charter application, first renewal application and applications for competitive grants. With the CEO of CEI also serving as a CAMPA Board member, these additional CEI staff dedicated to CAMPA have increased effectiveness of the working relationship between CAMPA and CEI by creating clear lines of duties and support. For example, the CEI Executive Director of Charter Schools works directly with the Board on governance training and best practices, including directly with the Chair and all of the committees, and reports out on CEI progress against CEI's work streams outlined in the MOU with the school on a monthly basis. Additionally, CEI provides ongoing training to the school's Board in governance, compliance and meeting the NYSED performance framework benchmarks. Training modules delivered by CEI to the Board align to the NYSED performance framework and benchmarks of growth for the School and Board. Alignment of CEI's work streams with the NYSED benchmarks has also established clarity around how CEI supports the school in meeting its priorities.

Outcomes achieved:
Benchmarks 4, 5 and 10: The Corrective Action Plan established with NYSED in 2019 (prior to CEI's engagement with the school) was remediated including establishing 100% adherence to financial policies and procedures and transfer of financial management reporting from the Finance Committee to CEI and school leadership. Additionally, with CEI's support, the school secured a $118K Summer BOOST grant that provides free summer school as a recruitment incentive and support to students. During summer 2022, this grant funded the Summer Bridge program that CAMPA runs every year and allowed the school to offer more seats to incoming students and offset planned expenses.

Benchmark 6: The board began to consistently practice clearly documenting the work of governance best practices, including the creation of pre-reads inclusive of committee meeting minutes and board meeting agendas which clearly laid out proposed voting items.

3. Select one or more of the consistently high-performing schools that the organization operates and discuss the school's academic performance.

Summit Academy Charter School is showing positive trends in academic performance and CEI and the school are hopeful that 2021-22, when it is released, will confirm this. CEI and the school attribute this to 1) swift board reconstitution when CEI's management contract was signed, and 2) a change in school leadership instituted by the board, with a new Principal who works in partnership with CEI to implement the recommendations and changes proposed at the school.

4. Select one or more of the organization's schools whose performance is relatively low or not satisfactory and discuss the school's academic performance and efforts to improve it.

The indicators of academic performance for CAMPA Charter School (positive) and UCCS (uncertain as the relationship has ended) are discussed above.

D. Market Analysis and Selection of Target Communities:

1. **Describe how the target communities in New York State were identified and selected as attractive markets to the Comprehensive Management Organization. If the existing portfolio does not include schools in New York, provide the rationale for entering New York.**

CEI utilized NYSED's district and school-specific data, U.S. Census data, and American Community Survey data to assess cities and communities that are home to populations of underserved students throughout NYS (and outside of New York City) where its Career and Technical Education model would potentially benefit communities.

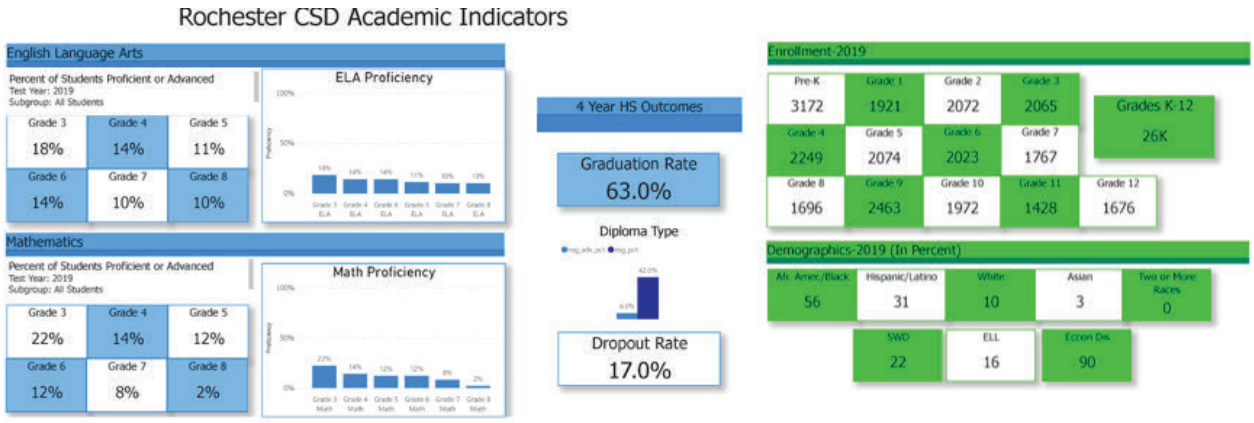
For example, from NYSED's publicly available data, Rochester grew to the top of CEI's list of potential location based on the following data:

- Rochester has a higher proportion of schools in receivership than Buffalo, Syracuse, or Yonkers.
- There are more high schools in receivership in Rochester than high schools in Buffalo, Syracuse, and Yonkers combined.
- From 2013-2019, the 4-year high school graduation rate for the Rochester City School District was below 65% each year. The 2018-2019 school year was the only year in that timeframe where the 4-year graduation rate exceeded 60%.
- Using the U.S. Census Bureau's American Community Survey data, RCTECS identified the zip codes and census tracts that were the predominant race was Black/African American or Hispanic/Latino and compared those areas with the zip codes in Rochester where the median household income is below $40,000.
- Using the 2018-2019 enrollment data, the 9th grade enrollment was more than 20% greater than the 8th grade and 10th grade enrollments, individually. This trend, consistent in other

years, indicates that RCSD students are not successfully progressing beyond their first year of high school.

Graduation Trends- Rochester

2020-2021	2019-2020	2018-2019 (Most recent Regents required)	2017-2018	2016-2017
71% Graduation Rate	68% Graduation Rate	63% Graduation Rate	57% Graduation Rate	53% Graduation Rate
15% Regents Adv.	10% Regents Adv.	6% Regents Adv.	5% Regents Adv.	5% Regents Adv.
11% Dropout	13% Dropout	17% Dropout	22% Dropout	24% Dropout
0 CTE Grad Pathway	0 CTE Grad Pathway	0 CTE Grad Pathway	26 CTE Grad Pathway (2%)	9 CTE Grad Pathway(1%)



CEI then engaged global information systems mapping tools to further identify communities in need.

Please note: data shown below constitutes only the analysis for Rochester, NY, where this Business Plan is a supplement to the application to establish RCTECS.

Rochester GIS census mapping of ethnicity in relation to the location of public schools

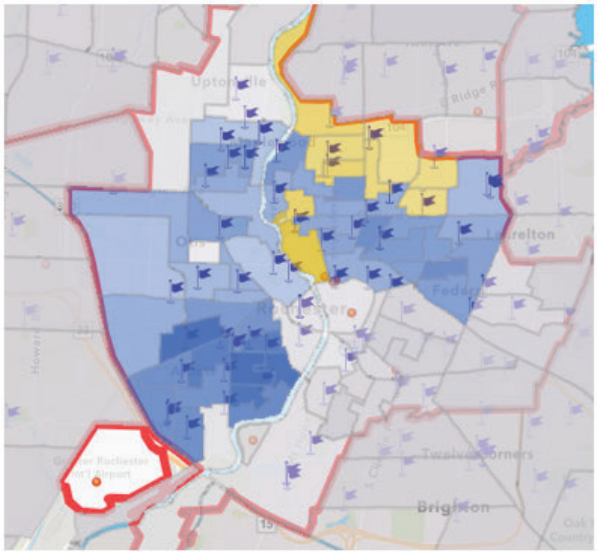
Rochester

The Black or African American population makes up the strong majority of the census tracts in the south west portion of the city.

Some of the northern census tracts shaded yellow are the only census tracts where the Hispanic or Latino population surpasses 1,000 individuals.

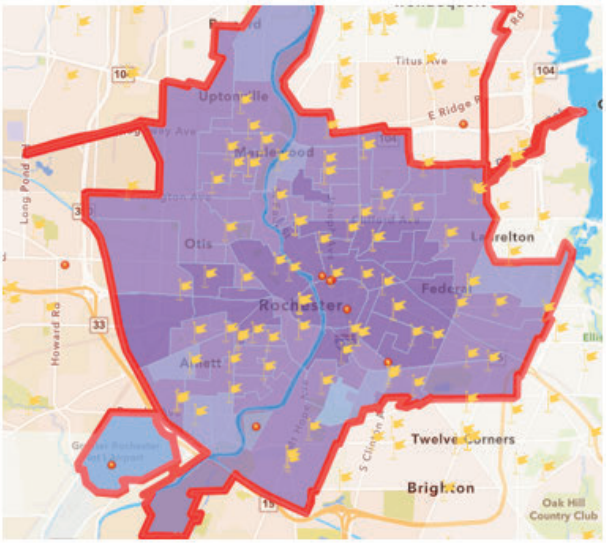
Census tract 82, in the north east portion of the map has the largest Hispanic or Latino population of all census tracts, but does not have a school in the census tract.

Key:
- Blue= Black or African American
- Yellow= Hispanic or Latino
- Grey/White= White, not Hispanic or Latino
- Blue Flags= School Building

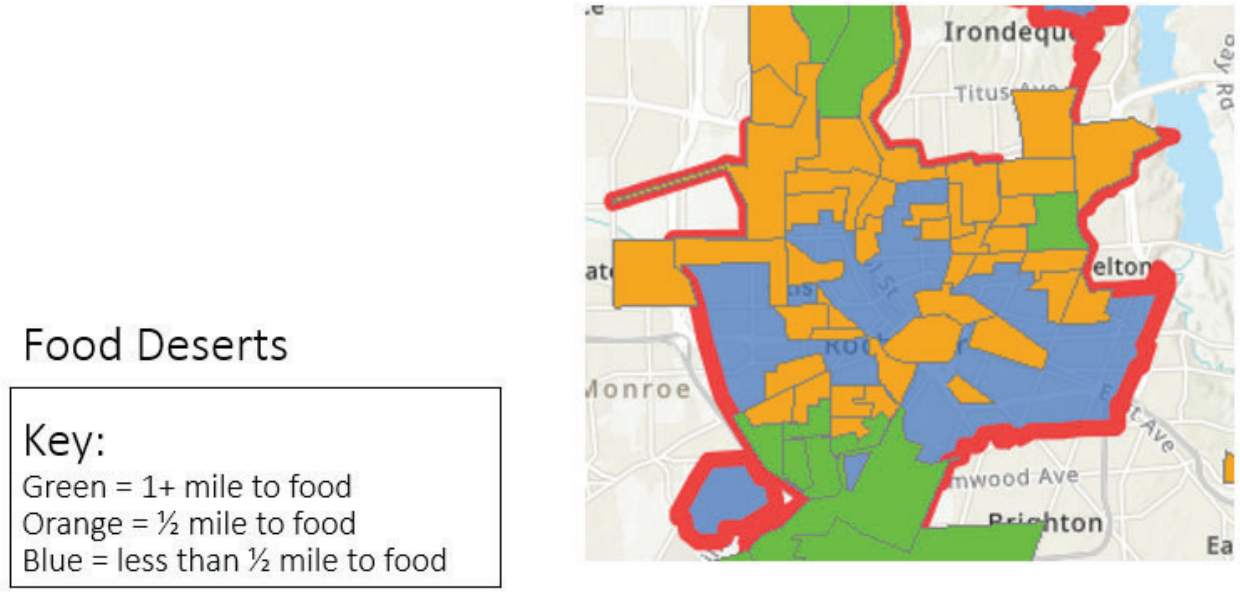


Rochester GIS map of violence and crime indices in relation to the location of public schools and public transportation

Key:
Darker regions = higher crime index.
Yellow flags = schools
Red dots = public transit



Rochester GIS map of proximity to grocery stores[1]



The multi-data point analysis and GIS mapping overlay reviewed alongside CEI's Career and Technical Education school design helped CEI identify a short list of six cities or communities throughout NYS. Our analysis then moved from a needs assessment based on data to qualitative discussions with community stakeholders and an internal capacity assessment. CEI will follow a similar process to identify future target markets.

2. **Discuss the Comprehensive Management Organization 's competition for students and staff in the target communities, assess student demand, and describe the organization's competitive advantages.**

CEI's unique competitive advantages both arise from our ***proven track record*** and from the reasons we are ***positioned for growth***, as described above. Additionally, our learnings from serving as a comprehensive management partner to charter schools at-risk of renewal will ensure we have well developed plans for growth in a target community, including evidence of student and staff demand, by deploying the following strategies before "green-lighting" growth:

- Develop and seed local CEI teams two years prior to opening
- Identify and engage local community organizer two years prior to opening to assess student and staff demand in target community

[1] Food deserts are geographic areas where residents have few to no convenient options for securing affordable and healthy foods — especially fresh fruits and vegetables. Disproportionately found in high-poverty areas, food deserts create extra, everyday hurdles that can make it harder for kids, families and communities to grow healthy and strong. One way that the U.S. Department of Agriculture identifies food deserts is by searching for low-income, low-access census tracts.
https://www.aecf.org/blog/exploring-americas-food-deserts#:~:text=What%20is%20a%20food%20desert,especially%20fresh%20fruits%20and%20vegetables.

- Develop key partnerships to attract students and staff and assess demand
- Develop local board of leaders and community members to attract students and staff and assess demand

E. Attachments

Please find Attachments A-M to this Business Plan uploaded to the portal.

Attachment A: By-laws

By Laws:
Please find CEI's By-laws attached.

BY-LAWS

OF

CENTER FOR EDUCATIONAL INNOVATION-PUBLIC

EDUCATION ASSOCIATION

ARTICLE I

NAME AND OFFICES

SECTION 1. Name. The name of this Corporation is "Center for Educational Innovation-Public Education Association" (herein sometimes referred to as "CEI-PEA" or "the Corporation").

SECTION 2. Offices. The principal office of CEI-PEA shall be in the county of New York, City of New York. CEI-PEA may also have offices at such other places as the Board may from time appoint or the purposes of CEI-PEA may require.

ARTICLE II

MEMBERS

CEI-PEA shall have no members.

ARTICLE III

BOARD OF TRUSTEES

SECTION 1. Powers and Number. The Board of Trustees (Board") shall have general power to control and manage the affairs and property of the Corporation in accordance with the purposes and limitations set forth in the Charter. The number of trustees that will constitute the Board shall be no fewer than eight and no more than twenty-four, excluding the appointment of any honorary trustee in a non-voting capacity. Within the foregoing limits, the number of trustees shall be fixed from time to time by the Board, and that number shall constitute the entire Board for purposes of Section 702 of the Not-For-Profit Corporation Law.

SECTION 2. Election and Term of Office. Trustees shall be elected at the annual meeting of the Board of Trustees, and at each subsequent annual meeting, by a majority of the trustees then in office. Each trustee shall serve for a term of two years and until his or her successor shall have been elected and qualified, or until the earlier of his or her death, resignation or removal.

SECTION 3. Honorary Trustees. The Board may appoint one or more individuals as Honorary Trustees for renewable one-year terms. An honorary trustee may attend each meeting of the Board, but will not be counted in determining the presence of a quorum and will not be entitled to vote. The Board, by majority vote, may remove an honorary trustee with or without cause at any time.

SECTION 4. Removal. Any trustee may be removed with or without cause, by a vote of majority of the trustees then in office, at any special meeting of the Board called for that purpose.

SECTION 5. Resignation. Any trustee may resign from office at any time by delivering a resignation in writing to any officer, and the acceptance of the resignation, unless required by its terms, shall not be necessary to make the resignation effective.

SECTION 6. Vacancies and Newly Created Trusteeships. Any newly created trusteeships and any vacancies on the Board arising at any time and from any cause may be filled at any meeting of the Board by a majority of the trustees then in office. Each such trustee so elected shall serve until the next annual meeting of the Board or until any successor shall have been elected and qualified, or his earlier death, resignation or removal.

SECTION 7. Place and Time of Meetings. The regular and annual meetings of the Board shall be held at a time and place fixed by the Board. A special meeting may be called at any time by the Chair or any other officer, or by written demand of not less than one-fifth of the Board. At the annual meeting of the Board, the Treasurer shall deliver the reports specified in Article IV, Section 9 of the By-laws.

SECTION 8. Notice of Meetings. Notice of the time and place of each meeting of the Board shall be given by mail or electronic mail not less than five, nor more than ten, days before the meeting to the usual address of each trustee. In the case of special meetings, the notice shall state the purpose for which the special meeting is being called. Notice of a meeting

of the Board need not be given to a trustee who submits a signed waiver of notice, or who attends the meeting without protest as to the lack of notice.

SECTION 9. Quorum and Voting. At all meetings of the Board, a majority of the entire Board shall constitute a quorum for the transaction of business. Except as otherwise provided by these By-laws, at any meeting of the Board at which a quorum is present, the vote of a majority of the trustees present at the time of the vote shall be the act of the Board.

SECTION 10. Committees of the Board. The Chair, with the consent of the Board, may establish and appoint an executive and other standing committees, with the powers as delegated to them by the Board, including the power to approve any contracts or grant applications as may be required on an emergency basis. Any executive committee shall consist of the officers of the Corporation, and each other standing committee shall consist of three or more trustees. Each committee so appointed shall, to the extent provided in the resolution establishing it, have all the authority of the Board except as to the following matters:

1. the filling of vacancies on the Board or any committee;
2. the amendment or repeal of the By-laws or the adoption of new By-laws;
3. the amendment or repeal of any resolutions of the Board;
4. the amendment of the Certificate of Incorporation or Charter; or
5. the fixing of compensation of trustees in any respect, the granting of degrees, or making removals from office.

At each meeting of a committee, a majority of the members of the committee shall be present to constitute a quorum. The act of a majority of the members of a committee present at

any meeting at which there is a quorum shall be the act of the committee. Special committees may be appointed by the Chair with the consent of the Board and shall have only the powers specifically delegated to them by the Board.

SECTION 11. Conference Calls. Any one or more members of the Board or any committee thereof may participate in a meeting of the Board or such committee by means of a conference telephone or similar communications equipment allowing all persons participating in the meeting to hear each other at the same time. Participation by such means shall constitute presence in person at a meeting.

SECTION 12. Action by the Board Without a Meeting. Any action required or permitted to be taken by the Board or by any committee thereof may be taken without a meeting if all members of the Board or the committee consent in writing to the adoption of a resolution authorizing the action. The resolution and the written consents shall be filed with the minutes of the proceedings of the Board or committee.

SECTION 13. Conflicts Policy. Any potential conflict of interest which could result in a direct or indirect personal financial benefit to a trustee, officer or key employee (as is listed from time to time on the Corporation's IRS form 990) must be disclosed in good-faith, or known to the Board or committee authorizing a contract or other transaction. The interested individual may participate in the information-gathering stage of the Board's or of the committee's discussion, but will retire from the room in which the Board or a committee is meeting, and will not participate in the final decision regarding the contract or other transaction. Interested trustees may be counted in determining presence of a quorum at the meeting of the Board or committee which authorizes such contracts or other transactions. The minutes of the meeting of the Board

or committee will reflect (A) that the conflict of interest was disclosed, (B) that the interested trustee, officer or key employee was not present during the final discussion or vote of the Board or committee, and (C) that the interested individual abstained from voting. All questions as to whether a conflict of interest exists shall be resolved by a vote of the Board in which the interested individual may not vote. A conflict of interest disclosure statement shall be furnished to each trustee, officer and key employee. The disclosure statements will be reviewed annually by the Board. In addition, each trustee, officer and employee must report promptly to the Corporation any potential conflict of interest as and when it arises. In determining whether to approve any contract or other transaction in which a trustee, officer or key employee may have an interest, the disinterested trustees will take into account the restrictions regarding excess benefit transactions under section 4958 of the Internal Revenue Code of 1986, as amended.

ARTICLE IV

OFFICERS, EMPLOYEES AND AGENTS

SECTION 1. Officers. The officers of CEI-PEA may consist of a Chair of the Board, a Vice-Chair of the Board, a President, a Secretary, a Treasurer, and such other officers, including one or more Vice Presidents, as the Board may from time to time elect. The Chair, Vice-Chair and President shall be voting members of the Board. The other officers may, but need not be, members of the Board. Any two or more offices may be held by the same individual, except that neither of the individuals serving as Chair or President may also serve as Secretary.

SECTION 2. Election, Term of Office and Removal. The officers of CEI-PEA shall be elected for a two year term at the annual meeting of the Board immediately following

the election of trustees, and each shall continue in office until his or her successor shall have been elected and qualified, or until the earlier of his or her death, resignation or removal. Any officer of the Corporation may be removed, with or without cause, by a vote of a majority of the entire Board.

SECTION 3. Other Agents and Employees. Trustees may appoint from time to time such agents and employees as they shall deem necessary, provided, however that the Board may delegate authority to the President to appoint and terminate from time to time such employees and agents as he shall deem necessary given the budget approved by the Board. Each agent or employee shall serve at the pleasure of the Board and shall have such authority, perform such duties and receive such reasonable compensation, if any, as the Board may from time to time determine.

SECTION 4. Vacancies. Any vacancy in any office may be filled by the Board for the unexpired term of office. Any officer so elected shall hold office until the next annual meeting of the Board and the election and qualification of his or her successor, or until his earlier death, resignation or removal. In addition, any officer may resign at any time in a writing addressed to the Chair.

SECTION 5. Chair of the Board: Powers and Duties. The Chair of the Board, who shall serve in a voluntary capacity, shall preside at all meetings of the Board and shall generally supervise the affairs of the Corporation. He or she shall have the power to sign alone, unless the Board shall specifically require an additional signature, in the name of the Corporation, all contracts and grants and similar obligations authorized by the Board. The Chair of the Board

shall also have such other powers and perform such other duties as the Board may from time to time prescribe.

SECTION 6 Vice-Chair of the Board: Powers and Duties. The Vice-Chair of the Board, who shall serve in a voluntary capacity, shall preside at all meetings of the Board where the Chair is absent. and shall generally supervise the affairs of the Corporation in the absence of the Chair. He or she shall not have the power to sign alone on behalf of the Corporation unless such authority is authorized by the Board. The Vice-Chair of the Board shall also have such other powers and perform such other duties as the Board may from time to time prescribe.

SECTION 7. President: Powers and Duties. The President, who shall be a paid employee of the Corporation, shall have responsibility for the day-to-day operations of the Corporation and shall have the power to sign alone, unless the Board shall specifically require an additional signature, in the name of the Corporation, all contracts authorized either generally or specifically by the Board. In the absence or inability of the Chair and Vice-Chair of the Board to act, the President shall perform all the duties and may exercise all of the powers of the Chair of the Board. The President shall also have such other powers and perform such other duties as the Board may from time to time prescribe.

SECTION 8. Vice President: Powers and Duties. A Vice President shall have such powers and perform such duties as the Board may from time to time prescribe.

SECTION 9. Secretary: Powers and Duties of the Secretary. The Secretary shall keep and maintain the minutes of all meetings of the Board in books to be kept for that purpose, serve

or cause to be served all notices of the Corporation and perform all duties incident to the office of Secretary, and such other duties as from time to time may be assigned to him or her by the Board, the Chair of the Board or the President.

SECTION 10. Treasurer: Powers and Duties. The Treasurer shall keep or cause to be kept full and accurate accounts for the Corporation and shall perform all duties incident to the position of Treasurer, subject to the oversight of the Board, the Chair or the President. The Treasurer shall also render a statement of the condition of the finances of the Corporation at the annual meeting of the Board, as provided in section 519 of the New York not-for-profit corporation law, and make an annual report to the Board concerning the assets and income therefrom, as provided in section 513 of the New York not-for-profit corporation law.

SECTION 11. Compensation. The Board may from time to time establish reasonable compensation and benefits of the officers of the Corporation, but is not required to provide such compensation. The officer whose compensation is being determined shall not participate in discussions or deliberations of, and the voting on, his compensation.

ARTICLE V

CONTRACTS. CHECKS. BANK ACCOUNTS AND INVESTMENTS

SECTION 1. Checks, Notes and Contracts. The Board is authorized to select the banks or depositories it deems proper for the funds of the Corporation. The Board, in consultation with the President, shall determine who shall be authorized from time to time on the Corporation's behalf to sign checks, or other orders for the payment of money, notes or other evidence of indebtedness, to enter into contracts or to execute and deliver other documents and instruments.

Unless otherwise determined by the Board, all checks, or other orders for the payment of money, notes and other similar evidence of indebtedness shall be signed by at least two authorized individuals. The Board shall be required to approve all contracts and grants, and other similar obligations, entered into on behalf of the Corporation in an amount of one-hundred thousand dollars or greater.

SECTION 2. Investments. The funds of the Corporation may be retained in whole or in part in cash or be invested and reinvested from time to time in such property, real, personal or otherwise, including stocks, bonds or other securities, as the Board, or an agent appointed for such purpose by the Board, may deem desirable.

ARTICLE VI

MISCELLANEOUS

SECTION 1. Books. There shall be kept at the office of the Corporation correct books of account of the activities and transactions of the Corporation, including a minute book which shall contain a copy of the Certificate of Incorporation, a copy of these By-laws, and all minutes of meetings of the Board.

SECTION 2. Fiscal Year. The fiscal year of the Corporation shall be determined by the Board.

SECTION 3. Amendments. These By-laws may be amended at any meeting of the Board duly called for such purpose by the affirmative vote of a majority of the trustees present.

SECTION 4. Indemnification. To the fullest extent permitted by the laws of the State of New York:

(a) The Corporation shall indemnify any person (and his or her heirs, executors, or administrators) who was or is a party (or is threatened to be made a party) to any threatened, pending, or completed action, claim, or proceeding of any type (brought in the right of the Corporation or otherwise), whether civil, criminal, administrative, or investigative, whether formal or informal, including appeals, by reason of the fact that he or she is or was an officer or trustee of the Corporation, or, as an officer or trustee is or was serving at the request of the Corporation as a member, officer, partner, trustee, employee, or agent of another corporation, partnership, joint venture, trust, or other enterprise, for and against all expenses (including attorneys' fees), judgments, fines, and amounts paid in settlement actually and reasonably incurred by such person (or such person's heirs, executors, or administrators) in connection with such action, suit, or proceeding, including appeals. Notwithstanding the foregoing, the Corporation may indemnify any person seeking indemnification in connection with an action, proceeding or inquiry initiated by that person only if that action, proceeding or inquiry was authorized by the Board. No indemnification shall be made to or on behalf of a trustee or officer for a judgment or other financial adjudication adverse to the trustee or officer that establishes that his or her acts were committed in bad faith or were the result of active or deliberate dishonesty and were material to the cause so adjudicated, or that he or she personally gained in fact a financial profit or other advantage to which he or she was not legally entitled.

(b) The Corporation shall pay expenses as incurred in defending any action, claim, or proceeding described in subsection (a) of this Article in advance of the final disposition of such action, suit, or proceeding, including appeals.

(c) The Corporation may purchase and maintain insurance on behalf of any person described in subsection (a) of this Article against any liability asserted against him or her, whether or not the Corporation would have the power to indemnify him or her against such liability under the provisions of this Article or otherwise.

(d) The provisions of this Article shall be applicable to all actions, claims, suits, or proceedings made or commenced after the adoption hereof, whether arising from acts or omissions to act occurring before or after its adoption. The provisions of this Article shall be deemed to be a contract between the Corporation and each trustee or officer who serves in such capacity at any time while this Article and the relevant provisions of the laws of the State of New York and other applicable law, if any, are in effect, and any repeal or modification thereof shall not affect any rights or obligations then existing with respect to any state of facts or any action, claim, or proceeding then or theretofore existing, or any action, claim, or proceeding thereafter brought or threatened based in whole or in part on any such state of facts. If any provision of this Article shall be found to be invalid or limited in application by reason of any law or regulation, it shall not affect the validity of the remaining provisions hereof. The rights of indemnification provided in this Article shall neither be exclusive of. nor be deemed in limitation of, any rights to which any such trustee or officer may otherwise be entitled or permitted by contract, the Certificate of Incorporation, vote of trustee, or otherwise, or as a matter of law, both as to actions in his or her official capacity and actions in any other capacity while holding such office, it being the policy of the

Corporation that indemnification of the specified individuals shall be made to the fullest extent permitted by law.

(e) The Corporation may, by a vote of the Board, provide indemnification and advancement of expenses to employees and agents of the Corporation with the same scope and effect as the foregoing indemnification of, and advancement of expenses to, officers and trustees.

Dated and Approved: October 19, 2010

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Attachment B: Meeting Schedule

Meeting Schedule:
Please find CEI's Board of Trustees Meeting Schedule attached.

CENTER FOR EDUCATIONAL INNOVATION

Center for Educational Innovation
Board of Trustees
Meeting Dates
September 2022 to June 2023

DATES	REQUIRED TOPICS TO COVER
July 2022 (TBD) Finance and Audit Subcommittee Meeting	Review and Approval of the FY 2021 Audit
September 21, 2022 Finance and Audit Subcommittee Meeting 3:00pm - 4:00pm Board of Trustees Meeting 4:00pm - 5:00pm	• FY 23 Budget Update • 2022 -23 Goals & Program Overview
October 19, 2022 **Subcommittee Meetings** 4:00pm - 5:00pm	• Program and Development • Technology and Communications
November 9, 2022 Finance and Audit Subcommittee Meeting 4:00pm - 5:00pm	• FY 23 Budget Update
December 7, 2022 Board of Trustees Meeting 4:00pm - 5:30pm	ANNUAL MEETING • Election/Re-election of Board Members (if required) • Selection of Committees and Membership • Conflict of Interest Form • FY 2021 Financial Report Presentation by Independent Audit Firm
January Subcommittee Meetings January 18, 2023 4:00pm - 5:00pm January 25, 2023 4:00pm - 5:00pm	• Program and Development • Technology and Communications • Finance and Audit
March Subcommittee Meetings March 15, 2023 4:00pm - 5:00pm March 29, 2023 4:00pm - 5:00pm	• Program and Development • Technology and Communications • Finance and Audit
April 26 ,2023 Board of Trustees Meeting 4:00pm - 5:00pm	• Presentation of Draft Form 990 to Board • Select Audit Firm
May Subcommittee Meetings May 10, 2023 4:00pm - 5:00pm May 25, 2023 4:00pm - 5:00pm	• Program and Development • Technology and Communications • Finance and Audit
June Subcommittee Meetings June 14, 2023 4:00pm - 5:00pm June 21, 2023 Board of Trustees Meeting 4:00pm - 5:00pm	• Finance and Audit Committee Meeting • Presentation of draft FY24 Budget • Vote on FY 2024 Budget

**Please note all Board of Trustees Meetings occur on Wednesday.

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Updated
DA 6.24.22

Attachment C: Organizational Chart

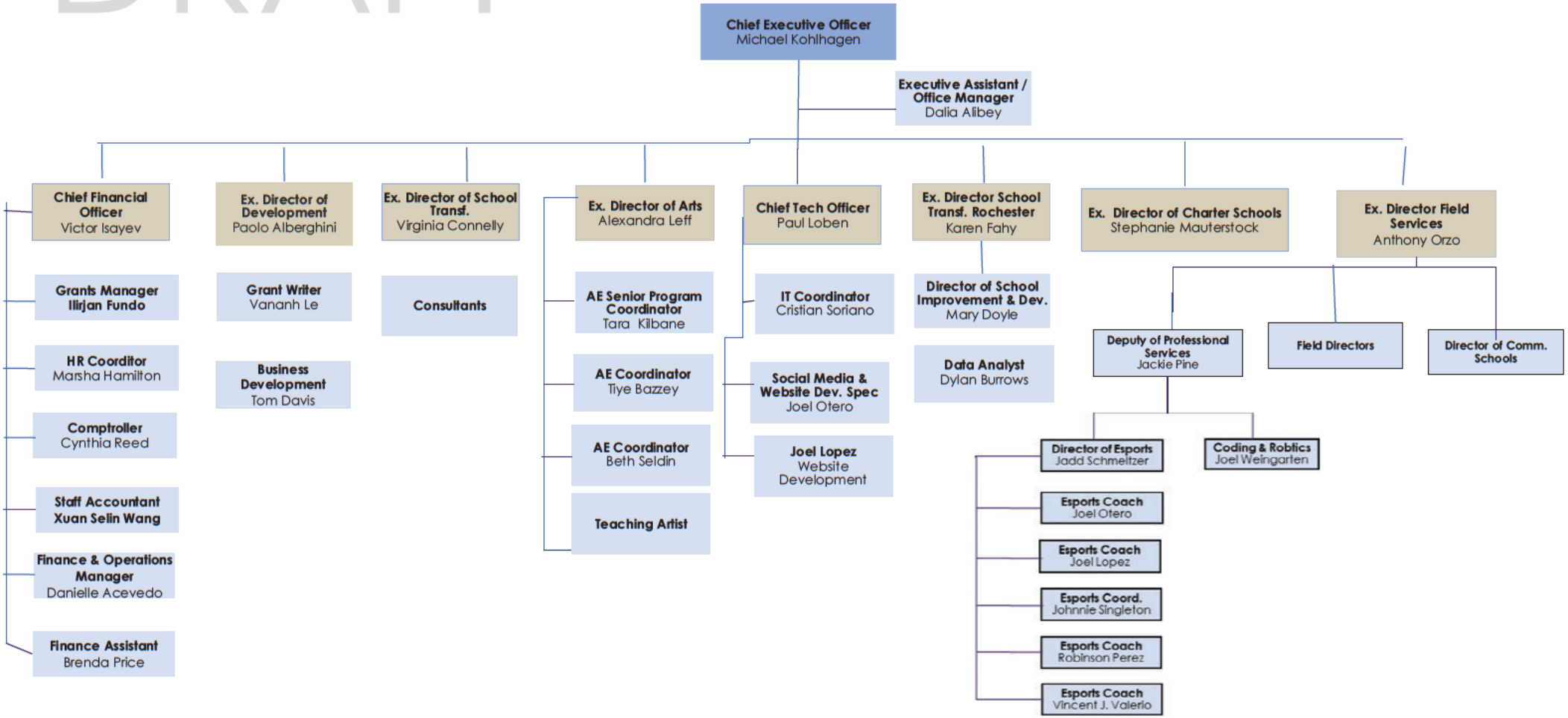
Please find CEI's Organizational Chart attached.

CENTER FOR EDUCATIONAL INNOVATION

Organizational Structure

July 2022

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Attachment D: Annual Reports

Annual Reports:
This section is not applicable to CEI.

Attachment E: Management Contracts

Management Contracts:
Please find the following Management Contracts:

1. Summit Academy Charter School
2. Collegiate Academy of Personal Awareness and Mathematics Charter School

SERVICES AGREEMENT

This Services Agreement is made and entered into as of the ___ day of ____, 2019 by and between **SUMMIT ACADEMY CHARTER SCHOOL**, a New York education corporation organized under Article 56 of the Education law with a principal office at 27 Huntington Street, Brooklyn, NY 11231 ("**School or Summit**") and **THE CENTER FOR EDUCATIONAL INNOVATION**, a New York not-for-profit organized under the laws of New York, with a principal office at 28 West 44th Street, New York, NY 10036 ("**CEI**").

RECITALS

The School is organized as a charter school under Article 56 of the Education Law ("**Charter Schools Act**"). The School has entered into a Charter Agreement with the New York City Department of Education ("DOE") and has been granted, effective July 1, 2019, a renewal of its charter by recommendation of the DOE and approval of the New York State Board of Regents ("Regents") to continue to operate a charter school. The Charter Agreement and the organizational charter shall collectively be referred to as the Charter ("**Charter**").

The DOE, pursuant to a competitive Request for Applications, selected CEI to perform certain restructuring duties with respect to the renewal of SUMMIT's 2019 Charter.

CEI's restructuring duties have concluded and both CEI and SUMMIT wish to continue the professional relationship with CEI as a management partner for SUMMIT.

In order to facilitate the operation of the School, and implement an innovative educational program at the School, the parties desire to establish an arrangement for the management and operation of the School. It is the parties' desire to create a relationship based on mutual trust and respect, common educational objectives and clear accountability.

Therefore, for good and, valuable consideration, the receipt of which is hereby acknowledged, it is mutually agreed as follows:

ARTICLE I
CONTRACTING RELATIONSHIP

A. Authority. The School represents that it is authorized by law to contract with a private entity and for that entity to provide educational management services. The School further represents that it has been granted a renewal Charter by the DOE and the Regents to organize and operate a charter school. The School is, therefore, authorized by the Charter Schools Act and the Regents to supervise and control such charter school and is invested with all powers necessary or desirable for carrying out the educational program contemplated in this Agreement.

B. Contract. The School hereby contracts with CEI, to the extent permitted by law, for the provision of all labor, materials, and supervision necessary for the provision of educational services to students, and the management, operation and maintenance of the charter school in accordance with the educational goals, curriculum, methods of pupil assessment, admission policy

and criteria, school calendar, school day schedule, age and grade range of pupils to be enrolled, educational goals, and method to be used to monitor compliance with performance of targeted educational outcomes, all as adopted by the board of trustees of the School ("**Board**") and included in the Charter between the School, and the DOE. CEI and the School agree that the School shall be operated in full compliance with the Charter and all laws and regulations applicable to charter schools in the State of New York and that, in the event of a conflict between the Charter and this Agreement, the Charter will control.

C. **Designation of Agents**. The School designates the employees of CEI as agents of the School having a legitimate educational interest such that they are entitled to access to educational records under 20 U S C § 1232g, the Family Education Rights and Privacy Act ("**FERPA**").

ARTICLE II
TERM

Term. This Agreement shall be effective as of July 1, 2019 and, unless otherwise terminated pursuant to this Agreement, shall continue until termination or expiration of the Charter on June 30, 2024. The first academic year of this Agreement shall be from July 1, 2019 to June 30, 2020, and each academic year thereafter shall commence on July 1 and end on June 30 of the following year.

ARTICLE III
OBLIGATIONS OF CEI

A. **Responsibility**. CEI shall be responsible and accountable to the Board for the administration, operation and performance of the School in accordance with the Charter and Exhibit A of this Agreement which is attached hereto and made a part of this Agreement. CEI's responsibility is expressly limited by: (i) the budget the Board agrees upon and (ii) the availability of funding to pay for said services. The terms of this Agreement do not obligate CEI to expend funds.

B. **Educational Program**. CEI agrees to implement the educational goals and programs ("**Educational Program**") as set forth in the charter school application and related documents ("**Application**") incorporated in the Charter. In the event that either CEI or the School wishes to modify the Educational Program, it shall consult with the other party concerning the proposed modifications and obtain the approval of the other party before such modifications are presented to DOE for approval. The parties hereto acknowledge that an essential principle of the Educational Program is its flexibility, adaptability and capacity to change in the interest of continuous improvement and efficiency, and that the School and CEI are interested in results and not in inflexible prescriptions.

C. **Specific Functions**. Consistent with Education Law § 2853 (1)(f), the Board shall have final authority for policy and operational decisions of the School. Subject to this authority, CEI shall be responsible for the services set forth in Exhibit A which is attached hereto and made a part of this Agreement.

D. **Charter between the School and DOE.** CEI will not act in a manner which will cause the School to be in breach of its Charter or to jeopardize its status under Federal law as a §501(c)(3).

E. **Unusual Events.** CEI agrees to timely notify the Board and/or school administrator of any anticipated or known: (i) material health or safety issues, (ii) labor, employee or funding problems, or (iii) problems of any other type that could adversely affect the School in complying with its responsibilities hereunder. CEI shall take prompt action, in consultation with the Board when possible, to address such issues or problems.

F. **Student, Employment, Financial and Other Records**. All student, employment, financial and other information related to the School shall be available for inspection at the School, either by electronic means or the actual document or a copy thereof, or as otherwise required by applicable law, by any member of the Board or representative of the Board upon reasonable request consistent with the Charter and applicable law. The financial, educational, and student records related to the School are the property of the School.

G. **Assistance to the Board**. CEI shall cooperate with the Board in furnishing all information and submitting all forms and reports reasonably requested in connection with this Agreement, and shall timely furnish the Board with all documents and records necessary for the School to properly perform its responsibilities under the Charter and this Agreement. CEI shall designate appropriate CEI contact personnel, and shall make all good faith efforts to foster effective communication with the Board.

H. **Intellectual Property Rights.** "Educational Materials" shall include (without limitation) print and-electronic textbooks, instructional materials, lesson plans, teacher guides, exercise, workbooks, tests and other curriculum-related materials.

The School will own all proprietary rights to curriculum or Educational Materials that: (i) are both directly developed and paid for by the School; or (ii) were developed by CEI at the direction of the Board with funds dedicated for the specific purpose of developing such curriculum or materials (the "**School Materials**").

CEI shall own all proprietary rights to, and the School's proprietary interest shall not include, curriculum or Educational Materials that were previously developed or copywritten or similarly protected by CEI, or curriculum or Educational Materials that are developed by CEI with funds from the School that are not otherwise dedicated to the specific purpose of developing School curriculum or Educational Materials. CEI shall own all intellectual property rights, including (without limitation) any copyright rights, in and to, the Educational Program and all Educational Materials relating thereto, as well as any non-curriculum materials created or provided by CEI in connection with, or related to, the implementation of the Educational Program, including all corrections, modifications, and derivatives thereof (collectively all of the foregoing shall be referred to as the "CEI **Materials**").

The parties acknowledge that to the extent the School's Materials are derivative of CEI Materials, the School's intellectual property ownership rights extend only to the new, original aspects of such works and not to any underlying or pre-existing material. Relevant Educational Materials and teaching techniques used by or at the School shall be subject to disclosure to the extent required under the Freedom of Information Act.

CEI hereby grants to the School the non-exclusive, non-transferable license to use the CEI Materials in furtherance of the Educational Program during the term of this Agreement or any renewal thereof, including (without limitation) the right to reproduce, publicly display, distribute, and create derivatives of same, in hard copy format, or electronically via the School's intranet. To the extent any part of the School Materials may be derivative of CEI Materials, the School shall have the non-exclusive, non-transferable right to use such CEI Materials, as same may have been previously embodied or incorporated in the School Materials, beyond the termination or expiration of this Agreement solely in connection with the operation of the School and in the ordinary course of such operations. The School represents and warrants that during the term of this Agreement, or following the expiration or termination of this Agreement, the School will not exploit, or assist any third party in exploiting, the School Materials or any CEI Materials for commercial purposes. Subject to applicable law, inclusive of FERPA, the School hereby grants CEI the non-exclusive, irrevocable, worldwide, assignable right to use, distribute, modify and display the School Materials, solely for education purposes in any and all media now known or hereafter developed.

CEI hereby grants the School the non-exclusive, non-transferable license to use CEI's trade name and the trademark(s) (the "CEI **Trademarks**") hereto to promote and advertise the School. No other use of the CEI Trademarks is permitted without CEI's prior written permission. The School shall acquire no rights in the CEI Trademarks, and all goodwill of the CEI Trademarks shall inure to the benefit of and remain with CEI. CEI shall have pre-approval rights for each form and manner of public display of the CEI Trademarks.

ARTICLE IV
OBLIGATIONS OF THE SCHOOL

A. **Good Faith Obligation.** The Board shall have overall authority and responsibility for the School's fiscal and academic policies. The Board shall exercise good faith in establishing, in consultation with CEI, goals and objectives for the School, and CEI shall exercise good faith in developing, implementing and assessing, in consultation with the Board, the plans and procedures to meet and achieve the goals and objectives established by the Board. The Board may make reasonable rules, regulations and policies relative to anything necessary for the proper establishment, maintenance, management, and carrying on of the School, including, after consultation with CEI, rules, regulations and policies relative to the conduct of pupils while in attendance at the School.

B. **Assistance to CEI**. The School shall cooperate with CEI in furnishing all information and submitting all forms and reports required in association with this Agreement, including timely notice and minutes of all Board meetings. The School shall timely furnish CEI all documents and records necessary for CEI to properly perform its responsibilities under this

Agreement. The School will take all steps necessary to maintain its status under federal law as a § 501(c)(3) entity.

C. **Unusual Events.** The School agrees to timely notify CEI of any anticipated or known: (i) material health or safety issues, (ii) labor, employee or funding problems, or (iii) problems of any other type that could adversely affect CEI in complying with its responsibilities hereunder. The Board shall cooperate with CEI to address such issues or problems.

D. **CEI Office Space.** While this Agreement is in effect, reasonable and suitable office space, consistent with the space needs of the School, shall be provided at the School upon CEI's request without cost for CEI personnel and subcontractors. The office space shall be used by CEI only for CEI activities related to the School, in compliance with applicable law and the School's Facility Use Policy.

E. **Consultants.** The School may retain consultants as reasonably justified to review the operations of the School and the performance of CEI under this Agreement at its own expense. CEI shall cooperate fully with such consultants in the performance of their responsibilities to the School.

ARTICLE VI
SERVICE FEE

A. **Service fee**: The School shall pay CEI on a monthly basis a fee of seven and one half percent (7.5%) of total state and local public revenues based on actual student enrollment counts billed to the local school district. The Services Fee shall initially be based on budgeted numbers and shall subsequently be adjusted based on actual enrollment counts and in accordance with the Board approved audited financials. Notwithstanding the means of calculating the above seven and one half percent (7.5%) figure, no part of the Services Fee shall be paid from Federal funds. Rather, the seven and one half percent (7.5%) sum represents the pricing basis of the Services Fee for the services performed pursuant to this Agreement.

B. **Restructuring fee**: The School shall also pay a one time restructuring fee to CEI in the sum of one hundred thirty thousand dollars ($130,000) as compensation for services provided by CEI to the School from May 7, 2019 to July 24, 2019 as described in Exhibit B, attached hereto and incorporated herein. The School shall make this payment to CEI within fourteen (14) days of the approval of this Agreement.

ARTICLE VII
PERSONNEL AND TRAINING

A. **Personnel Responsibility.** CEI shall recruit and recommend to the Board qualified personnel to perform educational, administrative and non-educational services at the School. Compensation for personnel working at the School shall be paid in accordance with the Budget. CEI shall have the responsibility and authority to determine staffing levels, assign, supervise and

evaluate personnel, and with Board approval, hire, discipline, transfer and terminate personnel working at the School, all in a manner that is consistent with state and federal law.

B. **School Administrator**. The accountability of CEI to the School is an essential foundation of this Agreement. Since the responsibility of the School Administrator is critical to the School's success, he/she shall be accountable to CEI and the Board for the success of the School. The Board and CEI shall consult in good faith with each other with respect to, and agree upon, CEI's selection, supervision, discipline, retention, transfer and termination of the School Administrator, all in a manner consistent with state and federal law. The duties of the School Administrator and the terms of employment shall be determined by CEI subject to approval by the Board.

C. **Teachers**. The School Administrator, in consultation with CEI and the Board, will select and hire qualified teachers and assign them to the grade levels and subjects as required for the School to operate in accordance with the terms of its Charter. Each teacher serving at the School shall hold a valid teaching certificate issued by New York State Education Department, to the extent required under the Charter Schools Act.

D. **Support Staff**. CEI shall, subject to Board approval, determine the number and the functions of support staff required for the operation of the School and provide qualified support staff to enable the School to operate efficiently and in accordance with the Charter. The support staff may, in the discretion of CEI, work at the School on a full or part time basis.

E. **Training**. CEI shall provide training in its methods, curriculum, program, and technology to all teaching personnel on a regular basis as determined by CEI, with input from the Board from to time to time, to be necessary and appropriate to assure the attainment of the School's educational goals. Non-instructional personnel shall receive such training as CEI determines to be reasonable and necessary under the circumstances.

F. **Limitations on Discretion**. All decisions made by CEI, and any discretion exercised by CEI, in its determination of staffing levels and its selection, hiring, evaluation, assignment, discipline and transfer of personnel, shall be consistent with the agreed upon Budget, the Education Program and applicable law.

ARTICLE VIII
TERMINATION OF AGREEMENT

A. **Termination**.

1. **By CEI**. CEI may terminate this Agreement prior to the end of the term specified in Article II above in the event the School fails to remedy a material breach within thirty (30) days after written notice from CEI identifying the breach in reasonable detail, or as otherwise specifically provided in this Agreement. A material breach includes, but is not limited to, CEI's failure to receive for any reason compensation or reimbursement as required by the terms of this Agreement, or the School's loss or revocation of its Charter.

2. **By School**. The School may terminate this Agreement prior to the end of the term specified in Article II above in the event that CEI shall fail to remedy a material breach within thirty (30) days after notice from the Board identifying the breach in reasonable detail. A material breach includes, but is not limited to: (i) failure to account for its expenditures or to pay the School's operating costs, (ii) failure to follow policies, procedures, rules, regulations or curriculum duly adopted by the Board which are not in violation of the Charter, this Agreement, or law, (iii) failure to provide timely reports as required under the terms of this Agreement, (iv) financial or operational mismanagement of the School, (vi) receipt by the Board of unsatisfactory reports from CEI, state regulators or an educational consultant retained by the School about matters concerning CEI's performance or the performance of the staff which are not adequately corrected or explained with reasonable promptness, or (vii) the failure of CEI to make reasonable progress in student achievement as provided in the Charter.

3. **By Either Party**. Either party may terminate this Agreement for any reason upon giving not less than ninety (90) days' notice to the other party. In such case, CEI will provide termination services for a period of 90 days after the termination date, if the School is going to continue.

B. Termination/Expiration.

1. **Effective Date of Termination**. In the event this Agreement is terminated by either party pursuant to Section VIII(A)(3) above prior to the end of the term specified in Article II above, the termination will not, if so requested by the School, become effective until the end of the academic year in which the notice of termination is given.

2. **Removal of Personal Property**. Upon termination or expiration of this Agreement, CEI shall have the right to remove equipment and other assets owned or leased by CEI. Assets owned by the School shall remain the property of the School. Assets leased by the School directly from a third party shall remain subject to the leasehold interest of the School and the ownership interest of the Lessor/Owner.

3. **School Records**. In the event either party terminates this Agreement, CEI will turn over any student, fiscal and other School records in its possession to the Board.

4. **Avoidance of Disruption to Students**. Notwithstanding the foregoing provisions of this Article VIII, each party shall in good faith use reasonable efforts to avoid disruption to the operation of the School, and CEI shall provide reasonable assistance to the School for the remainder of the current academic year to assist in the transition to another school program. For the period of time that CEI provides transition assistance, it shall be entitled to continue to receive its Fee (or a pro rata portion thereof) as provided in this Agreement.

ARTICLE IX
INDEMNIFICATION

A. **Indemnification**. Each party to this Agreement does hereby indemnify and hold harmless the other, and their respective boards of directors or trustees, partners, officers, employees, agents, representatives, and attorneys, from and against any and all claims, actions, damages, expenses, losses or awards which arise out of (i) the negligence of the other party, or (ii) any noncompliance or breach by the other party of any of the terms, conditions, warranties, representations, or undertakings contained in or made pursuant to this Agreement ("**Claim**"). Such indemnification may be achieved by the purchase of general liability and property insurance policies, or by such other means as the parties may mutually agree.

B. **Notice and Defense**. The party to be indemnified ("**Indemnified Party**") shall give the party from whom indemnification is sought ("**Indemnifying Party**") prompt written notice of any Claim for which indemnification is sought. Failure to give notice shall not affect the Indemnifying Party's duty or obligations under this except to the extent the Indemnifying Party is prejudiced thereby. The Indemnifying Party may undertake the defense of any third party claim by representatives chosen by it. If the Indemnifying Party undertakes the defense of a Claim, then the Indemnifying Party shall be deemed to accept that it has an indemnification obligation under this Article VIX with respect to such Claim. The Indemnified Party shall make available to the Indemnifying Party or its representatives all records and other materials required by them and in the possession or under the control of the Indemnified Party, for the use of the Indemnifying Party and its representatives in defending any such Claim, and shall in other respects give reasonable cooperation in such defense. If the Indemnifying Party, within ten (10) days after notice of any such Claim, fails to dispute the obligation of the Indemnifying Party with respect to such Claim and/or fails to defend such Claim actively and in good faith, then the Indemnified Party shall (upon written notice to the Indemnifying Party) have the right to undertake actively and in good faith the defense, compromise or settlement of such Claim and the Indemnifying Party shall thereafter have no right to challenge the Indemnified Party's defense, compromise, settlement thereof. If there is a reasonable probability that a Claim may materially and adversely affect the Indemnified Party other than as a result of money damages or other money payments, (i) the Indemnified Party shall have the right to defend, compromise or settle such Claim and (ii) the Indemnifying Party shall not, without the written consent of the Indemnified Party, settle or compromise any Claim which does not include as an unconditional term thereof the giving by the claimant to the Indemnified Party of a release from all liability in respect of such Claim.

ARTICLE X
INSURANCE

A. **Insurance Coverage**. Each party shall maintain general liability insurance in the amount of $1,000,000 per occurrence (or such greater amount if required by the terms of the Charter or Charter Schools Act), with the other party listed as an additional insured. In addition, the School shall maintain an umbrella liability policy of $2,000,000 (or such greater amount if required by the terms of the Charter or Charter Schools Act), with the other party listed as an additional insured. The School shall maintain directors and officers insurance in the amount of $1,000,000 per occurrence. The building and related capital facilities remain the responsibility of the School and the School shall cover its property with appropriate insurance. Each party shall, upon request, present evidence to the other that it maintains the requisite insurance in compliance

with the provisions of this Section. Each party shall comply with any information or reporting requirements required by the other party's insurer(s), to the extent reasonably practicable.

B. **Workers' Compensation Insurance**. Each party shall maintain workers' compensation insurance as required by law, covering their respective employees.

ARTICLE XI
WARRANTIES AND REPRESENTATIONS

A. **School Warranties and Representations**. The School represents that it has the authority under law to execute, deliver and perform this Agreement and to incur the obligations provided for under this Agreement. The School warrants that its actions have been duly and validly authorized, and that it will adopt any and all resolutions or expenditure approvals required for execution of this Agreement. The School warrants that it will assist CEI in applying for all licenses and obtaining all approvals and consents relating to conducting business under this Agreement.

B. **CEI Warranties and Representations**. CEI warrants and represents that it is a corporation in good standing and is authorized to conduct business in the State of New York. CEI represents that it has the authority under law to execute, deliver and perform this Agreement and to incur the obligations provided for under this Agreement. CEI warrants that its actions have been duly and validly authorized, and that it will adopt any and all resolutions or expenditure approvals required for execution of this Agreement. CEI warrants that it will comply with all registration and licensing requirements relating to conducting business under this Agreement.

C. **Mutual Warranties**. The School and CEI each mutually warrant to the other that there are no pending actions, claims, suits or proceedings, to its knowledge, threatened or reasonably anticipated against or affecting it, which if adversely determined, would have a material adverse effect on its ability to perform its obligations under this Agreement.

ARTICLE XII
MISCELLANEOUS

A. **Sole Agreement**. This Agreement, including Attachments, constitutes the entire agreement of the parties. This Agreement supersedes and replaces any and all prior agreements and understandings between the School and CEI with respect to the subject matter hereof, if any to the extent such agreements or understandings are inconsistent with the terms of this Agreement.

B. **Force Majeure**. Notwithstanding any other sections of this Agreement, neither party shall be liable for any delay in performance or inability to perform due to acts of God or due to war, riot, embargo, fire, explosion, sabotage, flood, accident, labor strike, or other acts beyond its reasonable control; provided either party may terminate this Agreement under Article VIII above if sufficient grounds exist as required by said Article VIII.

C. **State Governing Law**. The rights of all parties hereto shall be subject to the jurisdiction of and be construed according to the laws of the State of New York.

D. **DOE's Authority**. Nothing in this Agreement shall be construed in any way to limit the authority of SUNY, including but not limited to, the authority to take and enforce action pursuant to Educational Law §2855.

E. **Official Notices**. All notices and other communications required by the terms of this Agreement shall be in writing and sent to the parties hereto at their addresses or to their facsimile numbers set forth below. Notice may be given by (i) facsimile with written evidence of confirmed receipt by the receiving party of the entire notice, (ii) certified or registered mail, postage prepaid, return receipt requested, or (iii) personal delivery. Notice shall be deemed to have been given on the date of transmittal or personal delivery if given by facsimile or personal delivery, or two (2) business days after the date of postmark if sent by certified or registered mail. The address of the parties hereto for-the purposes aforesaid shall be:

THE SCHOOL:

CEI:
28 West 44th Street
Suite 801
New York, NY 10036

Telephone: (212)302-8800
Facsimile: (212)302-0088

F. **Assignment**. CEI may not assign this Agreement without the prior written consent of the Board and approval of the Authorizer.

G. **Amendment**. This Agreement shall not be altered, amended, modified or supplemented except by an amendment approved by the Board and signed by duly authorized signatories of both the School and CEI. In the event that this Agreement must be modified to meet any requirements imposed by the Internal Revenue Code in order to obtain or maintain the School's tax-exempt status each party shall be notified of such required modifications and shall cooperate to affect such required modifications.

H. **Waiver**. No waiver of any provision of this Agreement shall be deemed or shall constitute a waiver of any other provision. Nor shall such waiver constitute a continuing waiver unless otherwise expressly stated.

I. **Costs and Expenses**. If any party commences an action against another party as a result of a breach or alleged breach of this Agreement, the prevailing party shall be entitled to have and recover from the losing party reasonable attorneys' fees and costs of suit.

J. **Delegation of Authority**. Nothing in this Agreement shall be construed as delegating to CEI powers or authority of the Board, which are not subject to delegation, by the Board under New York law.

K. **Compliance with Law**. The parties to this Agreement agree to comply with all applicable laws and regulations.

L. **Confidentiality**. During the term of this Agreement, CEI and the Board and any employee over whom the Board exercises reasonable control may each disclose proprietary information to the other, including currently existing proprietary information and proprietary information created in the future. The receiving party shall use all such efforts as may be reasonably requested by the owner of such proprietary information so as not to disclose, publish, copy, transmit, modify, alter or utilize such proprietary information during the term of this Agreement or at any time after its termination or expiration other than (i) to the extent reasonably necessary for implementation of this Agreement, (ii) as required by law, or (iii) as required by a court of competent jurisdiction or DOE.

1. Definitions.

a. "**Educational Materials**" means all curriculum, print and electronic textbooks, instructional materials, lesson plans, teacher guides, workbooks, tests, and other curriculum-related materials licensed, developed or otherwise owned by the School or CEI.

b. "**Confidential Information**" means any confidential and non-public trade, technical or business knowledge, information and materials regarding the School or CEI (or their respective affiliates), which is given by one party to the other, or any of their respective representatives, in any form, whether printed, written, oral, visual, electronic, or in any other media or manner. Confidential Information includes, but is not limited to, research, operations and procedures, financial projections, pricing, sales, expansion plans and strategies, services data, trade secrets and other intellectual property, or the results of any mediation or private adjudication, as well as information with respect to each party's or its affiliates' plans for market expansion, except for information which a party can show by contemporaneous written records was developed or formulated independently of work or services performed for, or in connection with performance of, this Agreement. Notwithstanding the foregoing, the disclosure of the other party's Confidential Information as required to be disclosed by law, rule or regulation or by reason of subpoena, court order or government action shall not constitute a breach of this Agreement; however, in such event the party required to disclose such information will reasonably cooperate with the party whose information is required to be disclosed in order to obtain a protective order applicable to such disclosure. All Confidential Information will remain the sole property of the party disclosing such information or data.

2. School Materials. The School shall own all right, title and interest in and to Educational Materials that are: (i) licensed or owned by the School as of the Effective Date; or (ii) licensed, developed, characterized, conceived, derived, generated, identified, or otherwise made by the School during the Term, provided such materials do not reference the CEI Materials (as defined below), or incorporate any Confidential Information of CEI (collectively, the "**School Materials**"). The School Materials shall include all intellectual property rights associated therewith.

3. CEI Materials. CEI shall own all right, title and interest in and to Educational Materials that are: (i) licensed or owned by CEI as of the Effective Date; (ii) licensed, developed, characterized, conceived, derived, generated, identified, or otherwise made by CEI during the Term, provided such materials do not reference School Materials or incorporate any

Confidential Information of the School; and (iii) any and all Educational Materials and non-curriculum materials provided to the School by CEI relating to the Educational Program, including all changes and derivatives thereof (collectively, the "CEI **Materials**").

4. Derivative Works. The Parties acknowledge that to the extent any Educational Materials created by the School are derivative of the CEI Materials, use of such derivative materials during the Term is subject to the license granted herein, and the license to use such derivative materials shall cease as of the date of expiration or termination of this Agreement.

5. No Transfer or Sale. The School acknowledges and agrees that CEI is not transferring or selling, and the School is not receiving, purchasing or acquiring, any intellectual property or proprietary rights in or to the CEI Materials.

6. Licenses. CEI hereby grants the School a non-exclusive, non-transferable license (without the right to sublicense) to use the CEI Materials, and any Educational Materials created by the School which are derivative of the CEI Materials, solely in furtherance of the Educational Program during the Term, including without limitation, the right to reproduce, publicly displace, distribute and create derivative works of the same, in hard copy format or electronically, within the United States. The School represents and warrants that during the Term, and following the expiration or termination of this Agreement, the School will not exploit or assist any third party to exploit any of the CEI Materials for commercial purposes. Subject to applicable law, the School grants CEI a non-exhaustive, non-transferable (without the right to sublicense) to use the School Materials, solely in furtherance of the Educational Program during the Term, including without limitation, the right to reproduced, publicly display, distribute and create derivative works of the same, in hard copy format or electronically, within the United States.

7. CEI Marks. During the Term, CEI grants the School a non-exclusive, revocable, non-transferable license (without the right to sublicense) to use CEI's trade name(s) and CEI's trademark(s) (the "CEI **Marks**") solely for the purposes of promoting and advertising the School. CEI shall have the opportunity to review and approve all artwork, copy or other materials utilizing the CEI Marks prior to any production or distribution thereof. All uses of the CEI Marks require CEI's prior written permission. The School shall acquire no rights in or to the CEI Marks, and all goodwill associated with the CEI Marks shall inure to the benefit of and remain with CEI. Upon expiration or termination of this Agreement, the School shall immediately discontinue use of the CEI Marks and shall remove the CEI Marks from its locations, vehicles, websites, telephone directory listing and all other written or electronic promotional materials.

8. Assignment. Each party shall, and hereby does assign to the other, with full title guarantee and without additional compensation, such right, title and interest in and to any intellectual property as is necessary to fully affect the ownership provisions set out herein, and any accrued rights of action in respect thereof. Each party shall, if so requested by the other, execute all such documents and do all such other acts and things as may be reasonably required to comply with this Agreement to vest in the appropriate party all rights in the relevant intellectual property and shall procure execution by any named inventor of all such documents as may reasonably be required by the other party in connection with any related patent application.

M. Mediation. In the event the parties have a dispute regarding any terms of this Agreement or compliance therewith, the parties agree that they will first submit to mediation before filing any action in court. The parties shall seek mediation from a mutually agreed upon licensed mediator and shall equally divide the costs associated with that mediation. The parties agree to cooperate with such mediator, and attend all meetings scheduled by the mediator until the matter is resolved or such time as the mediator determines that the parties will not be able to reach resolution through mediation. The parties further agree that the jurisdiction of any such mediation will be limited to mediation in the City of New York, New York.

N. No Third-Party Beneficiary Rights. With the exception of the Authorizer, the Trustees individually, and the Board collectively, this Agreement is not intended to create any rights in any third party beneficiary and no third party, whether a member of the community, a student or parent of a student of the School or otherwise, may enforce or rely upon any obligation of, or the exercise of or failure to exercise any right of, the School or CEI under this Agreement.

IN WITNESS WHEREOF, the undersigned have executed this Agreement as of the date and year first above written.

CENTER FOR EDUCAITONAL INNOVATION
a New York Not-for-profit

[redacted]

SUMMIT ACADEMY CHARTER SCHOOL,
a New York not-for-profit education corporation

[redacted]

Its: President, Board of Trustees

4845-1142-7499, v. 3

Exhibit A

SERVICES

CEI will develop and implement a restructuring plan designed to ensure that during the next proposed charter term, academic outcomes at the school improve and meet or exceed all accountability standards required of NYCDOE Chancellor-authorized charter schools. CEI will conduct a comprehensive needs assessment of the academic, cultural, fiscal and operational systems at the school, create ambitious goals to address the needs, create action plans to achieve these goals, provide intensive supports to implement the action plans, and monitor progress and make adjustments over time.

1. CEI will interview all prospective staff members and will issue offer letters.
2. CEI will reconstitute the Board of Trustees, update bylaws, conduct governance training rules, process, administration evaluation over-site.
3. CEI will complete an overall assessment of the current state of the Summit Academy Charter School academic program, including classroom observations, a full assessment of student engagement, and a complete inventory of academic resources, including core and supporting curriculum materials. Classroom observations will yield information about current levels of rigor, equity, cultural relevance; and instructional practices and routines aligned to Danielson's Framework.
4. CEI will complete an overall assessment of the current state of school culture, and obtain and analyze school discipline and attendance data and include corrective action in SIP.
5. CEI will assess school enrollment; implement a school enrollment plan to include community outreach and ensure for full enrollment with a healthy wait list of potential students and include corrective action in SIP.
6. CEI will complete a full assessment and analysis of the current data-driven instructional process at the school, including an inventory of all data streams, including interim assessments and include corrective action in SIP.
7. CEI will complete an operational needs assessment and action plan, including an analysis of current operational systems, including transportation, facilities, supplies, and ordering corrective action in SIP.
8. CEI will work with the principal on strategic planning for curriculum development in all curriculum areas, including course of study, graduation requirements, external and internal resources to address gaps in the instructional program and include corrective action in SIP.
9. CEI will work with the principal on strategic planning for culture development to support students, develop core values and expectations, cultivate morale and the foundations of collaborative and proactive solutions and include corrective action in SIP.
10. CEI will work with the principal to create a full academic calendar for each year, including assessments (summative and interim), marking periods, report card distribution dates, data

meeting schedules, and intervention cycles and include corrective action in SIP.

11. CEI will create a professional development plan and P Center, including the core components of CEI's vision for mastery-based learning aligned with graduation requirements and state standards by grade level and by academic department/content area, creating a rigorous course of study, personalized learning, innovation, equity, cultural responsiveness and community-based schooling. The PD plan will establish a timeframe for professional development for each school year and a process for Professional Learning Communities (including shared planning time for teachers).
12. Based on the needs assessment, CEI will be revising and formalize the operational systems for the School.
13. CEI will work with the principal to form the Instructional Leadership Team, in which member roles and responsibilities are clear and transparent, which will create a clear and transparent communication process for staff to understand their roles and support efforts.
14. CEI will work with the principal, representatives from students, families, staff, and community members to co-develop a cohesive mission, vision, and set of core values.
15. CEI will work with the principal to establish formal structures for restorative practices and social emotional learning strategies to model/teach school values and behavioral expectations, including developing common vocabulary central to the school culture program, establishing public structures for celebrating students and their work, and establishing a clear set of remediations available to students when values and expectations are not met.
16. CEI will work with the Principal to create a data system to track behaviors and proactive responses for students in need, which includes the number, type, and location of behaviors that serve as barriers to learning. CEI will work with the principal to create a proactive and collaborative solution process to solve problems negatively impacting student behavior and to teach skills that enhance their ability to effectively navigate difficult decisions.
17. CEI will work with the principal to establish clear performance expectations for all staff members, including, as necessary, developing the Staff Handbook for routines, procedures, policies/governance and professional accountability, ensuring that performance expectations are clear and match job responsibilities. H.R. staffing survey/satisfaction with a corrective action plan.
18. CEI will work with the principal and school staff to develop non-negotiable instructional strategies, the norms and values that guide our work, an understanding of our DDI process, unit planning expectations, including significant development of the components of personalized learning. Based on the comprehensive needs assessment of the school, CEI may bring Project BOOST (Building Options and Opportunities for Students) to SACS to provide students with academic enrichment, cultural enrichment, basic skills development, academic guidance, and community service opportunities.

Exhibit B

SERVICES May 7, 2019 to July 24, 2019

From the period of May 7, 2019 to July 24, 2019, CEI:

1. Conducted a Principal recruitment process and will reconstitute the leadership team.
2. Assessed staffing needs
3. Interviewed all current staff members who applied for positions for the 2019-2020 school year and issued offer letters.
4. Hosted a listening forum for families to provide insight into their hopes and desires for the restructuring process, including practices that should remain in place.
5. Performed classroom observations and assessed course of study.
6. Identified and secured placements for approximately 150 middle and high school students needing summer school courses.
7. Conducted credit and transcript audits.
8. Confirmed environmental needs.
9. Assessed PD needs for teachers and staff.
10. Planned for credit recovery and updated individual pathways based on credits, coursework and interest.
11. Conducted college and career audit and update/develop career and technical pathways.
12. Assessed operational needs and processes and reconstituted team.
13. Assessed and updated budget, prioritizing September 2019 and developed a plan for streamlining service providers.
14. Assessed and revised Master Schedule, maximizing instructional strengths.
15. Assess Needs of ELLs, SWDs and special populations to ensure compliance and appropriate placement and developed strategies to meet instructional needs.
16. Supplied parents with information to support collaborative relationships with schools and improve communication to support the educational process.

CEI-CAMPA Services Agreement

SERVICES AGREEMENT

This Services Agreement (the "**Agreement**") is made and entered into as of the 12th day of March, 2021 by and between **the Collegiate Academy for Mathematics and Personal Awareness ("CAMPA")**, a New York education corporation organized under Article 56 of the Education law with a principal office at 1962 Linden Boulevard, Brooklyn, New York 11207 (the "**School**") and **THE CENTER FOR EDUCATIONAL INNOVATION**, a New York not-for-profit organized under the laws of New York, with a principal office at 28 West 44th Street, New York, NY 10036 ("**CEI**"). Together, the School and CEI shall be referred to as the "**Parties**", and each individually, a "**Party**".

RECITALS

WHEREAS, the School is organized as a charter school under Article 56 of the Education Law ("**Charter Schools Act**"). The School was approved by its authorizer- the New York State Education Department ("NYSED" or the "Authorizer")- to receive a charter (the "**Charter**") to operate the School, and received its Charter from the New York State Board of Regents, and entered into a charter agreement (the "**Charter Agreement**") with NYSED on December 17, 2016; and

WHEREAS, CEI is an educational services provider that provides various services to charter and public schools in New York State; and

WHEREAS, the School is entering into this Agreement with CEI in order to meet its obligations under the Charter; and

WHEREAS, Pursuant to the Charter Agreement and applicable law and satisfactory review by the School's Authorizer, the School represents that it possesses the authority to contract with CEI for the provision of Services. The School further represents that it is currently applying for a renewal of its Charter. The provision of Services by CEI as contemplated by this Agreement has been included in the School's renewal application (the "**Renewal Application**") submitted to NYSED, and CEI acknowledges having received and reviewed a copy of the Renewal Application; and

WHEREAS, the Parties wish to further define their relationship through this Agreement;

NOW THEREFORE, in consideration of the mutual promises and covenants set forth herein and for such other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the Parties agree as follows:

ARTICLE I
CONTRACTING RELATIONSHIP

A. Contract. The School hereby contracts with CEI, to the extent permitted by law, for the provision of the Services, in coordination with the School's board of trustees ("**Board**"). CEI and the School agree that the School shall be operated in full compliance with the Charter, the Charter Agreement and all laws and regulations applicable to charter schools in the State of New York and that, in the event of a conflict between the Charter and Charter Agreement and this Agreement, the Charter and Charter Agreement shall control.

B. Designation of Agents. The School designates the employees of CEI as agents of the School having a legitimate educational interest such that they are entitled to access to educational records under 20 U S C § 1232g, the Family Education Rights and Privacy Act ("**FERPA**"). With regard to Section 2-d of the New York State Education law, each Party will comply with Exhibit C, the Student Data Privacy Plan, which is attached hereto and made a part hereof.

ARTICLE II
TERM

Term. This Agreement shall be effective as of July 1, 2021 (subject to the Renewal Application being approved and therefore the School's Charter being renewed) and, unless otherwise terminated pursuant to this Agreement, shall continue through the School's Charter Renewal Term approved in connection with the Renewal Application (the "**Renewal Term**") or on such earlier date as the School's Charter may expire or be terminated (the "**Term**"). The first academic year of this Agreement shall be from July 1, 2021 to June 30, 2022, and each academic year thereafter shall commence on July 1 and end on June 30 of the following year.

ARTICLE III
OBLIGATIONS OF CEI

A. Responsibility. CEI shall be responsible and accountable to the Board for the provision of the Services set forth in **Exhibit A** of this Agreement which is attached hereto and incorporated by reference herein. CEI's responsibility is expressly limited to the Services. The terms of this Agreement do not obligate CEI to expend its own funds on behalf of the School and do not permit CEI to spend the School's funds or otherwise obligate the School without the Board's approval.

B. Educational Program. CEI agrees to assist in the implementation of the educational goals and programs ("**Educational Program**") as set forth in the Renewal Application which, upon renewal of the Charter, shall be incorporated into the Charter Agreement. In the event that there is a need to modify the Educational Program, CEI and the School shall consult with the other party concerning the proposed modifications and obtain the approval of the other party before such modifications are presented to NYSED for approval. The parties hereto acknowledge that an essential principle of the Educational Program is its flexibility, adaptability and capacity to change in the interest of continuous improvement and efficiency, and that the School and CEI are interested in results and not in inflexible prescriptions.

C. Specific Functions. Consistent with Education Law § 2853 (1)(f), the Board shall have final authority for policy and operational decisions of the School. Subject to this authority, CEI shall be responsible for the Services as set forth in Exhibit A.

D. Charter between the School and NYSED. CEI will not act in a manner that will cause the School to be in breach of its Charter, Charter Agreement, the law, or to jeopardize its status under Federal law as a §501(c)(3).

E. Unusual Events. CEI agrees to timely notify the Board and the School's Principal of any anticipated or known: (i) material health or safety issues, (ii) labor, employee or funding problems, or (iii) problems of any other type that could adversely affect the School in complying with its responsibilities hereunder. CEI shall take prompt action, in consultation with the Board when possible, to address such issues or problems.

F. Student, Employment, Financial and Other Records. To the extent maintained by CEI as part of CEI's provision of Services, all student, employment, financial and other information related to the School shall be available and stored at the School. The financial, educational, and student records related to the School are and shall remain the sole property of the School.

G. Assistance to the Board. CEI shall cooperate with the Board in furnishing all information and submitting all forms and reports reasonably requested in connection with this Agreement, and shall timely furnish the Board with all documents and records necessary for the School to properly perform its responsibilities under the Charter, Charter Agreement and this Agreement. CEI shall designate appropriate CEI contact personnel and shall make all good faith efforts to foster effective communication with the Board.

H. Intellectual Property Rights. "Educational Materials" shall include (without limitation) print and-electronic textbooks, instructional materials, lesson plans, teacher guides, exercise, workbooks, tests and other curriculum-related materials.

The School will own all proprietary rights to curriculum or Educational Materials that: (i) are both directly developed and paid for by the School; or (ii) were developed by CEI at the direction of the Board with funds dedicated for the specific purpose of developing such curriculum or materials (the "**School Materials**").

CEI shall own all proprietary rights to, and the School's proprietary interest shall not include, curriculum or Educational Materials that were previously developed or copywritten or similarly protected by CEI, or curriculum or Educational Materials that are developed by CEI with funds from the School that are not otherwise dedicated to the specific purpose of developing School curriculum or Educational Materials. CEI shall own all intellectual property rights, including (without limitation) any copyright rights, in and to, the Educational Program and all Educational Materials relating thereto, as well as any non-curriculum materials created or provided by CEI in connection with, or related to, the implementation of the Educational Program, including all corrections, modifications, and derivatives thereof (collectively all of the foregoing shall be referred to as the "**CEI Materials**").

The parties acknowledge that to the extent the School's Materials are derivative of CEI Materials, the School's intellectual property ownership rights extend only to the new, original aspects of such works and not to any underlying or pre-existing material. Relevant Educational Materials and teaching techniques used by or at the School shall be subject to disclosure to the extent required under the Freedom of Information Act.

CEI hereby grants to the School the non-exclusive, non-transferable license to use the CEI Materials in furtherance of the Educational Program during the term of this Agreement or any renewal thereof, including (without limitation) the right to reproduce, publicly display, distribute, and create derivatives of same, in hard copy format, or electronically via the School's intranet. To the extent any part of the School Materials may be derivative of CEI Materials, the School shall have the non-exclusive, non-transferable right to use such CEI Materials, as same may have been previously embodied or incorporated in the School Materials, beyond the termination or expiration of this Agreement solely in connection with the operation of the School and in the ordinary course of such operations. The School represents and warrants that during the term of this Agreement, or following the expiration or termination of this Agreement, the School will not exploit, or assist any third party in exploiting, the School Materials or any CEI Materials for commercial purposes. Subject to applicable law, inclusive of FERPA, the School hereby grants CEI the non-exclusive, irrevocable, worldwide, assignable right to use, distribute, modify and display the School Materials, solely for education purposes in any and all media now known or hereafter developed.

CEI hereby grants the School the non-exclusive, non-transferable license to use CEI's trade name and the trademark(s) (the "**CEI Trademarks**") hereto to promote and advertise the School. No other use of the CEI Trademarks is permitted without CEI's prior written permission. The School shall acquire no rights in the CEI Trademarks, and all goodwill of the CEI Trademarks shall inure to the benefit of and remain with CEI. CEI shall have pre-approval rights for each form and manner of public display of the CEI Trademarks.

ARTICLE IV
OBLIGATIONS OF THE SCHOOL

A. Good Faith Obligation. The Board shall have overall authority and responsibility for the School's fiscal and academic policies. The Board shall exercise good faith in establishing, in consultation with CEI and consistent with the School's Charter and Charter Agreement, goals and objectives for the School. In consultation with the Principal, CEI shall exercise good faith in developing, implementing and assessing the plans and procedures to meet and achieve the goals and objectives established by the Board.

B. Assistance to CEI. The School shall cooperate with CEI in furnishing all information and submitting all forms and reports reasonable required in association with this Agreement, including timely notice and minutes of all Board meetings. The School shall timely furnish CEI all documents and records necessary for CEI to properly perform its responsibilities under this Agreement. The School will take all steps necessary to maintain its status under federal law as a § 501(c)(3) entity.

C. Unusual Events. The School agrees to timely notify CEI of any anticipated or known: (i) material health or safety issues, (ii) labor, employee or funding problems, or (iii) problems of any other type that could adversely affect CEI in complying with its responsibilities hereunder. The Board shall cooperate with CEI to address such issues or problems.

D. CEI Office Space. While this Agreement is in effect, reasonable and suitable office space, consistent with the space needs of the School and availability, shall be provided at the School upon CEI's request without cost for CEI personnel and subcontractors. The office space shall be used by CEI only for CEI activities related to the School, in compliance with applicable law and the School's Facility Use Policy.

E. Consultants. The School may retain consultants as reasonably justified to review the operations of the School and the performance of CEI under this Agreement at its own expense. CEI shall cooperate fully with such consultants in the performance of their responsibilities to the School.

F. Background Checks of CEI Employees and Contractors. All CEI employees and contractors who will be present at the School must be fingerprinted through NYSED's Office of School Personnel Review and Accountability ("**OSPRA**"), which the School will arrange. The School shall reserve the right (as it has the legal obligation) to exclude any CEI employees or contractors from the School's facility that do not meet OSPRA's requirements to be present within the School's facility.

ARTICLE V
SERVICE FEE

A. Service fee: In consideration for the provision of Services, the School agrees to pay CEI a fee for Services provided during the Term (the "Fee"). This Fee will be equal to eight percent (8%) of the School's Gross Revenues. "Gross Revenues" shall be defined as total federal, state, and local public revenues actually received by the School for Fiscal Year 2021 excluding rental

assistance, private grants and Title I funding. The Fee shall be paid in equal monthly installments due within fifteen (15) days of presentment of invoices by CEI.

ARTICLE VI
PERSONNEL AND TRAINING

A. Personnel. CEI shall assist the School's efforts to recruit, train, retain, evaluate, discipline and terminate qualified personnel to perform educational, administrative and non-educational services at the School. All employees shall be employees of the School. Compensation for the School's employees shall be established by the School and approved by the Board annually and in accordance with the collective bargaining agreement with instruction staff, as applicable.

B. Principal. The accountability of CEI to the School is an essential foundation of this Agreement. Since the responsibility of the Principal is critical to the School's success, the Board will consult with CEI on the accountability of the Principal for the success of the School.

C. Teachers. The Principal will select and hire qualified teachers and assign them to the grade levels and subjects as required for the School to operate in consultation with CEI and in accordance with the terms of its Charter Agreement. Each teacher serving at the School shall hold a valid teaching certificate issued by NYSED, to the extent required under the Charter Schools Act and the Charter Agreement.

ARTICLE VII
TERMINATION OF AGREEMENT

A. By CEI.

a. CEI may terminate this Agreement for cause prior to the end of the Term for any of the reasons set forth in subparagraphs (i), (ii), (iii), (iv) or (v) below:

i. If the School fails to pay when due any monetary obligation of the School as required by the provisions of this Agreement, and such obligation remains unpaid for a period of sixty (60) days after receiving written notice of the delinquent payment from CEI; or

ii. If the School materially breaches any of the material non-monetary provisions of this Agreement and fails to remedy such breach within 30 days after receipt of written notice of such breach from CEI, unless such breach is incapable of being cured within 30 days in which case this Agreement may be terminated if the School fails to initiate and continue a cure for such breach within 30 days after receipt of such written notice; or

iii. enactment, repeal, promulgation or withdrawal of any federal, state, or local law, regulation, or court or administrative decision or order which has a material adverse effect on CEI's ability to provide Services to the School in accordance with its budget, this Agreement or the CEI School Model; or

iv. The School refuses or willfully fails to follow any material direction of CEI related to implementation of the CEI School Model; or

v. The Authorizer revokes the School's Charter.

B. By School.

a The School may terminate this Agreement for cause prior to the end of the Term for any of the reasons set forth in subparagraphs (i), (iii), (iv), (v), or (viii) below or for its convenience for any of the reasons set forth in subparagraphs (ii) or (vi) below:

i. CEI becomes insolvent, enters into receivership, is the subject of a voluntary or involuntary bankruptcy proceeding, makes an assignment for the benefit of creditors, or does not have sufficient financial resources to perform it obligations under this Agreement in the ordinary course;

ii. a federal, state or local government regulatory authority, agency or commission has revoked any license or consent which may be required for CEI to carry on its business and perform its obligations and functions under the Charter Agreement or this Agreement;

iii. CEI violates any material provision of law with respect to the School from which the School was not specifically exempted and which results in material adverse consequences to the School;

iv. if CEI materially breaches any of the material terms and conditions of this Agreement and fails to remedy such breach within 30 days after receipt of written notice of such breach from the School, unless such breach is incapable of being reasonably cured within 30 days in which case this Agreement may be terminated if CEI fails to initiate and continue a cure for such breach within 30 days after receipt of such written notice;

v. the Board of Regents or the Authorizer revokes the Charter between the Authorizer and the School;

vi. the enactment, repeal, promulgation or withdrawal of any federal, State, or local law, regulation, or court or administrative decision or order finding that this Agreement or the operation of the School in conformity with this

Agreement or the Charter Agreement, would violate the School's, the Authorizer's or the State's responsibilities, duties or obligations under the State or federal constitutions, statutes, laws, rules or regulations (a "Regulatory Event"), which even with amendments to the Agreement that are mutually agreeable to the Parties, would cause the School to remain in non-compliance with any such Regulatory Event.

C. Procedures upon Expiration or Termination.

Upon expiration or termination of this Agreement for any reason, the Parties agree to cooperate in good faith and use their best efforts to complete a prompt and orderly separation, it being the intention of both Parties that the School shall remain open and operating in its normal course in the event of such expiration or termination of this Agreement, in accordance with the following rights and obligations of the Parties:

i. The School shall pay CEI any previously unpaid portion of the Management Fee for services performed by CEI until the time of termination.

ii. The School shall have the right to use CEI's Proprietary Works, as defined under Article III hereof, then currently in use by the School (including but not limited to the Trademarks), until the last day of the then current school year.

iii. CEI shall provide the Board with copies of all student records, financial reports, employee records, and other School data in CEI's possession and not currently in the possession by the Board.

iv. CEI shall have the right to remove equipment and other assets owned or leased by CEI. Assets owned by the School shall remain the property of the School. Assets leased by the School directly from a third party shall remain subject to the leasehold interest of the School and the ownership interest of the Lessor/Owner.

v. CEI shall provide the School with reasonable educational and operational transition assistance for a period of ninety (60) days after the termination of this Agreement, provided that the School shall pay to CEI all fees, expenses and other costs of CEI consultants and agents who may, from time to time, upon mutual agreement of the parties, provide assistance to the School or its students.

ARTICLE VIII

INDEMNIFICATION

A. **Indemnification**. Each party to this Agreement does hereby indemnify and hold harmless the other, and their respective boards of directors or trustees, partners, officers, employees, agents, representatives, and attorneys, from and against any and all claims, actions, damages, expenses, losses or awards which arise out of (i) the negligence of the other party, or (ii) any noncompliance or breach by the other party of any of the terms, conditions, warranties, representations, or undertakings contained in or made pursuant to this Agreement ("**Claim**"). Such indemnification may be achieved by the purchase of general liability and property insurance policies, or by such other means as the parties may mutually agree.

A. **Notice and Defense**. The party to be indemnified ("**Indemnified Party**") shall give the party from whom indemnification is sought ("**Indemnifying Party**") prompt written notice of any Claim for which indemnification is sought. Failure to give notice shall not affect the Indemnifying Party's duty or obligations under this except to the extent the Indemnifying Party is prejudiced thereby. The Indemnifying Party may undertake the defense of any third party claim by representatives chosen by it. If the Indemnifying Party undertakes the defense of a Claim, then the Indemnifying Party shall be deemed to accept that it has an indemnification obligation under this Article VIX with respect to such Claim. The Indemnified Party shall make available to the Indemnifying Party or its representatives all records and other materials required by them and in the possession or under the control of the Indemnified Party, for the use of the Indemnifying Party and its representatives in defending any such Claim, and shall in other respects give reasonable cooperation in such defense. If the Indemnifying Party, within ten (10) days after notice of any such Claim, fails to dispute the obligation of the Indemnifying Party with respect to such Claim and/or fails to defend such Claim actively and in good faith, then the Indemnified Party shall (upon written notice to the Indemnifying Party) have the right to undertake actively and in good faith the defense, compromise or settlement of such Claim and the Indemnifying Party shall thereafter have no right to challenge the Indemnified Party's defense, compromise, settlement thereof. If there is a reasonable probability that a Claim may materially and adversely affect the Indemnified Party other than as a result of money damages or other money payments, (i) the Indemnified Party shall have the right to defend, compromise or settle such Claim and (ii) the Indemnifying Party shall not, without the written consent of the Indemnified Party, settle or compromise any Claim which does not include as an unconditional term thereof the giving by the claimant to the Indemnified Party of a release from all liability in respect of such Claim.

B. **Failure to Defend.** If the Indemnitor, within thirty (30) days after notice of any such Claim, fails to dispute the obligation of the Indemnitee with respect to such Claim or fails to defend such Claim actively and in good faith, then the Indemnitee will (upon written notice to the Indemnitor) have the right to undertake the defense, compromise or settlement of such Claim or consent to the entry of a judgment with respect to such Claim, on behalf of and for the account and risk of the Indemnitor, and the Indemnitor shall thereafter have no right to challenge the Indemnitee's defense, compromise, settlement or consent to judgment therein.

ARTICLE IX

INSURANCE

A. **Insurance Coverage**. Each party shall maintain general liability insurance in the amount of $1,000,000 per occurrence (or such greater amount if required by the terms of the Charter Agreement or Charter Schools Act), with the other party listed as an additional insured. In addition, the School shall maintain an umbrella liability policy of $2,000,000 (or such greater amount if required by the terms of the Charter Agreement or Charter Schools Act), with the other party listed as an additional insured. The School shall maintain directors and officers insurance in the amount of $1,000,000 per occurrence. The building and related capital facilities remain the responsibility of the School and the School shall cover its property with appropriate insurance. Each party shall, upon request, present evidence to the other that it maintains the requisite insurance in compliance with the provisions of this Section. Each party shall comply with any information or reporting requirements required by the other party's insurer(s), to the extent reasonably practicable.

B. **Workers' Compensation Insurance**. Each party shall maintain workers' compensation insurance as required by law, covering their respective employees.

C. **Subcontractors.** CEI shall require that its subcontractors, if any, shall maintain insurance commercially standard insurance policies (including but not limited to general liability, automotive, directors and officers, workers compensation and disability insurance) and that such subcontractors name CEI and the School as additional insureds (except on workers compensation and disability policies, which is not permitted by law).

ARTICLE X
WARRANTIES AND REPRESENTATIONS

A. **School Warranties and Representations**. The School represents that it has the authority under law to execute, deliver and perform this Agreement and to incur the obligations provided for under this Agreement. The School warrants that its actions have been duly and validly authorized, and that it will adopt any and all resolutions or expenditure approvals required for execution of this Agreement.

B. **CEI Warranties and Representations**. CEI warrants and represents that it is a corporation in good standing and is authorized to conduct business in the State of New York. CEI represents that it has the authority under law to execute, deliver and perform this Agreement and to incur the obligations provided for under this Agreement. CEI warrants that its actions have been duly and validly authorized, and that it will adopt any and all resolutions or expenditure approvals required for execution of this Agreement. CEI warrants that it will comply with all registration and licensing requirements relating to conducting business under this Agreement.

C. **Mutual Warranties**. The School and CEI each mutually warrant to the other that there are no pending actions, claims, suits or proceedings, to its knowledge, threatened or reasonably anticipated against or affecting it, which if adversely determined, would have a material adverse effect on its ability to perform its obligations under this Agreement.

ARTICLE XI
MISCELLANEOUS

A. Sole Agreement. This Agreement, including Attachments, constitutes the entire agreement of the parties. This Agreement supersedes and replaces any and all prior agreements and understandings between the School and CEI with respect to the subject matter hereof, if any to the extent such agreements or understandings are inconsistent with the terms of this Agreement.

B. Force Majeure. Notwithstanding any other sections of this Agreement, neither party shall be liable for any delay in performance or inability to perform due to acts of God or due to war, riot, embargo, fire, explosion, sabotage, flood, accident, labor strike, or other acts beyond its reasonable control; provided either party may terminate this Agreement under Article VIII above if sufficient grounds exist as required by said Article VIII.

C. State Governing Law. The rights of all parties hereto shall be subject to the jurisdiction of and be construed according to the laws of the State of New York.

D. NYSED's Authority. Nothing in this Agreement shall be construed in any way to limit the authority of NYSED, including but not limited to, the authority to take and enforce action pursuant to Educational Law §2855.

E. Official Notices. All notices and other communications required by the terms of this Agreement shall be in writing and sent to the parties hereto at their addresses or to their facsimile numbers set forth below. Notice may be given by (i) facsimile with written evidence of confirmed receipt by the receiving party of the entire notice, (ii) certified or registered mail, postage prepaid, return receipt requested, or (iii) personal delivery. Notice shall be deemed to have been given on the date of transmittal or personal delivery if given by facsimile or personal delivery, or two (2) business days after the date of postmark if sent by certified or registered mail. The address of the parties hereto for-the purposes aforesaid shall be:

THE SCHOOL:
1962 Linden Boulevard
Brooklyn, NY 11270

Telephone: (347) 619-6800
Facsimile: (347) 292-6181

With a copy to:
Cohen Schneider Law, P.C.
275 Madison Avenue, Suite 1905
New York, NY 10016
Attn: Cliff S. Schneider, Esq.

CEI:
28 West 44th Street
Suite 801
New York, NY 10036

Telephone: (212)302-8800
Facsimile: (212)302-0088

With a copy to:
Whiteman Osterman & Hanna LLP
One Commerce Plaza
Albany, NY 12260
Attn: Kevin P. Quinn, Esq.

F. Assignment. CEI may not assign this Agreement without the prior written consent of the Board and approval of the Authorizer. Any such purported assignment without the Board and the Authorizer's approval shall be void.

G. Amendment. This Agreement shall not be altered, amended, modified or supplemented except by an amendment approved by the Board and signed by duly authorized signatories of both the School and CEI. In the event that this Agreement must be modified to meet any requirements imposed by the Internal Revenue Code in order to obtain or maintain the School's tax-exempt status each party shall be notified of such required modifications and shall cooperate to affect such required modifications.

H. Waiver. No waiver of any provision of this Agreement shall be deemed or shall constitute a waiver of any other provision. Nor shall such waiver constitute a continuing waiver unless otherwise expressly stated.

I. Costs and Expenses. If any party commences an action against another party as a result of a breach or alleged breach of this Agreement, the prevailing party shall be entitled to have and recover from the losing party reasonable attorneys' fees and costs of suit.

J. Delegation of Authority. Nothing in this Agreement shall be construed as delegating to CEI powers or authority of the Board, which are not subject to delegation, by the Board under New York law.

K. Compliance with Law. The parties to this Agreement agree to comply with all applicable laws and regulations.

L. Confidentiality. During the term of this Agreement, CEI and the Board and any employee over whom the Board exercises reasonable control may each disclose proprietary information to the other, including currently existing proprietary information and proprietary information created in the future. The receiving party shall use all such efforts as may be reasonably requested by the owner of such proprietary information so as not to disclose, publish, copy, transmit, modify, alter or utilize such proprietary information during the term of this Agreement or at any time after its termination or expiration other than (i) to the extent reasonably necessary for implementation of this Agreement, (ii) as required by law, or (iii) as required by a court of competent jurisdiction or SED.

1. Definitions.

a. "**Educational Materials**" means all curriculum, print and electronic textbooks, instructional materials, lesson plans, teacher guides, workbooks, tests, and other curriculum-related materials licensed, developed or otherwise owned by the School or CEI.

b. "**Confidential Information**" means any confidential and non-public trade, technical or business knowledge, information and materials regarding the School or CEI (or their respective affiliates), which is given by one party to the other, or any of their respective representatives, in any form, whether printed, written, oral, visual, electronic, or in any other media or manner. Confidential Information includes, but is not limited to, research, operations and procedures, financial projections, pricing, sales, expansion plans and strategies, services data, trade secrets and other intellectual property, or the results of any mediation or private adjudication, as well as information with respect to each party's or its affiliates' plans for market expansion, except for information which a party can show by contemporaneous written records was developed or formulated independently of work or services performed for, or in connection with performance of, this Agreement. Notwithstanding the foregoing, the disclosure of the other party's Confidential Information as required to be disclosed by law, rule or regulation or by reason of subpoena, court order or government action shall not constitute a breach of this Agreement; however, in such event the party required to disclose such information will reasonably cooperate with the party whose information is required to be disclosed in order to obtain a protective order applicable to such disclosure. All Confidential Information will remain the sole property of the party disclosing such information or data.

2. School Materials. The School shall own all right, title and interest in and to Educational Materials that are: (i) licensed or owned by the School as of the Effective Date; or (ii) licensed, developed, characterized, conceived, derived, generated, identified, or otherwise made by the School during the Term, provided such materials do not reference the CEI Materials (as defined below), or incorporate any Confidential Information of CEI (collectively, the "**School Materials**"). The School Materials shall include all intellectual property rights associated therewith.

3. CEI Materials. CEI shall own all right, title and interest in and to Educational Materials that are: (i) licensed or owned by CEI as of the Effective Date; (ii) licensed, developed, characterized, conceived, derived, generated, identified, or otherwise made by CEI during the Term, provided such materials do not reference School Materials or incorporate any Confidential Information of the School; and (iii) any and all Educational Materials and non-curriculum materials provided to the School by CEI relating to the Educational Program, including all changes and derivatives thereof (collectively, the "**CEI Materials**").

4. Derivative Works. The Parties acknowledge that to the extent any Educational Materials created by the School are derivative of the CEI Materials, use of such derivative materials during the Term is subject to the license granted herein, and the license to use such derivative materials shall cease as of the date of expiration or termination of this Agreement.

5. No Transfer or Sale. The School acknowledges and agrees that CEI is not transferring or selling, and the School is not receiving, purchasing or acquiring, any intellectual property or proprietary rights in or to the CEI Materials.

6. Licenses. CEI hereby grants the School a non-exclusive, non-transferable license (without the right to sublicense) to use the CEI Materials, and any Educational Materials created by the School which are derivative of the CEI Materials, solely in furtherance of the Educational Program during the Term, including without limitation, the right to reproduce, publicly displace, distribute and create derivative works of the same, in hard copy format or electronically, within the United States. The School represents and warrants that during the Term, and following the expiration or termination of this Agreement, the School will not exploit or assist any third party to exploit any of the CEI Materials for commercial purposes. Subject to applicable law, the School grants CEI a non-exhaustive, non-transferable (without the right to sublicense) to use the School Materials, solely in furtherance of the Educational Program during the Term, including without limitation, the right to reproduced, publicly display, distribute and create derivative works of the same, in hard copy format or electronically, within the United States.

7. CEI Marks. During the Term, CEI grants the School a non-exclusive, revocable, non-transferable license (without the right to sublicense) to use CEI's trade name(s) and CEI's trademark(s) (the "**CEI Marks**") solely for the purposes of promoting and advertising the School. CEI shall have the opportunity to review and approve all artwork, copy or other materials utilizing the CEI Marks prior to any production or distribution thereof. All uses of the CEI Marks require CEI's prior written permission. The School shall acquire no rights in or to the CEI Marks, and all goodwill associated with the CEI Marks shall inure to the benefit of and remain with CEI. Upon expiration or termination of this Agreement, the School shall immediately discontinue use of the CEI Marks and shall remove the CEI Marks from its locations, vehicles, websites, telephone directory listing and all other written or electronic promotional materials.

8. Assignment. Each party shall, and hereby does assign to the other, with full title guarantee and without additional compensation, such right, title and interest in and to any intellectual property as is necessary to fully affect the ownership provisions set out herein, and any accrued rights of action in respect thereof. Each party shall, if so requested by the other, execute all such documents and do all such other acts and things as may be reasonably required to comply with this Agreement to vest in the appropriate party all rights in the relevant intellectual property and shall procure execution by any named inventor of all such documents as may reasonably be required by the other party in connection with any related patent application.

M. No Third-Party Beneficiary Rights. With the exception of the Authorizer, the Trustees individually, and the Board collectively, this Agreement is not intended to create any rights in any third party beneficiary and no third party, whether a member of the community, a student or parent of a student of the School or otherwise, may enforce or rely upon any obligation of, or the exercise of or failure to exercise any right of, the School or CEI under this Agreement.

IN WITNESS WHEREOF, the undersigned have executed this Agreement as of the date and year first above written.

CENTER FOR EDUCATIONAL INNOVATION
a New York Not-for-profit

By:_____
Its: CEO

Collegiate Academy for Mathematics and Personal Awareness Charter School,
a New York not-for-profit education corporation

By:_____

Its: President, Board of Trustees

Exhibit A

Services

a. Marketing and development for the School. This will include, but not be limited to, assisting the School in recruiting and retaining students. Specifically, CEI will assist the School in working to recruit students to meet or exceed the School's enrollment goal of 200 students by the end of the Renewal Term[1].This will include, but not be limited to, enhanced recruitment efforts such as updating the School's student recruitment plan and materials, maximizing the use of social media, the School's website and targeted mailings to recruit and retain the maximum number of students for the Renewal Term.

b. Updating the School's facilities plan. This will include facilitating Board conversations and decision making around the School's Facility to determine if a New York City Department of Education (the "NYCDOE") co-location or another private facility is more feasible for the School to enable growth and reduce expense. In addition, CEI will investigate potential sources of funding that may be utilized for renovation of the School Facility if doing so would be more favorable than the removal and replacement of current portable classrooms or moving to another facility. For the avoidance of doubt, any discussions which CEI desires to engage in with third parties shall first be coordinated with the Board, and CEI is not authorized to bind the School in any fashion.

c. School finances. This will include reviewing and evaluating the School's finances to make recommendations to the Board to develop systems and structures for maintaining the School's financial position, including making recommendations to update internal financial policies and procedures, if needed.

d. Human resources. Beginning with the Effective Date, CEI will assist the School in recruitment of personnel and provide professional development for the School's administrator and all instructional personnel.

e. Funding opportunities. CEI will assist the School to identify and prepare, where appropriate, the preparation of city, state and federal competitive grant funding opportunities. Any grant applications must be approved by the Board prior to submission.

f. Board training. CEI will provide evaluation and training of the School's Board of Trustees in governance, compliance and mission development.

Exhibit B

CMO Evaluation Tool – CAMPA

Criterion	Rating	Frequency of Evaluation	Comments	
Principals • Assists with recruitment of new Principal when necessary • Assists with evaluation of Principal • Provides leadership training for Principal • Provides ongoing coaching and training for Principal	_ Exceeds expectations _ Satisfactory _ Needs improvement _ Unsatisfactory	Annual		
Teachers and Other School Personnel • Facilitates effort to recruit teachers, administrators and other School personnel • Determines staff levels and responsibilities in conjunction with Principals • Provides counsel, in conjunction with Principals, as to the evaluation and discipline of personnel • Provides initial teacher training in CEI's methods, curriculum, program and technology • Provides training to administrative staff in consultation with Principals • Assists School to develop the	_ Exceeds expectations _ Satisfactory _ Needs improvement _ Unsatisfactory	Annual		

internal capacity to deliver ongoing teacher training • Sponsors professional development days for teachers				
Facilities • Leads identification and renovation/construction of new facilities as needed.	_Exceeds expectations _ Satisfactory _ Needs improvement _ Unsatisfactory	Annual		
Fundraising • Identifies and assists with the preparation and/or review of Federal and/or State aid applications and reports	_ Exceeds expectations _ Satisfactory _ Needs improvement _ Unsatisfactory	Annual		

Marketing and Publicizing • Marketing for specifically but not limited to student recruitment and enrollment • Provides accessible and trainings on use of collateral and designed materials	_ Exceeds expectations _ Satisfactory _ Needs improvement _ Unsatisfactory	Annual		
Human Capital Management & Development • Identifies and develops future School leaders from existing School staff • Leads support and stewardship for human capital processes to ensure equitable and compliant practices exist; this is inclusive of employee handbook, performance, compensation, and hiring/exiting management.	_ Exceeds expectations _ Satisfactory _ Needs improvement _ Unsatisfactory	Annual		
Professional Development • Shares and demonstrates best practices as needed and requirested	_ Exceeds expectations _ Satisfactory _ Needs improvement _ Unsatisfactory	Annual		

School Policies • Assist with developing and implementing internal policies and regulations as needed and requested	_Exceeds expectations _ Satisfactory _ Needs improvement _ Unsatisfactory	Annual		

RATING KEY:

Rating	Rating Description
Exceeds Expectations	CEI exceeds the expectations of School by providing an excellent level of service, e.g._, producing reports ahead of schedule, anticipating problem and responding immediately to urgent requests, working extraordinarily flexible hours to meet the School's needs, or providing supplementary detail or support "beyond the call of duty"; CEI consistently advances the School's mission.
Satisfactory	CEI consistently meets all performance expectations in timeliness, accuracy, responsiveness, efficiency, and integrity. In the rare event of failing to meet expectations, CEI acknowledges the deficiency and takes clear and decisive action to address it.
Needs Improvement	CEI has occasionally failed to meet the School's expectations or has made a material error but otherwise has performed satisfactorily. In response to such failure, CEI is slow to respond or challenges the facts rather than focusing on solving the problem proactively.

Unsatisfactory	CEI consistently fails to meet the School's expectations, is inflexible when urgent or ad hoc requests are made, does not respond quickly to calls or emails, subverts the School's mission by its actions and behaviors, and does not embody the values of the School.

General Comments and Feedback:

Exhibit C

CAMPA – CEI DATA PRIVACY PLAN AND PARENTS' BILL OF RIGHTS FOR DATA SECURITY AND PRIVACY

In accordance with the requirements of New York Education Law § 2-d, the Collegiate Academy for Mathematics and Personal Awareness Charter School ("CAMPA" or the "School") provides a Parents' Bill of Rights with respect to maintaining the privacy and security of student data:

This Notice Includes the Bill of Rights and describes The Data Security and Privacy Plan that is assured whenever the School enters into an Agreement with a Third-Party Contractor ("Contractor") that requires the disclosure to the Contractor of student data, teacher data or principal/school leader(s) data containing personally identifiable information ("PII"). Pursuant to Section 2-d of the New York Education Law ("Section 2-d") any such Agreement must include a Data Security and Privacy Plan and must incorporate the School's Parents' Bill of Rights for Data Security and Privacy.

Parents Bill of Rights

1. A student's personally identifiable information (PII) cannot be sold or released for any commercial purposes.

2. The School assures that the confidentiality of electronically stored PII is protected using safeguards that comport with industry standards and best practices, including but not limited to, encryption, secure firewalls and password protection when student data is stored or transferred.

3. Parents have a right to inspect and review the complete contents of the student's educational record, including portions of the record that are stored electronically, even when the record is maintained by a third-party contractor.

4. Parents have a right to review a complete list of all student data elements collected by the New York State Education Department ("NYSED"), published on NYSED's website at http://www.p12.nysed.gov/irs/sirs/documentation/NYSEDstudentData.xlsx. Parents may obtain a copy of this list by writing to the Office of Information & Reporting Services, New York State Education Department, Room 863 EBA, 89 Washington Avenue, Albany, NY 12234.

5. Parents have the right to file complaints with the School about possible privacy breaches of student data by the School's third-party contractors or their employees, officers, or assignees, or with NYSED. Complaints to the School may be submitted to the School's Data Protection Officer, Niaka Gaston and can be submitted to ngaston@campacharter.org

6. Complaints to NYSED should be directed in writing to the Chief Privacy Officer, New York State Education Department, 89 Washington Avenue, Albany NY 12234, emailed to CPO@mail.nysed.gov.

Data Security and Privacy Plan for the Third-Party Contractor

CEI ("Contractor") agrees that the following terms shall be incorporated into its contract for services ("the Contract") with the School and it shall adhere to the following provisions:

A. The Contactor's storage use and transmission of student and teacher/principal PII shall be consistent with the School's Data Security and Privacy Policy available on the School's website.

B. Contractor shall not sell personally identifiable information nor use or disclose it for any marketing or commercial purpose or permit another party to do so.

C. The exclusive purposes for which the student data, teacher data or principal data will be used under the contract are set forth in Services Agreement, and such data will be used by the Contractor only for the term of the Contract.

D. The Contractor shall maintain administrative, operational and technical safeguards and practices in place to protect PII, which shall align with the NIST Cybersecurity Framework.

E. The Contractor shall ensure that no PII is disclosed to employees, subcontractors, or other persons or entities unless they have a legitimate educational interest and only for purposes necessary to provide services under the Contract.

F. Contractor shall not disclose PII to any party other than those set forth in this Agreement, without prior written parental consent or unless required by law or court order. If disclosure of PII is required by law or court order, the Contractor shall notify the School no later than the time the PII is disclosed unless such notice is expressly prohibited by law or the court order.

G. Contractor shall ensure that all employees, subcontractors, or other persons or entities who have access to PII will abide by all applicable data protection and security requirements, including, but not limited to those outlined in applicable laws and regulations (e.g., FERPA, Education Law Section 2-d).

H. Upon expiration of the contract, the PII will be returned to the School and/or destroyed within 90 days of the end of the Agreement.

I. The Contractor shall take the following steps to identify breaches or unauthorized releases of PII and to notify the School upon learning of an unauthorized release of PII.

(i) Provide prompt notification to the School no later than seven (7) calendar days from date of discovery of a breach or unauthorized release of PII. Contractor shall provide notification to the School's data privacy officer by phone and by email.

(ii) Contractor shall cooperate with the School and law enforcement to protect the integrity of the investigation of any breach or unauthorized release of PII.

(iii) Where a breach or unauthorized release is attributed to the Contractor, the Contractor shall pay for or promptly reimburse the School for the full cost of such notification. Contractor may also be subject to certain penalties, including but not limited to monetary fine, training on federal and state law regarding confidentiality of data, and preclusion from accessing PII from the School for up to five years.

J. The Contractor acknowledges that it has received the Parents Bill of Rights and agrees to abide by its terms.

K. The School shall publish this contract addendum on its website.

Attachment F: Philanthropic Support

This section is not applicable to CEI.

Attachment G: Consolidated Financial Statements

This section is not applicable to CEI as CEI only has one organization.

Attachment H: Audited Financial Statements

Please find the following Audited Financial Statements for CEI:

1. FY21 Audited Financial Statements
2. FY20 Audited Financial Statements
3. FY19 Audited Financial Statements

CENTER FOR EDUCATIONAL INNOVATION

FINANCIAL STATEMENTS

JUNE 30, 2021 AND 2020

CENTER FOR EDUCATIONAL INNOVATION

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FULVIO & ASSOCIATES, L.L.P.

Certified Public Accountants

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INDEPENDENT AUDITOR'S REPORT

To the Board of Directors of
Center for Educational Innovation:

We have audited the accompanying financial statements of Center for Educational Innovation. (the "Company"), which comprise the statements of financial position as of June 30, 2021 and 2020, the related statements of activities and cash flows and the schedules of functional expenses for the years then ended and the related notes to the financial statements.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Company, as of June 30, 2021 and 2020, and the results of its operations and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Basis for Opinion

We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Our responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the Company and to meet our other ethical responsibilities in accordance with the relevant ethical requirements relating to our audits. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about the Company's ability to continue as a going concern within one year after the date that the financial statements are available to be issued.

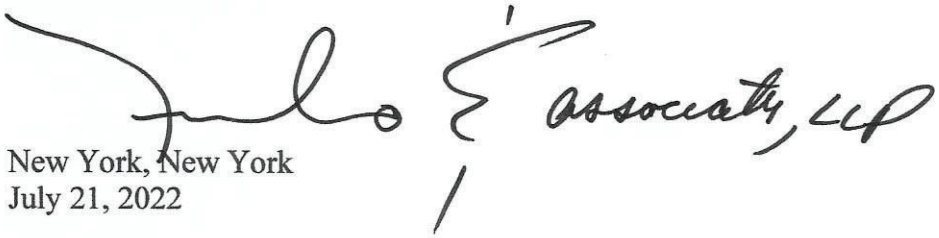
Auditor's Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with generally accepted auditing standards will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements, including omissions, are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with generally accepted auditing standards, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Company's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about Company's ability to continue as a going concern for a reasonable period of time.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control related matters that we identified during the audit.



New York, New York
July 21, 2022

CENTER FOR EDUCATIONAL INNOVATION
STATEMENTS OF FINANCIAL POSITION
JUNE 30, 2021 AND 2020

	2021	2020
ASSETS		
Cash and cash equivalents	$ 1,027,966	$ 858,070
Cash and cash equivalents, restricted	-	116,986
Investment held for retirement plan	639,367	495,124
Contract receivables, net of allowance for doubtful accounts of $0 in 2021 and $45,050 in 2020	952,286	907,589
Government grants receivable	661,263	982,993
Prepaid expenses and other assets	18,000	16,478
Property and equipment, net of accumulated depreciation of $8,788 in 2021 and $37,187 in 2020	6,908	28,307
Total Assets	$ 3,305,790	$ 3,405,547
LIABILITIES AND NET ASSETS		
Liabilities:		
Accounts payable and accrued expenses	$ 806,755	$ 1,202,750
Accrued liability from abandonment of lease	600,000	184,550
Deferred compensation payable	639,367	495,124
Deferred rent	-	77,682
Refundable advance	467,503	260,700
Loans payable	150,000	150,000
Total Liabilities	2,663,625	2,370,806
Net Assets:		
Without donor restrictions:	516,403	914,504
With donor restrictions:	125,762	120,237
Total Net Assets	642,165	1,034,741
Total Liabilities and Net Assets	$ 3,305,790	$ 3,405,547

The accompanying notes are an integral part of these financial statements.

CENTER FOR EDUCATIONAL INNOVATION
STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED JUNE 30, 2021
(WITH SUMMARIZED FINANCIAL INFORMATION FOR THE YEAR ENDED JUNE 30, 2020)

	Without Donor Restrictions	With Donor Restrictions	Total 2021	Total 2020
Revenues, Gains, (Losses) and Other Support				
Contribution and foundation grants	15,400	$ 100,000	$ 115,400	$ 149,574
Government grants and contracts	990,906	-	990,906	1,244,018
Government grants - Paycheck Protection Program	260,700	-	260,700	-
Consulting income	2,754,105	-	2,754,105	3,154,421
Special event	382,476	-	382,476	596,730
Direct costs of special event	(17,535)		(17,535)	(182,527)
investment (loss) income	(190)	-	(190)	22
Miscellaneous income	123,643	-	123,643	-
Net assets released from restrictions	94,475	(94,475)	-	-
Total revenues, gains, (losses) and other support	4,603,980	5,525	4,609,505	4,962,238
Expenses				
Program Services				
Project BOOST	513,247	-	513,247	669,145
Public School Consulting	2,170,991	-	2,170,991	2,356,848
Education Through Arts (ETA)	693,458	-	693,458	575,130
Other programs	113,358	-	113,358	29,921
Total program services	3,491,054	-	3,491,054	3,631,044
Supporting services				
Management and general	862,094	-	862,094	1,649,449
Fundraising	178,036	-	178,036	313,090
Total supporting services	1,040,130	-	1,040,130	1,962,539
Total expenses	4,531,184	-	4,531,184	5,593,583
Change in net assets before other income and expenses	72,796	5,525	78,321	(631,345)
Other Income and Expenses				
Loss on abandonment of office lease	(454,754)	-	(454,754)	-
Loss on disposal of assets	(16,143)	-	(16,143)	-
Change in Net Assets	(398,101)	5,525	(392,576)	(631,345)
Net Assets, Beginning of Year	914,504	120,237	1,034,741	1,666,086
Net Assets, End of Year	$ 516,403	$ 125,762	$ 642,165	$ 1,034,741

The accompanying notes are an integral part of these financial statements.

CENTER FOR EDUCATIONAL INNOVATION
STATEMENT OF FUNCTIONAL EXPENSES
FOR THE YEAR ENDED JUNE 30, 2021
(WITH SUMMARIZED FINANCIAL INFORMATION FOR THE YEAR ENDED JUNE 30, 2020)

	Program Services					Supporting Services		Total	
	Project BOOST	Public School Consulting	Education through Arts (ETA)	Other Programs	Total	Management and General	Fundraising	2021	2020
Salaries	$ 386,249	$ 1,024,489	$ 381,729	$ -	$ 1,792,467	$ 404,919	$ 100,683	2,298,069	2,419,966
Payroll taxes and employee benefits	66,930	116,585	68,168	-	251,683	97,160	18,379	367,222	379,630
Total salaries and benefits	453,179	1,141,074	449,897	-	2,044,150	502,079	119,062	2,665,291	2,799,596
Consultants and professional fees	52,282	946,903	228,077	18,881	1,246,143	233,565	58,926	1,538,634	1,750,476
Incentives and stipends	-	3,198	-	-	3,198	50	-	3,248	25,325
Staff and professional development workshops	-	23,000	-	6,886	29,886	700	-	30,586	13,960
Grants to Schools	-	4,600	-	87,124	91,724	-	-	91,724	23,322
Printing and postage	-	1,176	355	467	1,998	6,353	48	8,399	35,294
Local travel	375	9,089	-	-	9,464	563	-	10,027	31,438
Out-of-town travel	-	12,094	-	-	12,094	83	-	12,177	41,630
Instructional and office supplies	5,032	5,241	12,224	-	22,497	5,544	-	28,041	48,855
Occupancy	-	-	-	-	-	8,340	-	8,340	317,913
Telephone	300	13,422	455	-	14,177	14,791	-	28,968	21,420
Student activities	1,320	-	-	-	1,320	-	-	1,320	29,884
Insurance	-	-	-	-	-	23,553	-	23,553	9,532
Conferences, meetings and workshops	-	109	-	-	109	201	-	310	87,100
Computer and technology support	649	11,085	2,385	-	14,119	4,268	-	18,387	25,502
Bad debt	-	-	-	-	-	45,050	-	45,050	232,094
Depreciation and amortization	-	-	-	-	-	5,256	-	5,256	10,946
Miscellaneous expenses	110	-	65	-	175	11,698	-	11,873	89,296
Catering/entertainment, gala	-	-	-	-	-	-	17,535	17,535	182,527
Subtotal	513,247	2,170,991	693,458	113,358	3,491,054	862,094	195,571	4,548,719	5,776,110
Less: Direct costs of special events	-	-	-	-	-	-	(17,535)	(17,535)	(182,527)
Total expenses	$ 513,247	$ 2,170,991	$ 693,458	$ 113,358	$ 3,491,054	$ 862,094	$ 178,036	$ 4,531,184	$ 5,593,583

The accompanying notes are an integral part of these financial statements.

CENTER FOR EDUCATIONAL INNOVATION
STATEMENT OF CASH FLOWS
FOR THE YEAR ENDED JUNE 30, 2021
(WITH SUMMARIZED FINANCIAL INFORMATION FOR THE YEAR ENDED JUNE 30, 2020)

	2021	2020
CASH FLOWS FROM OPERATING ACTIVITIES:		
Change in net assets	$ (392,576)	$ (631,345)
Adjustments to reconcile change in net assets to net cash (used in) provided by operating activities:		
Depreciation and amortization	5,256	10,946
Loss on disposal of assets	16,143	-
Loss on abandonment of office lease	454,754	-
Gain on investments held for retirement plan	(176,348)	-
Government grant - Paycheck Protection Program	(260,700)	(38,029)
Bad debt	45,050	232,094
Deferred rent	-	(13,823)
Net (increase) decrease in assets		
Program fees receivable	(89,747)	(137,539)
Government grants receivable	321,730	(354,758)
Prepaid expenses and other assets	(1,522)	11,122
Net increase (decrease) in liabilities		
Accounts payable and accrued expenses	(395,995)	894,486
Accrued liability from abandonment of lease	(116,986)	184,550
Deferred compensation payable	144,243	(7,194)
NET CASH (USED IN) PROVIDED BY OPERATING ACTIVITIES	(446,698)	150,510
CASH FLOWS FROM INVESTING ACTIVITIES:		
Purchases of property and equipment	-	(15,786)
Withdrawals from investments held for retirement plan	32,105	45,223
NET CASH USED IN INVESTING ACTIVITIES	32,105	29,437
CASH FLOWS FROM FINANCING ACTIVITIES:		
Proceeds from refundable advance	467,503	260,700
Proceeds from loans payable	-	150,000
NET CASH PROVIDED BY FINANCING ACTIVITIES	467,503	410,700
NET CHANGE IN CASH AND CASH EQUIVALENTS	52,910	590,647
CASH AND CASH EQUIVALENTS, BEGINNING OF YEAR	975,056	384,409
CASH AND CASH EQUIVALENTS, END OF YEAR	$ 1,027,966	$ 975,056
RECONCILIATION OF CASH AND CASH EQUIVALENTS AND RESTRICTED CASH AND CASH EQUIVALENTS		
Cash and cash equivalents	$ 1,027,966	$ 858,070
Cash and cash equivalents, restricted	-	116,986
	$ 1,027,966	$ 975,056
SUPPLEMENTAL DISCLOSURE OF NONCASH ACTIVITIES		
Forgiveness of debt	$ 260,700	$ -
Loss on abandonment of office lease	$ 454,754	$ -

The accompanying notes are an integral part of these financial statements.

Note 1 - Organization and Nature of Activities

Center for Educational Innovation (CEI) has been established to transform public education in America by shifting accountability from centralized bureaucracies to local schools, and by creating systems of school choices for communities. CEI's primary sources of revenues are government grants and contracts, consulting income, and special event. CEI is exempt from income taxes under Section 501(c)(3) of the Internal Revenue Code.

The following are descriptions of CEI's programs:

Project BOOST

Project BOOST (Building Options and Opportunities for Students) is CEI's signature program, which targets elementary and middle school students in kindergarten through 8th grade, who have demonstrated academic talents but do not have the financial resources necessary to cultivate and enrich their academic experience. The original overall goal of the program is to assist and to inspire participating middle school students in gaining admission to the highest quality high school, in NYC, being the Specialized High Schools. Overall, the program has grown to include schools in and out of NYC and as such, the goal has now broadened to inspire middle school students to gain admission into the best high school program possible, to nurture the talents and interests of students and help them identify college and career pathways. CEI offers a triangle of comprehensive services to build academic, cultural, social and service skills necessary for long-term student growth, academic enrichment, cultural enrichment and community service.

With a focus on equity and innovation, Project BOOST has grown to offer students a wide range of activities and resources including trips to live Broadway and museums through partnerships with some of NYC's finest academic, social, and cultural institutions. Project BOOST encourages the student to take full advantage of the opportunities afforded to them, and emphasizes the need to give back to the communities through a strong community service component. Students are taught that regardless of their socio-economic background, they can make fundamental contributions to society by giving of themselves through service.

In 2011, Project BOOST was extended to include CEI's Early Stages program. CEI's Early Stages provides free and significantly reduced-cost theatre tickets to underserved schools and their students. This has afforded the opportunity for exposure to the performing arts, which included attendance at NYC's most renowned performing arts venues, such as Broadway theatres, Lincoln Center, and Carnegie Hall, and to provide multiple opportunities for students to respond to the theatre through workshops, discussions, and writing (since its inception over 70,000 tickets have been made available to students).

To accomplish the goals of Project BOOST, the program provides funding for cultural enrichment experiences, tutoring and test preparation, academic guidance, live and virtual college visitations, introduction to robotics and coding, and a social action arts project, CEI's Benchmarks, as well as other community service opportunities through grants to schools funded by NYS Special Legislative Grants, NYC Council funding, private foundation grant funding and philanthropic donations.

Note 1 - Organization and Nature of Activities (cont'd.)

Public School Consulting

Customized services, technical assistance and professional learning to superintendents and school leaders. By design, CEI works directly with teachers, school leaders, and the community to create CEIs their children need to succeed by:

- Developing and supporting existing public schools
- Creating, developing and supporting public charter schools
- Training teachers and principals in effective educational practices
- Implementing enrichment programs to increase academic skills and augment the social and cultural experiences of students
- Networking schools to provide peer-level support, share best practices and pool resources
- Providing extensive information services for parents and other interested members of the community
- Restructuring large public schools into smaller learning communities
- Advocating for system-wide adoption of effective school based reforms and public education policies

Charter Schools Support

Following several cycles of Federal Funding, CEI continues to support educators and school leaders to become highly effective professionals and grow successful independent charter schools in the following ways:

- Foster authentic collaboration at all levels of CEI through professional learning communities (PLCs) that use data to research student learning challenges and create shared action strategies.
- Support teacher effectiveness through observations using the Danielson Framework. Support principal effectiveness through the use of the Vanderbilt Assessment of Leadership in Education (Val-ED).
- Provide a comprehensive educator and school leader evaluation system that integrates measures of professional practice and student outcomes to provide educators with an annual review tied to compensation.
- Offer extensive professional development and a structure to participate in Instructional Rounds across and within schools.
- Assist schools in creating a performance-based salary schedule and teacher career ladder that allows effective teachers to advance their career without leaving the classroom.
- Hone the instructional and leadership expertise needed to dramatically improve student achievement, rewarding our most effective educators, and achieving high levels of performance for all students and teachers.

Note 1 - Organization and Nature of Activities (cont'd.)

Education Through Art (ETA):

This program is funded by an Assistance for Arts Education Development and Dissemination (AAEDD) four-year grant of $2.5M from the Office of Innovation and Improvement of the US Department of Education.

ETA program utilizes visual art and music as instructional strategies to directly teach ELA and Math while strengthening social and emotional learning skills (SEL).

ETA program serves special education students and teachers of grades 3, 4 and 5 in NYC School District 75 and tailors all lessons, materials and resources to serve a wide range of students - those with cognitive challenges who are alternately assessed, to those with emotional and behavioral challenges who take standardized assessments. Through in-class student residencies, professional development workshops, coaching and modeling, and the compilation of a digital resource of lessons, curriculum maps, and embedded schedules, the ETA program provides an innovative, arts- based approach to strengthening academic, art and SEL skills.

Other Programs

School Network activities that typically are for short-term duration and are consistent with the mission of CEI.

Note 2 - Summary of Significant Accounting Policies

Adoption of FASB ASU No. 2014-09

Effective July 1, 2020, CEI adopted the provisions of Financial Accounting Standards Board ("FASB") Accounting Standards Update ("ASU") No. 2014-09, *Revenue from Contracts with Customers* (Topic 606). This ASU requires CEI to recognize revenue to depict the provision of consulting services to the public and charter schools that purchase their services. The amount CEI expects to receive is calculated as the transaction price and recorded as revenue in exchange for providing the services. Because contracts are generally complete within one year, CEI used the actual transaction price rather than estimating variable consideration amounts for contracts completed during the year ended June 30, 2021.

CEI adopted this standard on July 1, 2020, using a modified retrospective approach. Comparative prior period information has not been adjusted and continues to be reported in accordance with previous revenue recognition guidance in FASB Accounting Standards Codification ("ASC") Topic 605, *Revenue Recognition.*

CEI's adoption of this ASU did not result in a change to the timing of revenue recognition.

Basis of Accounting

The accompanying financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America ("U.S. GAAP").

Note 2 - Summary of Significant Accounting Policies (cont'd.)

Use of Estimates

The preparation of financial statements in accordance with U.S. GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosures of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses recognized during the reporting period. Actual results could differ from those estimates.

Cash and Cash Equivalents

CEI considers all liquid investments with original maturities of three months or less to be cash equivalents. At June 30, 2021 and 2020, cash equivalents consisted primarily of money market accounts with brokers.

Restricted cash and cash equivalents consist of a money market account used as collateral for a letter of credit.

CEI maintains cash balances in financial institutions which are insured by the Federal Deposit Insurance Corporation ("FDIC") for up to $250,000 per institution. At June 30, 2021, and from time to time during the years ended June 30, 2021 and 2020, CEI's cash accounts exceeded federally insured limits.

Investments and Net Investment Return

Investments in equity securities having a readily determinable fair value and in all debt securities are carried at fair value. Other investments are valued at the lower of cost or fair value.

Investment return includes dividend, interest and other investment income; realized and unrealized gains and losses on investments carried at fair value; and realized gains and losses on other investments, less external and direct internal investment expenses.

Fair Value of Financial Instruments

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. To increase the comparability of fair value measurements, a framework for measuring fair value is used which provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (Level 1) and the lowest priority to unobservable inputs (Level 3). Valuation techniques maximize the use of relevant observable inputs and minimize the use of unobservable inputs.

Note 2 - Summary of Significant Accounting Policies (cont'd.)

Fair Value of Financial Instruments Cont'd.)

The three levels of the fair value hierarchy under FASB ASC Topic 820, Fair Value Measurement are described as follows:

Level 1 - Valuations based on quoted prices for identical assets and liabilities in active markets.

Level 2 - Valuations based on observable inputs other than quoted prices included in Level 1, such as quoted prices for similar assets or liabilities in active markets, quoted prices for identical or similar assets and liabilities in markets that are not active, or other inputs that are observable or can be corroborated by observable market data.

Level 3 - Valuations based on unobservable inputs reflecting CEI's own assumptions, consistent with reasonably available assumptions made by other market participants. These valuations require significant judgment.

Refer to Note 4 for assets and liabilities measured at fair value at June 30, 2021 and 2020 in accordance with FASB ASC Topic 820.

Contract Receivables, Allowance for Doubtful Accounts and Revenue Recognition

CEI provides consulting services to both public and charter schools throughout its fiscal year and consulting income is recognized as CEI provides services to the schools through continuing education programs. Schools will contract with CEI for consulting services to be provided over the course of the school's fiscal year, which is the same as CEI's fiscal year. CEI determines the transaction price based on standard charges for consulting services provided. These amounts are due based on a contract between the schools and CEI, and can be paid for by the schools, the New York City Department of Education ("NYCDOE") and others. There were no price concessions during the years ended June 30, 2021 and 2020.

Contract liabilities represent revenue that has been deferred for consulting services that have not yet been provided to the schools.

Amounts related to services provided to schools which have not been billed and that do not meet the conditional right to payment at the end of the reporting period are contract assets.

Contract receivables are stated at the amount of consideration CEI has as an unconditional right to receive based on established rates and attendance at its programs. Payment for consulting income is generally due after the program has taken place.

CEI provides an allowance for doubtful accounts, which is based upon a review of outstanding receivables, historical collection information and existing economic conditions. Delinquent receivables are written off based on individual credit evaluation and specific circumstances of the customer. Interest is not charged on outstanding receivables.

Note 2 - Summary of Significant Accounting Policies (cont'd.)

Contract Receivables, Allowance for Doubtful Accounts and Revenue Recognition (cont'd.)

The opening and closing balances of contract receivables, allowance for doubtful accounts, contract assets and contract liabilities from contracts with customers are as follows:

	Contract Receivables	Allowance for Doubtful Accounts	Contract Assets	Contract Liabilities
Balance, July 1, 2019	$ 968,604	$ -	$ -	$ -
Balance, June 30, 2020	$ 952,639	$ 45,050.00	$ -	$ -
Balance, June 30, 2021	$ 952,286	$ -	$ -	$ -

Property and Equipment

Property and equipment are stated at cost less accumulated depreciation. Items with a cost of $1,000 or more and an estimated useful life of more than one year are capitalized. Depreciation is charged to expense using the straight-line method over the estimated useful life of each asset. Leasehold improvements are amortized over the shorter of the lease term or their respective estimated useful lives.

The estimated useful lives for each major depreciable classification of property and equipment are as follows:

Leasehold improvements	7 years
Equipment	3-5 years
Furniture and fixtures	5-7 years

Long Lived Asset Impairment

CEI evaluates the recoverability of the carrying value of long-lived assets whenever events or circumstances indicate the carrying amount may not be recoverable. If a long-lived asset is tested for recoverability and the undiscounted estimated future cash flows expected to result from the use and eventual disposition of the asset are less than the carrying amount of the asset, the asset cost is adjusted to fair value and an impairment loss is recognized as the amount by which the carrying amount of a long-lived asset exceeds its fair value. No asset impairment was recognized during the years ended June 30, 2021 and 2020.

Net Assets

Net assets, revenues, gains and losses are classified based on the existence or absence of donor restrictions. Net assets without donor restrictions are available for use in general operations and not subject to donor or certain grantor restrictions. Net assets with donor restrictions are subject to donor or certain grantor restrictions. Some restrictions are temporary in nature, such as those that will be met by the passage of time or other events specified by the donor.

Note 2 - Summary of Significant Accounting Policies (cont'd.)

Government Grants and Contracts

Support funded by grants is recognized as CEI meets the conditions prescribed by the grant agreement, performs the contracted services or incurs outlays eligible for reimbursement under the grant agreements. As the conditions are met, CEI simultaneously releases the government grants and they are reflected as without donor restrictions. To the extent amounts received exceed amounts spent, CEI recognizes deferred revenue. Grant activities and outlays are subject to audit and acceptance by the granting agency and, as a result of such audit, adjustments could be required.

Contributions

Contributions are provided to CEI either with or without restrictions placed on the gift by the donor. Revenues and net assets are separately reported to reflect the nature of those gifts – with or without donor restrictions. The value recorded for each contribution is recognized as follows:

Nature of the Gift	Value Recognized
Conditional gifts, with or without restrictions	
Gifts that depend on CEI overcoming a donor-imposed barrier to be entitled to the funds	Not recognized until the gift becomes unconditional, *i.e.* the donor-imposed barrier is met
Unconditional gifts, with or without restrictions	
Received at date of gift - cash and other assets	Fair value
Received at date of gift - property, equipment and long-lived assets	Estimated fair value
Expected to be collected within one year	Net realizable value
Collected in future years	Initially reported at fair value determined using the discounted present value of estimated future cash flows technique

In addition to the amount initially recognized, revenue for unconditional gifts to be collected in future years is also recognized each year as the present-value discount is amortized using the level- yield method.

Note 2 - Summary of Significant Accounting Policies (cont'd.)

Contributions (cont'd.)

When a donor-stipulated time restriction ends or purpose restriction is accomplished, net assets with donor restrictions are reclassified to net assets without donor restrictions and reported in the statements of activities as net assets released from restrictions.

Gifts that are originally restricted by the donor and for which the restriction is met in the same time period are recorded as revenue with donor restrictions and then released from restriction.

Special Events

CEI conducts special events in which a portion of the gross proceeds paid by the participant represents payment for the direct cost of the benefits received by the participant at the event. All proceeds received are recorded as special events revenues in the accompanying financial statements.

Functional Expenses

The costs of supporting the various programs and other activities have been summarized on a functional basis in the statement of activities. Certain costs have been allocated among the program, management and general and fund raising categories proportional to their related, directly charged expenses.

Operating Lease

Rent expense has been recorded on the straight-line basis over the life of the lease. Deferred rent, when material, is recorded for the difference between the fixed payment and the rent expense.

Grants to Schools, Incentives and Stipends

Grants to schools, incentives and stipends are recorded when awarded.

Accounting for Uncertainty in Income Taxes

CEI has determined that there are no material uncertain tax positions that require recognition or disclosure in the financial statements. CEI is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. CEI believes it is no longer subject to income tax examinations prior to 2019.

Summarized Financial Information

The financial statements include certain prior-year summarized comparative information in total, but not by net asset class. Such information does not include sufficient detail to constitute a presentation in conformity with accounting principles generally accepted in the United States of America. Accordingly, such information should be read in conjunction with CEI's financial statements for the year ended June 30, 2020, from which the summarized information was derived.

Note 2 - Summary of Significant Accounting Policies (cont'd.)

ASU No. 2106-02

In February 2016, the FASB issued ASU No. 2016-02, Leases (Topic 842). The ASU provides that lessees should recognize lease assets and lease liabilities on the balance sheet for leases previously classified as operating leases that exceed 12 months, including leases existing prior to the effective date of this ASU. It also calls for enhanced leasing arrangement disclosures.

For nonpublic entities, the amendments of ASU No. 2016-02 are effective for annual reporting periods beginning after December 15, 2021, and interim periods within annual periods beginning after December 15, 2022, based on the decision in ASU No. 2020-05 to defer the implementation dates. Early application is permitted for all entities.

CEI does not anticipate this ASU will have a material impact on its financial statements.

Note 3 - Letter of Credit

In connection with its lease agreement from 2016, CEI entered into a letter of credit agreement in the amount of $116,986 with JPMorgan Chase, N.A. (Chase) to be used as a security deposit. Interest was charged at 1 percent and is collateralized by CEI's account at Chase. The letter of credit automatically renewed and was set to expire on October 31, 2020. However, in August 2020, the landlord exercised its right to the security deposits, closing out the letter of credit. Interest expense was $0 in 2021 and $1,173 in 2020.

Note 4 - Fair Value Measurement and Investments

Items Measured at Fair Value on a Recurring Basis

Mutual funds are stated at fair value based on quoted market prices. Investments categorized as Level 2 in the table below, which are comprised of stable value funds, are valued based on quoted prices from brokers for similar assets.

The following table presents CEI's assets that are measured at fair value on a recurring basis at June 30:

	2021			
	Level 1	Level 2	Level 3	Total
Stable values funds	$ -	$ 14,407	$ -	$ 14,407
Mutual Funds				
Bonds	64,738	-	-	64,738
Capital appreciation	224,010	-	-	224,010
International	122,220	-	-	122,220
Large cap	97,513	-	-	97,513
Mid cap	49,607	-	-	49,607
Small cap	66,872	-	-	66,872
Investments, at fair value	$ 624,960	$ 14,407	$ -	$ 639,367

Note 4 - Fair Value Measurement and Investments (cont'd.)

	2020			
	Level 1	Level 2	Level 3	Total
Stable values funds	$ -	$ 15,192	$ -	$ 15,192
Mutual Funds				
Bonds	65,744	-	-	65,744
Capital appreciation	166,459	-	-	166,459
International	92,899	-	-	92,899
Large cap	76,241	-	-	76,241
Mid cap	34,485	-	-	34,485
Small cap	44,104	-	-	44,104
Investments, at fair value	$ 479,932	$ 15,192	$ -	$ 495,124

Note 5 - Property and Equipment

Property and equipment, net consisted of the following as of June 30:

	2021	2020
Leasehold improvements	$ -	$ 20,012
Equipment	15,695	24,946
Furniture and fixtures	-	20,536
	15,695	65,494
Less accumulated depreciation and amortization	(8,787)	(37,187)
	$ 6,908	$ 28,307

Depreciation expense amounted to $5,256 and $10,946 for the years ended June 30, 2021 and 2020, respectively. In 2021, CEI wrote off $49,799 of property and equipment with accumulated depreciation of $33,656, resulting in a loss on disposal of assets of $16,143. In 2020, CEI wrote off $53,106 of fully depreciated equipment.

Note 6 - Refundable Advance

In April 2020, CEI received proceeds of $260,700 from a financial institution under the Paycheck Protection Program ("PPP"), established by the Coronavirus Aid, Relief, and Economic Security ("CARES") Act, administered by the Small Business Administration ("SBA") with support from the Department of the Treasury. In May 2021, CEI applied for and achieved forgiveness in the full amount. As a result, CEI recognized grant revenue of $260,700 during the year ended June 30, 2021.

Note 6 - Refundable Advance (cont'd.)

In February 2021, CEI received proceeds of $467,503 from a financial institution under a second draw PPP, administered by the SBA with support from the Department of the Treasury. The loan is unsecured, bears interest at 1% per annum and matures in February 2026; however, the PPP provides for the forgiveness of up to the entire amount of the loan (including interest) if certain conditions are met. In February 2022, CEI applied for and achieved forgiveness in the full amount. As a result, CEI will recognize grant revenue of $467,503 during the year ended June 30, 2022.

Note 7 - Loan Payable

In May 2020, CEI was granted a loan from the SBA in the principal amount of $150,000 pursuant to the Economic Injury Disaster Loan program (the EIDL Loan). The EIDL Loan, which is in the form of a Promissory Note dated May 13, 2020, is payable in monthly installments of $641, including principal and interest, over 30 years at an interest rate of 2.75% commencing on May 13, 2021. Payments of principal and interest have subsequently been deferred for a total of 30 months and as a result CEI will begin making repayments in November 2022 in monthly installments of $693. The EIDL Loan may be prepaid by CEI at any time prior to maturity with no prepayment penalties. The proceeds from this loan must be used solely as working capital to alleviate economic injury caused by the COVID-19 pandemic.

As part of the EIDL Loan, CEI granted the SBA a continuing security interest in and to any and all collateral to secure payment and performance of all debts, liabilities and obligations of CEI to the SBA under the EIDL Loan. The collateral includes substantially all tangible and intangible personal property of CEI.

Principal payments under the term of the EIDL loan are as follows for the years ending June 30:

2022	$	-
2023		347
2024		4,029
2025		4,141
2026		4,257
Thereafter		137,226
	$	150,000

On July 23, 2021, the Company modified the EIDL Loan, increasing the loan amount from $150,000 to $500,000. As a result, monthly payment installments under the revised EIDL Loan increased from $693 to $2,205.

Note 8 - Net Assets with Donor Restrictions

Net assets with donor restrictions consisted of the following at June 30:

	2021	2020
Subject to expenditure for specified purpose		
After School and weekend programming	$ 125,762	$ 120,237

During 2021, net assets were released from donor restrictions by incurring expenses satisfying the restricted purposes or by occurrence of other events specified by donors:

After School and weekend programming	$ 69,475
Project BOOST	25,000
	$ 94,475

Note 9 - Pension and Postretirement Benefit Plans

CEI has a defined contribution pension plan covering substantially all employees. The Board of Directors annually determines the amount, if any, of CEI's contributions to the plan. CEI did not make a contribution to the plan for the years ended June 30, 2021 and 2020.

CEI also has a 457(b) plan for certain executives. Under the terms of this plan, an employee may elect to defer an amount of up to $18,000. As of June 30, 2021 and 2020, CEI has a liability of $639,367 and $495,124, respectively.

Note 10 - Operating Lease

CEI entered into a 82-month noncancelable lease agreement for office space with APF 28 W 44 Owner L.P. (APF) on January 1, 2016 and expiring on October 31, 2022. As part of the lease agreement, APF agreed to a 3-month rent concession which is being recognized over the term of the lease. In July 2020, CEI abandoned its lease.

Subsequent to year end, CEI and APF reached an agreement in which CEI would pay $600,000 by September 17, 2021 and APF would release CEI of the balance of any lease terms and further obligations from the lease. CEI made the payment in September 2021.

As a result, and consistent with FASB ASC Topic 420 Exit or Disposal Cost Obligations, CEI has accrued this liability as of the cease-use date in July 2020 and the liability is reflected on the statement of financial position as of June 30, 2021. Rent payable prior to the cease-use date was $184,550 and deferred rent was $77,682, resulting in a loss on abandonment of office lease in the amount of $454,754 in 2021.

Rent expense was $8,340 and $266,765 for the years ended December 31, 2021 and 2020, respectively.

Note 11 - Concentrations

Accounts Receivable

CEI derived its program fees receivable and government grants receivables as follows

	2021		2020	
	Program & Grants Receivable	Revenue	Program & Grants Receivable	Revenue
NYC DOE	23%	19%	26%	30%
NYS ED	17%	0%	54%	12%
New York City Council	16%	6%	0%	0%
US DOE	8%	14%	8%	12%

Note 12 - Financial Assets and Liquidity Resources

Financial assets available for general expenditure, that is, without donor or other restrictions limiting their use, within one year of June 30, 2021 and 2020 comprise the following:

	2021	2020
Financial assets		
Cash and cash equivalents	$ 1,027,966	$ 858,070
Cash and cash equivalents, restricted	-	116,986
Investment held for retirement plan	639,367	495,124
Program fees receivable	952,286	907,589
government grants receivable	661,263	982,993
Total financial assets	3,280,882	3,360,762
Less:		
Donor-imposed restrictions:		
Retricted funds	(125,762)	(120,237)
Net financial assets after donor-imposed restrictions	3,155,120	3,240,525
Deferred compensation payable	(639,367)	(495,124)
Financial assets available to meet cash needs for general expenditures within one year	$ 2,515,753	$ 2,745,401

CEI manages its liquidity and reserves following three guiding principles: operating within a prudent range of financial soundness and stability, maintaining adequate liquid assets to fund near-term operating needs and maintaining sufficient reserves to provide reasonable assurance that long-term obligations will be discharged. To achieve these targets, CEI forecasts its future cash flows and monitors its liquidity monthly. During the years ended June 30, 2021 and 2020, the level of liquidity and reserves was managed within the policy requirements.

Note 13 - Contingencies

Certain grants and contracts may be subject to audit by the funding sources and governmental agencies. Such audits might result in disallowances of costs submitted for reimbursement. Management is of the opinion that such disallowances, if any, will not have a material effect on the accompanying financial statements for such potential claims. Accordingly, no amounts have been provided in the accompanying financial statements for such potential claims.

As a result of the spread of the coronavirus disease ("COVID-19"), economic uncertainties have arisen which may impact CEI's generation of consulting income, contributions and grant income. Such potential impact is unknown at this time.

Note 14 - Subsequent Events

Management has evaluated all events or transactions that occurred after June 30, 2021 through July 21, 2022, the date that the financial statements were available to be used. During this period, there were no material subsequent events requiring disclosure except as disclosed in Notes 6, 7 and Note 10.

CENTER FOR EDUCATIONAL INNOVATION

FINANCIAL STATEMENTS

JUNE 30, 2020 AND 2019

CENTER FOR EDUCATIONAL INNOVATION

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INDEPENDENT AUDITOR'S REPORT

To the Board of Directors of
Center for Educational Innovation

We have audited the accompanying financial statements of Center for Educational Innovation (a nonprofit organization), which comprise the statement of financial position as of June 30, 2020, and the related statements of activities, functional expenses, and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Center for Educational Innovation as of June 30, 2020, and the changes in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matter – June 30, 2019 Financial Statements

The financial statements of Center for Educational Innovation as of and for the year ended June 30, 2019 were audited by other auditors whose report thereon dated April 30, 2020, expressed an unqualified opinion.

Report on Summarized Comparative Information

The Center for Educational Innovation's June 30, 2019 financial statements were audited by other auditors whose report dated April 30, 2020 expressed an unmodified audit opinion. In our opinion, the summarized comparative information presented herein as of and for the year ended June 30, 2019, is consistent, in all material respects, with the audited financial statements from which it has been derived.

[redacted]

New York, New York

August 21, 2021

CENTER FOR EDUCATIONAL INNOVATION
STATEMENTS OF FINANCIAL POSITION
JUNE 30, 2020 AND 2019

	2020	2019
ASSETS		
Cash and cash equivalents	$ 858,070	$ 267,423
Cash and cash equivalents, restricted	116,986	116,986
Investment held for retirement plan	495,124	502,318
Program fees receivable, net of allowance for doubtful accounts of $45,050 in 2020 and $0 in 2019	907,589	968,804
Government grants receivable	982,993	661,575
Prepaid expenses and other assets	16,478	27,600
Property and equipment, net of accumulated depreciation of $37,187 in 2020 and $79,347 in 2019	28,307	23,467
Total Assets	$ 3,405,547	$ 2,568,173
LIABILITIES AND NET ASSETS		
Liabilities:		
Accounts payable and accrued expenses	$ 1,387,300	$ 308,264
Deferred compensation payable	495,124	502,318
Deferred rent	77,682	91,505
Refundable advance	260,700	-
Loans payable	150,000	-
Total Liabilities	2,370,806	902,087
Contingencies		
Net Assets:		
Without donor restrictions:	914,504	1,625,127
With donor restrictions:	120,237	40,959
Total Net Assets	1,034,741	1,666,086
Total Liabilities and Net Assets	$ 3,405,547	$ 2,568,173

The accompanying notes are an integral part of these financial statements.

CENTER FOR EDUCATIONAL INNOVATION
STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED JUNE 30, 2020
(WITH SUMMARIZED FINANCIAL INFORMATION FOR THE YEAR ENDED JUNE 30, 2019)

	Without Donor Restrictions	With Donor Restrictions	Total 2020	Total 2019
Revenues, Gains, (Losses) and Other Support				
Contribution and foundation grants	24,574	$ 125,000	$ 149,574	$ 200,704
Government grants and contracts	1,244,018	-	1,244,018	1,294,235
Consulting income	3,154,421	-	3,154,421	2,230,787
Special event	596,730	-	596,730	723,466
Direct costs of special event	(182,527)		(182,527)	(140,003)
investment income (loss)	22	-	22	9,836
Net assets released from restrictions	45,722	(45,722)	-	-
Total revenues, gains, (losses) and other support	4,882,960	79,278	4,962,238	4,319,025
Expenses				
Program Services				
Project BOOST	669,145	-	669,145	728,056
Public School Consulting	2,356,848	-	2,356,848	1,959,619
Partnership for innovation in Compensation for Charter Schools (TIF/PICCS)	-	-	-	700,958
Education Through Arts (ETA)	575,130	-	575,130	328,251
Other programs	29,921	-	29,921	203,356
Total program services	3,631,044	-	3,631,044	3,920,240
Supporting services				
Management and general	1,649,449	-	1,649,449	1,401,168
Fundraising	313,090	-	313,090	439,265
Total supporting services	1,962,539	-	1,962,539	1,840,433
Total expenses	5,593,583	-	5,593,583	5,760,673
Change in net assets before CEI Foundation/ Fund activity	(710,623)	79,278	(631,345)	(1,441,648)
CEI Foundation/Fund contributions	-	-	-	13,347
Change in Net Assets	(710,623)	79,278	(631,345)	(1,428,301)
Net Assets, Beginning of Year	1,625,127	40,959	1,666,086	3,094,387
Net Assets, End of Year	$ 914,504	$ 120,237	$ 1,034,741	$ 1,666,086

The accompanying notes are an integral part of these financial statements.

CENTER FOR EDUCATIONAL INNOVATION
STATEMENT OF FUNCTIONAL EXPENSES
FOR THE YEAR ENDED JUNE 30, 2020
(WITH SUMMARIZED FINANCIAL INFORMATION FOR THE YEAR ENDED JUNE 30, 2019)

	Program Services					Supporting Services		Total	
	Project BOOST	Public School Consulting	Education through Arts (ETA)	Other Programs	Total	Management and General	Fundraising	2020	2019
Salaries	$ 394,115	$ 979,531	$ 352,035	$ -	$ 1,725,681	$ 485,888	$ 208,397	2,419,966	3,018,074
Payroll taxes and employee benefits	73,847	137,942	50,693	-	262,482	89,654	27,494	379,630	467,237
Total salaries and benefits	467,962	1,117,473	402,728	-	1,988,163	575,542	235,891	2,799,596	3,485,311
Consultants and professional fees	118,436	1,088,363	121,968	-	1,328,767	363,275	58,434	1,750,476	1,100,511
Incentives and stipends	6,220	4,760	14,345	-	25,325	-	-	25,325	10,358
Staff and professional development workshops	7,313	1,785	-	1,563	10,661	3,299	-	13,960	2,882
Grants to Schools	-	-	-	20,722	20,722	-	2,600	23,322	396,574
Printing and postage	9,940	9,006	987	897	20,830	7,571	6,893	35,294	27,385
Local travel	2,837	14,052	1,257	777	18,923	12,246	269	31,438	30,419
Out-of-town travel	1,694	20,332	1,601	1,117	24,744	16,886	-	41,630	42,691
Incstructional and office supplies	17,669	3,427	14,819	2,475	38,390	10,426	39	48,855	32,164
Occupancy	-	-	14,099	-	14,099	303,814	-	317,913	317,033
Telephone	1,721	6,416	1,433	-	9,570	10,926	924	21,420	35,109
Student activities	28,000	1,884	-	-	29,884	-	-	29,884	24,099
Insurance	-	-	-	-	-	9,532	-	9,532	30,676
Conferences, meetings and workshops	2,090	62,981	-	2,195	67,266	13,834	6,000	87,100	150,696
Computer and technology support	3,950	5,000	1,819	-	10,769	14,733	-	25,502	29,345
Bad debt	-	-	-	-	-	232,094	-	232,094	-
Depreciation and amortization	-	-	-	-	-	10,946	-	10,946	7,729
Miscellaneous expenses	1,313	21,369	74	175	22,931	64,325	2,040	89,296	37,691
Catering/entertainment, gala	-	-	-	-	-	-	182,527	182,527	140,003
Subtotal	669,145	2,356,848	575,130	29,921	3,631,044	1,649,449	495,617	5,776,110	5,900,676
Less: Direct costs of special events	-	-	-	-	-	-	(182,527)	(182,527)	(140,003)
Total expenses	$ 669,145	$ 2,356,848	$ 575,130	$ 29,921	$ 3,631,044	$ 1,649,449	$ 313,090	$ 5,593,583	$ 5,760,673

The accompanying notes are an integral part of these financial statements.

CENTER FOR EDUCATIONAL INNOVATION
STATEMENT OF CASH FLOWS
FOR THE YEAR ENDED JUNE 30, 2020
(WITH SUMMARIZED FINANCIAL INFORMATION FOR THE YEAR ENDED JUNE 30, 2019)

	2020	2019
CASH FLOWS FROM OPERATING ACTIVITIES:		
Change in net assets	$ (631,345)	$ (1,428,301)
Adjustments to reconcile change in net assets to net cash provided by (used in) operating activities:		
Depreciation and amortization	10,946	7,729
Realized and unrealized gain on investments	-	(6,533)
Bad debt	232,094	
Deferred rent	(13,823)	(2,769)
Net (increase) decrease in assets		
Investment held for retirement plan	7,194	
Program fees receivable	(137,539)	(601,709)
Government grants receivable	(354,758)	1,436,882
Prepaid expenses and other assets	11,122	(782)
Net increase (decrease) in liabilities		
Accounts payable and accrued expenses	1,079,036	(109,070)
Deferred compensation payable	(7,194)	(83,434)
NET CASH PROVIDED BY (USED IN) OPERATING ACTIVITIES	195,733	(787,987)
CASH FLOWS FROM INVESTING ACTIVITIES:		
Purchases of property and equipment	(15,786)	-
Purchase of investments	-	(1,320,453)
Proceeds from sale of investments	-	1,890,547
NET CASH PROVIDED BY (USED IN) INVESTING ACTIVITIES	(15,786)	570,094
CASH FLOWS FROM FINANCING ACTIVITIES:		
Proceeds from refundable advance	260,700	-
Proceeds from loans payable	150,000	-
NET CASH PROVIDED BY FINANCING ACTIVITIES	410,700	-
NET CHANGE IN CASH AND CASH EQUIVALENTS	590,647	(217,893)
CASH AND CASH EQUIVALENTS, BEGINNING OF YEAR	384,409	602,302
CASH AND CASH EQUIVALENTS, END OF YEAR	$ 975,056	$ 384,409
RECONCILIATION OF CASH AND CASH EQUIVALENTS AND RESTRICTED CASH AND CASH EQUIVALENTS		
Cash and cash equivalents	$ 858,070	$ 267,423
Cash and cash equivalents, restricted	116,986	116,986
	$ 975,056	$ 384,409

The accompanying notes are an integral part of these financial statements.

Note 1 - Organization and Nature of Activities

Center for Educational Innovation (CEI) has been established to transform public education in America by shifting accountability from centralized bureaucracies to local schools, and by creating systems of school choices for communities. CEI's primary sources of revenues are government grants and contracts, consulting income, and special event. CEI is exempt from income taxes under Section 501(c)(3) of the Internal Revenue Code.

The following are descriptions of CEI's programs:

Project BOOST

Project BOOST (Building Options and Opportunities for Students) is CEI's signature program, which targets elementary and middle school students in kindergarten through 8th grade, who have demonstrated academic talents but do not have the financial resources necessary to cultivate and enrich their academic experience. The original overall goal of the program is to assist and to inspire participating middle school students in gaining admission to the highest quality high school, in NYC, being the Specialized High Schools. Overall, the program has grown to include schools in and out of NYC and as such, the goal has now broadened to inspire middle school students to gain admission into the best high school program possible, to nurture the talents and interests of students and help them identify college and career pathways. CEI offers a triangle of comprehensive services to build academic, cultural, social and service skills necessary for long-term student growth, academic enrichment, cultural enrichment and community service.

With a focus on equity and innovation, Project BOOST has grown to offer students a wide range of activities and resources including trips to live Broadway and museums through partnerships with some of NYC's finest academic, social, and cultural institutions. Project BOOST encourages the student to take full advantage of the opportunities afforded to them, and emphasizes the need to give back to the communities through a strong community service component. Students are taught that regardless of their socio-economic background, they can make fundamental contributions to society by giving of themselves through service.

In 2011, Project BOOST was extended to include CEI's Early Stages program. CEI's Early Stages provides free and significantly reduced-cost theatre tickets to underserved schools and their students. This has afforded the opportunity for exposure to the performing arts, which included attendance at NYC's most renowned performing arts venues, such as Broadway theatres, Lincoln Center, and Carnegie Hall, and to provide multiple opportunities for students to respond to the theatre through workshops, discussions, and writing (since its inception over 70,000 tickets have been made available to students).

To accomplish the goals of Project BOOST, the program provides funding for cultural enrichment experiences, tutoring and test preparation, academic guidance, live and virtual college visitations, introduction to robotics and coding, and a social action arts project, CEI's Benchmarks, as well as other community service opportunities through grants to schools funded by NYS Special Legislative Grants, NYC Council funding, private foundation grant funding and philanthropic donations.

Note 1 - Organization and Nature of Activities (cont'd.)

Public School Consulting

Customized services, technical assistance and professional learning to superintendents and school leaders. By design, CEI works directly with teachers, school leaders, and the community to create the schools their children need to succeed by:

- Developing and supporting existing public schools.
- Creating, developing and supporting public charter schools.
- Training teachers and principals in effective educational practices.
- Implementing enrichment programs to increase academic skills and augment the social and cultural experiences of students.
- Networking schools to provide peer-level support, share best practices and pool resources.
- Providing extensive information services for parents and other interested members of the community.
- Restructuring large public schools into smaller learning communities.
- Advocating for system-wide adoption of effective school based reforms and public education policies.

Charter Schools Support

Following several cycles of Federal Funding, CEI continues to support educators and school leaders to become highly effective professionals and grow successful independent charter schools in the following ways:

- Foster authentic collaboration at all levels of CEI through professional learning communities (PLCs) that use data to research student learning challenges and create shared action strategies.
- Support teacher effectiveness through observations using the Danielson Framework. Support principal effectiveness through the use of the Vanderbilt Assessment of Leadership in Education (Val-ED).
- Provide a comprehensive educator and school leader evaluation system that integrates measures of professional practice and student outcomes to provide educators with an annual review tied to compensation.
- Offer extensive professional development and a structure to participate in Instructional Rounds across and within schools.
- Assist schools in creating a performance-based salary schedule and teacher career ladder that allows effective teachers to advance their career without leaving the classroom.
- Hone the instructional and leadership expertise needed to dramatically improve student achievement, rewarding our most effective educators, and achieving high levels of performance for all students and teachers.

Note 1 - Organization and Nature of Activities (cont'd.)

Partnership for Innovation in Compensation for Charter Schools (TIF/PICCS)

Through the PICCS program CEI has been able to support educators and school leaders to become highly effective professionals in the following ways:

- Foster authentic collaboration at all levels of CEI through professional learning communities (PLCs) that use data to research student learning challenges and create shared action strategies.
- Support teacher effectiveness through observations using the Danielson Framework. Support principal effectiveness through the use of the Vanderbilt Assessment of Leadership in Education (Val-ED).
- Provide a comprehensive educator and school leader evaluation system that integrates measures of professional practice and student outcomes to provide educators with an annual review tied to compensation.
- Offer extensive professional development and a structure to participate in Instructional Rounds across and within schools.
- Assist schools in creating a performance-based salary schedule and teacher career ladder that allows effective teachers to advance their career without leaving the classroom.
- Hone the instructional and leadership expertise needed to dramatically improve student achievement, rewarding our most effective educators, and achieving high levels of performance for all students and teachers.

PICCS is funded through grants awarded to CEI by the U.S. Department of Education (USDOE) through its Teacher Incentive Fund (TIF) legislative appropriation. The program ended during the fiscal year ending June 30, 2019.

Education Through Art (ETA):

This program is funded by an Assistance for Arts Education Development and Dissemination (AAEDD) four-year grant of $2.5M from the Office of Innovation and Improvement of the US Department of Education.

ETA program utilizes visual art and music as instructional strategies to directly teach ELA and Math while strengthening social and emotional learning skills (SEL).

ETA program serves special education students and teachers of grades 3, 4 and 5 in NYC School District 75 and tailors all lessons, materials and resources to serve a wide range of students - those with cognitive challenges who are alternately assessed, to those with emotional and behavioral challenges who take standardized assessments. Through in-class student residencies, professional development workshops, coaching and modeling, and the compilation of a digital resource of lessons, curriculum maps, and embedded schedules, the ETA program provides an innovative, arts- based approach to strengthening academic, art and SEL skills.

Note 1 - Organization and Nature of Activities (cont'd.)

Other Programs

School Network activities that typically are for short-term duration and are consistent with the mission of CEI.

Note 2 - Summary of Significant Accounting Policies

Adoption of FASB ASU No. 2018-08

Effective July 1, 2019, CEI adopted the provisions of Financial Accounting Standards Board ("FASB") Accounting Standards Update ("ASU") No. 2018-08, Clarifying the Scope and Accounting Guidance for Contributions Received and Contributions Made ("ASU 2018-08") on a modified prospective basis. This ASU provides for guidance to assist CEI in evaluating the transfer of assets and the nature of the related transactions. CEI considers whether a contribution is conditional based on whether an agreement includes a barrier that must be overcome and a right of return of assets transferred or a right of release of a promisor's obligation to transfer assets. The presence of both indicates that the recipient is not entitled to the transferred assets or a future transfer of assets until it has overcome any barriers in the agreement.

The adoption of this ASU resulted in changes to the notes to the financial statements.

Basis of Accounting

The accompanying financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America ("U.S. GAAP").

Use of Estimates

The preparation of financial statements in accordance with U.S. GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosures of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses recognized during the reporting period. Actual results could differ from those estimates.

Cash and Cash Equivalents

CEI considers all liquid investments with original maturities of three months or less to be cash equivalents. At June 30, 2020 and 2019, cash equivalents consisted primarily of money market accounts with brokers.

Restricted cash and cash equivalents consists of a money market account used as collateral for a letter of credit.

Note 2 - Summary of Significant Accounting Policies (cont'd.)

Cash and Cash Equivalents (cont'd)

CEI maintains cash balances in financial institutions which are insured by the Federal Deposit Insurance Corporation ("FDIC") for up to $250,000 per institution. At June 30, 2020, and from time to time during the years ended June 30, 2020 and 2019, CEI's cash accounts exceeded federally insured limits.

Investments and Net Investment Return

Investments in equity securities having a readily determinable fair value and in all debt securities are carried at fair value. Other investments are valued at the lower of cost or fair value.

Investment return includes dividend, interest and other investment income; realized and unrealized gains and losses on investments carried at fair value; and realized gains and losses on other investments, less external and direct internal investment expenses.

Fair Value of Financial Instruments

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. To increase the comparability of fair value measurements, a framework for measuring fair value is used which provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (Level 1) and the lowest priority to unobservable inputs (Level 3). Valuation techniques maximize the use of relevant observable inputs and minimize the use of unobservable inputs.

The three levels of the fair value hierarchy under FASB ASC Topic 820, Fair Value Measurement are described as follows:

Level 1 - Valuations based on quoted prices for identical assets and liabilities in active markets.

Level 2 - Valuations based on observable inputs other than quoted prices included in Level 1, such as quoted prices for similar assets or liabilities in active markets, quoted prices for identical or similar assets and liabilities in markets that are not active, or other inputs that are observable or can be corroborated by observable market data.

Level 3 - Valuations based on unobservable inputs reflecting CEI's own assumptions, consistent with reasonably available assumptions made by other market participants. These valuations require significant judgment.

Refer to Note 4 for assets and liabilities measured at fair value at June 30, 2020 and 2019 in accordance with FASB ASC Topic 820.

Note 2 - Summary of Significant Accounting Policies (cont'd.)

Program Fees and Government Grants Receivable and Allowance

Program fees receivable from consulting services are stated at the amount billed to customers. Grants are recorded as receivables to the extent that expenses have been incurred for the purpose specified by the grantor. Interest is not charged on the outstanding receivables. CEI provides an allowance for doubtful accounts, which is based upon a review of outstanding receivables, historical collection information and existing economic conditions. Delinquent receivables are written off based on individual credit evaluation and specific circumstances of the customer.

Management has established an allowance for doubtful accounts in the amount of $45,050 at June 30, 2020. Management determined that an allowance for doubtful accounts was not necessary at June 30, 2019.

Property and Equipment

Property and equipment are stated at cost less accumulated depreciation. Items with a cost of $1,000 or more and an estimated useful life of more than one year are capitalized. Depreciation is charged to expense using the straight-line method over the estimated useful life of each asset. Leasehold improvements are amortized over the shorter of the lease term or their respective estimated useful lives.

The estimated useful lives for each major depreciable classification of property and equipment are as follows:

Leasehold improvements	7 years
Equipment	3-5 years
Furniture and fixtures	5-7 years

Long Lived Asset Impairment

CEI evaluates the recoverability of the carrying value of long-lived assets whenever events or circumstances indicate the carrying amount may not be recoverable. If a long-lived asset is tested for recoverability and the undiscounted estimated future cash flows expected to result from the use and eventual disposition of the asset are less than the carrying amount of the asset, the asset cost is adjusted to fair value and an impairment loss is recognized as the amount by which the carrying amount of a long-lived asset exceeds its fair value.

No asset impairment was recognized during the years ended June 30, 2020 and 2019.

Net Assets

Net assets, revenues, gains and losses are classified based on the existence or absence of donor restrictions.

Note 2 - Summary of Significant Accounting Policies (cont'd.)

Net Assets (cont'd)

Net assets without donor restrictions are available for use in general operations and not subject to donor or certain grantor restrictions.

Net assets with donor restrictions are subject to donor or certain grantor restrictions. Some restrictions are temporary in nature, such as those that will be met by the passage of time or other events specified by the donor.

Contributions

Contributions are provided to CEI either with or without restrictions placed on the gift by the donor. Revenues and net assets are separately reported to reflect the nature of those gifts – with or without donor restrictions. The value recorded for each contribution is recognized as follows:

Nature of the Gift	Value Recognized
Conditional gifts, with or without restrictions	
Gifts that depend on CEI overcoming a donor-imposed barrier to be entitled to the funds	Not recognized until the gift becomes unconditional, *i.e.* the donor-imposed barrier is met
Unconditional gifts, with or without restrictions	
Received at date of gift - cash and other assets	Fair value
Received at date of gift - property, equipment and long-lived assets	Estimated fair value
Expected to be collected within one year	Net realizable value
Collected in future years	Initially reported at fair value determined using the discounted present value of estimated future cash flows technique

In addition to the amount initially recognized, revenue for unconditional gifts to be collected in future years is also recognized each year as the present-value discount is amortized using the level- yield method.

Note 2 - Summary of Significant Accounting Policies (cont'd.)

When a donor-stipulated time restriction ends or purpose restriction is accomplished, net assets with donor restrictions are reclassified to net assets without donor restrictions and reported in the statements of activities as net assets released from restrictions.

Gifts that are originally restricted by the donor and for which the restriction is met in the same time period are recorded as revenue with donor restrictions and then released from restriction.

Government Grants and Contracts

Support funded by grants is recognized as CEI meets the conditions prescribed by the grant agreement, performs the contracted services or incurs outlays eligible for reimbursement under the grant agreements. As the conditions are met, CEI simultaneously releases the government grants and they are reflected as without donor restrictions. To the extent amounts received exceed amounts spent, CEI recognizes deferred revenue. Grant activities and outlays are subject to audit and acceptance by the granting agency and, as a result of such audit, adjustments could be required.

Consulting Income

Revenues from consulting income are from training and educational services provided to public and charter schools. These services are paid for by either the New York City Department of Education (NYCDOE) or by the charter schools. Revenues are recognized as services are provided.

Special Events

CEI conducts special events in which a portion of the gross proceeds paid by the participant represents payment for the direct cost of the benefits received by the participant at the event. All proceeds received are recorded as special events revenues in the accompanying financial statements.

Functional Expenses

The costs of supporting the various programs and other activities have been summarized on a functional basis in the statement of activities. Certain costs have been allocated among the program, management and general and fund raising categories proportional to their related, directly charged expenses.

Operating Lease

Rent expense has been recorded on the straight-line basis over the life of the lease. Deferred rent, when material, is recorded for the difference between the fixed payment and the rent expense.

Note 2 - Summary of Significant Accounting Policies (cont'd.)

Grants to Schools, Incentives and Stipends

Grants to schools, incentives and stipends are recorded when awarded.

Accounting for Uncertainty in Income Taxes

CEI has determined that there are no material uncertain tax positions that require recognition or disclosure in the financial statements. CEI is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. CEI believes it is no longer subject to income tax examinations prior to 2017.

Summarized Financial Information

The financial statements include certain prior-year summarized comparative information in total, but not by net asset class. Such information does not include sufficient detail to constitute a presentation in conformity with accounting principles generally accepted in the United States of America. Accordingly, such information should be read in conjunction with CEI's financial statements for the year ended June 30, 2019, from which the summarized information was derived.

New Accounting Pronouncements

ASU No. 2014-09

In May 2014, the FASB issued ASU No. 2014-09, Revenue from Contracts with Customers (Topic 606). This ASU is the result of a joint project of the FASB and the IASB to clarify the principles for recognizing revenue and to develop a common revenue standard for U.S. GAAP and IFRS. The guidance in this ASU affects any entity that either enters into contracts with customers to transfer goods or services or enters into contracts for the transfer of nonfinancial assets unless those contracts are within the scope of other standards.

The ASU provides that an entity should recognize revenue to depict the transfer of promised goods or services to customers in an amount that reflects the consideration to which the entity expects to be entitled in exchange for those goods or services. An entity should apply the following five-step process to recognize revenue:

Step 1: Identify the contract with a customer.
Step 2: Identify the performance obligations in the contract.
Step 3: Determine the transaction price.
Step 4: Allocate the transaction price to the performance obligations in the contract.
Step 5: Recognize revenue when (or as) the entity satisfies a performance obligation.

Note 2 - Summary of Significant Accounting Policies (cont'd.)

New Accounting Pronouncements (cont'd)

ASU No. 2014-09 (cont'd)

For nonpublic entities, the amendments of ASU No. 2014-09 are effective for annual reporting periods beginning after December 15, 2019, and interim periods within annual periods beginning after December 15, 2020, based on the decision in ASU No. 2020-05 to defer the implementation dates by another year. Early application is permitted for all entities.

CEI has not yet determined if this ASU will have a material effect on its financial statements.

ASU No. 2106-02

In February 2016, the FASB issued ASU No. 2016-02, Leases (Topic 842). The ASU provides that lessees should recognize lease assets and lease liabilities on the balance sheet for leases previously classified as operating leases that exceed 12 months, including leases existing prior to the effective date of this ASU. It also calls for enhanced leasing arrangement disclosures.

For nonpublic entities, the amendments of ASU No. 2016-02 are effective for annual reporting periods beginning after December 15, 2021, and interim periods within annual periods beginning after December 15, 2022, based on the decision in ASU No. 2020-05 to defer the implementation dates. Early application is permitted for all entities.

CEI does not anticipate this ASU will have a material impact on its financial statements.

Note 3 - Letter of Credit

In connection with a lease agreement (Note 10), in March 2016 CEI entered into a letter of credit agreement in the amount of $116,986 with JPMorgan Chase, N.A. (Chase) to be used as a security deposit. Interest is charged at 1 percent and is collateralized by CEI's account at Chase. The letter of credit which automatically renews was set to expire on October 31, 2020, however, in August 2020, the landlord exercised its right to the security deposits, closing out the letter of credit. Interest expense was $1,173 in 2020 and $1,170 in 2019.

Note 4 - Fair Value Measurement and Investments

Items Measured at Fair Value on a Recurring Basis

Mutual funds are stated at fair value based on quoted market prices. Investments categorized as Level 2 in the table below, which are comprised of stable value funds, are valued based on quoted prices from brokers for similar assets.

The following table presents CEI's assets that are measured at fair value on a recurring basis at June 30:

Note 4 - Fair Value Measurement and Investments (cont'd)

Items Measured at Fair Value on a Recurring Basis (cont'd)

	2020			
	Level 1	Level 2	Level 3	Total
Stable values funds	$ -	$ 15,192	$ -	$ 15,192
Mutual Funds				
Bonds	65,744	-	-	65,744
Capital appreciation	166,459	-	-	166,459
International	92,899	-	-	92,899
Large cap	76,241	-	-	76,241
Mid cap	34,485	-	-	34,485
Small cap	44,104	-	-	44,104
Investments, at fair value	$ 479,932	$ 15,192	$ -	$ 495,124

	2019			
	Level 1	Level 2	Level 3	Total
Stable values funds	$ -	$ 17,121	$ -	$ 17,121
Mutual Funds				
Bonds	71,587	-	-	71,587
Capital appreciation	139,074	-	-	139,074
International	97,466	-	-	97,466
Large cap	87,271	-	-	87,271
Mid cap	41,782	-	-	41,782
Small cap	48,017	-	-	48,017
Investments, at fair value	$ 485,197	$ 17,121	$ -	$ 502,318

Note 5 - Property and Equipment

Property and equipment, net consisted of the following as of June 30:

	2020	2019
Leasehold improvements	$ 20,012	$ 20,012
Equipment	24,946	62,266
Furniture and fixtures	20,536	20,536
	65,494	102,814
Less accumulated depreciation and amortization	(37,187)	(79,347)
	$ 28,307	$ 23,467

Note 5 - Property and Equipment (cont'd)

Depreciation expense amounted to $10,946 and $7,729 for the years ended December 31, 2020 and 2019, respectively. In 2020, CEI wrote off $53,106 of fully depreciated equipment.

Note 6 - Refundable Advance

In April 2020, CEI received proceeds of $260,700 from a financial institution under the Paycheck Protection Program ("PPP"), established by the Coronavirus Aid, Relief, and Economic Security ("CARES") Act, administered by the Small Business Administration ("SBA") with support from the Department of the Treasury. The loan is unsecured, bears interest at 1% per annum and is set to mature in May 2022; however, the PPP provides for the forgiveness of up to the entire amount of the loan (including interest) if certain conditions are met. The PPP provides a six-month covered period during which CEI does not need to make any payments on the loan. If CEI does not apply for forgiveness during the covered period, there is an additional 10-month deferral period during which CEI can apply for forgiveness without any payment being required. At the end of the ten-month deferral period, equal monthly installments of principal and interest are scheduled to commence, which will include interest payable. In May 2021, CEI achieved forgiveness from the SBA and will record the advance as revenue for the year ended June 30, 2021.

Subsequent to year-end, in March 2021, CEI received proceeds of $467,503 from a financial institution under a second draw PPP, administered by the SBA with support from the Department of the Treasury. The loan is unsecured, bears interest at 1% per annum and matures in February 2026; however, the PPP provides for the forgiveness of up to the entire amount of the loan (including interest) if certain conditions are met. CEI believes that its use of the proceeds will meet the conditions for forgiveness under the PPP and expects the funds to be recorded as income when it is probable that forgiveness conditions have been met.

Note 7 - Loan Payable

In May, 2020 the Company was granted a loan from the SBA in the principal amount of $150,000 pursuant to the Economic Injury Disaster Loan program (the EIDL Loan). The EIDL Loan, which is in the form of a Promissory Note dated May 13, 2020, is payable in monthly installments of $641, including principal and interest, over 30 years at an interest rate of 2.75% commencing on May 13, 2021. The EIDL Loan may be prepaid by the Company at any time prior to maturity with no prepayment penalties. The proceeds from this loan must be used solely as working capital to alleviate economic injury caused by the COVID-19 pandemic.

As part of the EIDL Loan, the Company granted the SBA a continuing security interest in and to any and all collateral to secure payment and performance of all debts, liabilities and obligations of the Company to the SBA under the EIDL Loan. The collateral includes substantially all tangible and intangible personal property of the Company.

Note 7 - Loan Payable (cont'd)

Principal payments under the term of the EIDL loan are as follows for the years ending June 30:

2021	$ -
2022	347
2023	3,724
2024	3,828
2025	3,935
Thereafter	138,166
	$ 150,000

Note 8 - Net Assets with Donor Restrictions

Net assets with donor restrictions consisted of the following at June 30:

	2020	2019
Subject to expenditure for specified purpose		
After School and weekend programming	$ 120,237	$ 40,959

Net assets were released from donor restrictions by incurring expenses satisfying the restricted purposes or by occurrence of other events specified by donors:

	2020
After School and weekend programming	$ 20,722
Project BOOST	25,000
	$ 45,722

Note 9 - Pension and Postretirement Benefit Plans

CEI has a defined contribution pension plan covering substantially all employees. The Board of Directors annually determines the amount, if any, of CEI's contributions to the plan. CEI did not make a contribution to the plan for the years ended June 30, 2020 and 2019.

CEI also has a 457(b) plan for certain executives. Under the terms of this plan, an employee may elect to defer an amount of up to $18,000. As of June 30, 2020 and 2019, CEI has a liability of $495,124 and $502,318, respectively.

Note 10 - Operating Lease

CEI entered into a 82-month noncancelable lease agreement for office space with APF 28 W 44 Owner L.P. (APF) on January 1, 2016 and expiring on October 31, 2022. As part of the lease agreement, APF agreed to a 3-month rent concession which is being recognized over the term of the lease. Rent expense was $266,765 and $269,281 for the years ended June 30, 2020 and 2019, respectively.

Future minimum lease payments under the operating lease are:

2021	$	304,273
2022		312,942
2023		105,780
	$	722,995

Subsequent to year end, in July 2020, CEI abandoned its lease and as of the date of these financial statements are currently in negotiations with APF as to the ultimate liability to be paid.

Note 11 - Concentrations

CEI derived its revenue and support primarily from United States Department of Education (US DOE), New York State Education Department (NYS ED), and New York City Department of Education (NYC DOE). The percentage of revenue and receivables to total revenue and receivables from these major contributors are as follows:

	2020		2019	
	Program & Grants Receivable	Revenue	Program & Grants Receivable	Revenue
NYC DOE	26%	30%	43%	20%
US DOE	8%	12%	2%	21%
NYS ED	54%	12%	7%	2%

Note 12 -Financial Assets and Liquidity Resources

Financial assets available for general expenditure, that is, without donor or other restrictions limiting their use, within one year of June 30, 2020 and 2019 comprise the following:

Note 12 -Financial Assets and Liquidity Resources (cont'd)

	2020	2019
Financial assets		
Cash and cash equivalents	$ 858,070	$ 267,423
Cash and cash equivalents, restricted	116,986	116,986
Investment held for retirement plan	495,124	502,318
Program fees receivable	907,589	968,804
Government grants receivable	982,993	661,575
Total financial assets	3,360,762	2,517,106
Less:		
Donor-imposed restrictions:		
Retricted funds	(120,237)	(40,959)
Net financial assets after donor-imposed restrictions	3,240,525	2,476,147
Cash and cash equivalents, restricted	-	(116,986)
Deferred compensation payable	(495,124)	(502,318)
Financial assets available to meet cash needs for general expenditures within one year	$ 2,745,401	$ 1,856,843

CEI manages its liquidity and reserves following three guiding principles: operating within a prudent range of financial soundness and stability, maintaining adequate liquid assets to fund near-term operating needs and maintaining sufficient reserves to provide reasonable assurance that long-term obligations will be discharged. To achieve these targets, CEI forecasts its future cash flows and monitors its liquidity monthly. During the years ended June 30, 2020 and 2019, the level of liquidity and reserves was managed within the policy requirements.

Note 13 - Contingencies

In connection with CEI surrendering their lease (Note 10), CEI has been named as a defendant in a lawsuit. CEI is disputing the amount in question and is defending themselves. In light of the impact COVID has had on court proceedings, including scheduling concerns, no evaluation of a final outcome can be determined at this time.

Certain grants and contracts may be subject to audit by the funding sources and governmental agencies. Such audits might result in disallowances of costs submitted for reimbursement. Management is of the opinion that such disallowances, if any, will not have a material effect on the accompanying financial statements for such potential claims. Accordingly, no amounts have been provided in the accompanying financial statements for such potential claims.

Note 13 - Contingencies (cont'd)

As a result of the spread of the coronavirus disease ("COVID-19"), economic uncertainties have arisen which may negatively impact CEI's investments and generation of contributions and grant income. Such potential impact is unknown at this time.

Note 14 - Subsequent Events

Management has evaluated all events or transactions that occurred after June 30, 2020 through August 21, 2021, the date that the financial statements were available to be used. During this period, there were no material subsequent events requiring disclosure except as disclosed in Notes 3, 10 and 13.

Center for Educational Innovation

Independent Auditor's Report and Financial Statements

June 30, 2019

BKD
CPAs & Advisors

Center for Educational Innovation

June 30, 2019

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BKD
CPAs & Advisors

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Independent Auditor's Report

Board of Trustees
Center for Educational Innovation
New York, New York

Report on the Financial Statements

We have audited the accompanying financial statements of Center for Educational Innovation, which comprise the statement of financial position as of June 30, 2019, and the related statements of activities, functional expenses and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

PRAXITY
Empowering Business Globally

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Center for Educational Innovation as of June 30, 2019, and the changes in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Emphasis of Matter

As discussed in *Note 2* to the financial statements, in 2019, Center for Educational Innovation adopted ASU 2016-14, *Not-for-Profit Entities* (Topic 958): *Presentation of Financial Statements of Not-for-Profit Entities.* Our opinion is not modified with respect to this matter.

Report on Summarized Comparative Information

We have previously audited the June 30, 2018 financial statements, and we expressed an unmodified audit opinion on those audited financial statements in our report dated February 21, 2019. In our opinion, the summarized comparative information presented herein as of and for the year ended June 30, 2018 is consistent, in all material respects, with the audited financial statements from which it has been derived.

Other Matters

Supplementary Information

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The information in the Schedule of Expenditures of Federal Awards, as required by Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated, in all material respects, in relation to the financial statements as a whole.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we also have issued our report dated April 30, 2020, on our consideration of Center for Educational Innovation's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements and other matters. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of Center for Educational Innovation's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering Center for Educational Innovation's internal control over financial reporting and compliance.

BKD, LLP

New York, New York
April 30, 2020

Center for Educational Innovation
Statement of Financial Position
June 30, 2019
(With Summarized Financial Information as of June 30, 2018)

	2019	2018
Assets		
Cash and cash equivalents	$ 267,423	$ 485,316
Cash and cash equivalents, restricted	116,986	116,986
Certificates of deposit	-	480,127
Investment held for retirement plan	502,318	585,752
Program fees receivable	968,804	367,095
Government grants receivable	661,575	2,098,457
Prepaid expenses and other assets	27,600	26,818
Property and equipment, net	23,467	31,196
Total assets	$ 2,568,173	$ 4,191,747
Liabilities and Net Assets		
Liabilities		
Accounts payable and accrued expenses	$ 308,264	$ 417,334
Deferred compensation payable	502,318	585,752
Deferred rent	91,505	94,274
Total liabilities	902,087	1,097,360
Net Assets		
Without donor restrictions	1,625,127	3,077,648
With donor restrictions	40,959	16,739
Total net assets	1,666,086	3,094,387
Total liabilities and net assets	$ 2,568,173	$ 4,191,747

Center for Educational Innovation

Statement of Activities

Year Ended June 30, 2019

(With Summarized Financial Information for the Year Ended June 30, 2018)

	Without Donor Restrictions	With Donor Restrictions	Total 2019	Total 2018
Revenues, Gains, (Losses) and Other Support				
Contributions and foundation grants	$ 50,704	$ 150,000	$ 200,704	$ 330,525
Government grants and contracts	1,294,235	-	1,294,235	4,300,652
Consulting income	2,230,787	-	2,230,787	1,920,372
Special event	673,466	50,000	723,466	814,448
Direct costs of special event	(140,003)	-	(140,003)	(168,142)
Investment income (loss)	9,836	-	9,836	(10,269)
Net assets released from restrictions	175,780	(175,780)	-	-
Total revenues, gains, (losses) and other support	4,294,805	24,220	4,319,025	7,187,586
Expenses				
Program services				
Project BOOST	728,056	-	728,056	2,072,156
Public School Consulting	1,959,619	-	1,959,619	1,743,543
Partnership for Innovation in Compensation for Charter Schools (TIF/PICCS)	700,958	-	700,958	1,929,083
Education Through Arts (ETA)	328,251	-	328,251	-
Other programs	203,356	-	203,356	278,583
Total program services	3,920,240	-	3,920,240	6,023,365
Supporting services				
Management and general	1,401,168	-	1,401,168	1,305,414
Fundraising	439,265	-	439,265	351,513
Total supporting services	1,840,433	-	1,840,433	1,656,927
Total expenses	5,760,673	-	5,760,673	7,680,292
Change in net assets before CEI Foundation/ Fund activity	(1,465,868)	24,220	(1,441,648)	(492,706)
CEI Foundation/Fund contributions	13,347	-	13,347	1,164,778
Change in Net Assets	(1,452,521)	24,220	(1,428,301)	672,072
Net Assets, Beginning of Year	3,077,648	16,739	3,094,387	2,422,315
Net Assets, End of Year	$ 1,625,127	$ 40,959	$ 1,666,086	$ 3,094,387

Center for Educational Innovation

Statement of Functional Expenses

Year Ended June 30, 2019

(With Summarized Financial Information for the Year Ended June 30, 2018)

	Program Services						Supporting Services			Total	
	Project BOOST	Public School Consulting	Partnership for Innovation in Compensation for Charter Schools (TIF/PICCS)	Education Through Arts (ETA)	Other Programs	Total	Management and General	Fundraising	Total	2019	2018
Salaries and wages	$ 338,748	$ 1,265,704	$ 418,275	$ 187,190	$ -	$ 2,209,917	$ 541,088	$ 267,069	$ 808,157	$ 3,018,074	$ 3,325,564
Payroll taxes and employee benefits	55,067	126,945	92,738	27,949	-	302,699	139,372	25,166	164,538	467,237	517,814
Total salaries and benefits	393,815	1,392,649	511,013	215,139	-	2,512,616	680,460	292,235	972,695	3,485,311	3,843,378
Consultants and professional fees	-	376,553	45,298	98,359	14,948	535,158	439,042	126,311	565,353	1,100,511	1,227,630
Incentives and stipends	-	3,102	-	-	2,256	5,358	5,000	-	5,000	10,358	2,597
Staff and professional development workshops	-	875	-	-	-	875	2,007	-	2,007	2,882	22,476
Grants to schools	260,139	-	-	-	136,435	396,574	-	-	-	396,574	1,888,521
Printing and postage	-	5,558	-	104	-	5,662	7,749	13,974	21,723	27,385	19,430
Local travel	-	23,559	921	-	301	24,781	5,077	561	5,638	30,419	17,367
Out-of-town travel	-	10,179	-	1,539	-	11,718	30,973	-	30,973	42,691	42,568
Instructional and office supplies	-	14,328	122	35	-	14,485	17,679	-	17,679	32,164	19,300
Occupancy	74,102	21,172	137,407	10,250	-	242,931	74,102	-	74,102	317,033	312,824
Telephone	-	8,911	4,523	341	-	13,775	21,334	-	21,334	35,109	67,036
Student activities	-	19,327	-	-	-	19,327	4,772	-	4,772	24,099	15,357
Insurance	-	-	-	-	-	-	30,676	-	30,676	30,676	17,032
Conferences, meetings and workshops	-	78,011	-	-	49,416	127,427	23,269	-	23,269	150,696	109,223
Computer and technology support	-	972	1,618	2,321	-	4,911	18,770	5,664	24,434	29,345	30,961
Depreciation and amortization	-	-	-	-	-	-	7,729	-	7,729	7,729	7,729
Miscellaneous expenses	-	4,423	56	163	-	4,642	32,529	520	33,049	37,691	36,863
Catering/entertainment, gala	-	-	-	-	-	-	-	140,003	140,003	140,003	168,142
Subtotal	728,056	1,959,619	700,958	328,251	203,356	3,920,240	1,401,168	579,268	1,980,436	5,900,676	7,848,434
Less direct costs of special event	-	-	-	-	-	-	-	(140,003)	(140,003)	(140,003)	(168,142)
Total expenses	$ 728,056	$ 1,959,619	$ 700,958	$ 328,251	$ 203,356	$ 3,920,240	$ 1,401,168	$ 439,265	$ 1,840,433	$ 5,760,673	$ 7,680,292

See Notes to Financial Statements

Center for Educational Innovation

Statement of Cash Flows

Year Ended June 30, 2019

(With Summarized Financial Information for the Year Ended June 30, 2018)

	2019	2018
Operating Activities		
Change in net assets	$ (1,428,301)	$ 672,072
Items not requiring (providing) operating cash flows		
Depreciation and amortization	7,729	7,729
Net realized and unrealized loss (gain) on investments	(6,533)	14,041
Changes in		
Program fees receivable	(601,709)	243,979
Government grants receivable	1,436,882	(426,241)
Due from the Center for Educational Innovation Foundation	-	272,365
Prepaid expenses and other assets	(782)	(16,809)
Accounts payable and accrued expenses	(109,070)	(641,994)
Deferred compensation payable	(83,434)	(80,068)
Deferred rent	(2,769)	6,718
Net cash (used in) provided by operating activities	(787,987)	51,792
Investing Activities		
Purchase of investments	(1,320,453)	(1,200,143)
Proceeds from sale of investments	1,890,547	1,266,043
Net cash provided by investing activities	570,094	65,900
Increase (Decrease) in Cash and Cash Equivalents and Restricted Cash and Cash Equivalents	(217,893)	117,692
Cash and Cash Equivalents and Restricted Cash and Cash Equivalents, Beginning of Year	602,302	484,610
Cash and Cash Equivalents and Restricted Cash and Cash Equivalents, End of Year	$ 384,409	$ 602,302
Reconciliation of Cash and Cash Equivalents and Restricted Cash and Cash Equivalents		
Cash and cash equivalents	$ 267,423	$ 485,316
Cash and cash equivalents, restricted	116,986	116,986
	$ 384,409	$ 602,302
Supplemental Cash Flows Information		
Cash paid for interest	$ 1,170	$ 1,170

Center for Educational Innovation

Notes to Financial Statements

June 30, 2019

(With Summarized Financial Information as of and for the Year Ended June 30, 2018)

Note 1: Nature of Operations and Summary of Significant Accounting Policies

Nature of Operations

Center for Educational Innovation (CEI) has been established to transform public education in America by shifting accountability from centralized bureaucracies to local schools, and by creating systems of school choices for communities.

CEI's primary sources of revenues are government grants and contracts, consulting income, and special event.

The following are descriptions of CEI's programs:

Project BOOST

Project BOOST (Building Options and Opportunities for Students) is CEI's signature program, which targets elementary and middle school students in kindergarten through 8th grade, who have demonstrated academic talents but do not have the financial resources necessary to cultivate and enrich their academic experience. The original overall goal of the program is to assist and to inspire participating middle school students in gaining admission to the highest quality high school, in NYC, being the Specialized High Schools. Overall, the program has grown to include schools in and out of NYC and as such, the goal has now broadened to inspire middle school students to gain admission into the best high school program possible, to nurture the talents and interests of students and help them identify college and career pathways. CEI offers a triangle of comprehensive services to build academic, cultural, social and service skills necessary for long-term student growth, academic enrichment, cultural enrichment and community service.

With a focus on equity and innovation, Project BOOST has grown to offer students a wide range of activities and resources including trips to live Broadway and museums through partnerships with some of NYC's finest academic, social, and cultural institutions. Project BOOST encourages the student to take full advantage of the opportunities afforded to them, and emphasizes the need to give back to the communities through a strong community service component. Students are taught that regardless of their socio-economic background, they can make fundamental contributions to society by giving of themselves through service.

In 2011, Project BOOST was extended to include CEI's Early Stages program. CEI's Early Stages provides free and significantly reduced-cost theatre tickets to underserved schools and their students. This has afforded the opportunity for exposure to the performing arts, which included attendance at NYC's most renowned performing arts venues, such as Broadway theatres, Lincoln Center, and Carnegie Hall, and to provide multiple opportunities for students to respond to the theatre through workshops, discussions, and writing (since its inception over 70,000 tickets have been made available to students).

To accomplish the goals of Project BOOST, the program provides funding for cultural enrichment experiences, tutoring and test preparation, academic guidance, live and virtual college visitations, introduction to robotics and coding, and a social action arts project, CEI's Benchmarks, as well as other community service opportunities through grants to schools funded by NYS Special Legislative Grants, NYC Council funding, private foundation grant funding and philanthropic donations. During the 2018-2019 school year, over 20 elementary and middle schools were selected for Project BOOST.

Partnership for Innovation in Compensation for Charter Schools (TIF/PICCS)

Through the PICCS program CEI has been able to support educators and school leaders to become highly effective professionals in the following ways:

- Foster authentic collaboration at all levels of CEI through professional learning communities (PLCs) that use data to research student learning challenges and create shared action strategies.
- Support teacher effectiveness through observations using the Danielson Framework. Support principal effectiveness through the use of the Vanderbilt Assessment of Leadership in Education (Val-ED).
- Provide a comprehensive educator and school leader evaluation system that integrates measures of professional practice and student outcomes to provide educators with an annual review tied to compensation.
- Offer extensive professional development and a structure to participate in Instructional Rounds across and within schools.
- Assist schools in creating a performance-based salary schedule and teacher career ladder that allows effective teachers to advance their career without leaving the classroom.
- Hone the instructional and leadership expertise needed to dramatically improve student achievement, rewarding our most effective educators, and achieving high levels of performance for all students and teachers.

PICCS is funded through grants awarded to CEI by U.S. Department of Education (USDOE) through its Teacher Incentive Fund (TIF) legislative appropriation.

CEI's Education Through Art (ETA):

This program is funded by an Assistance for Arts Education Development and Dissemination (AAEDD) four-year grant of $2.5M from the Office of Innovation and Improvement of the US Department of Education.

ETA program utilizes visual art and music as instructional strategies to directly teach ELA and Math while strengthening social and emotional learning skills (SEL).

ETA program serves special education students and teachers of grades 3, 4 and 5 in NYC School District 75 and tailors all lessons, materials and resources to serve a wide range of students - those with cognitive challenges who are alternately assessed, to those with emotional and behavioral challenges who take standardized assessments. Through in-class student residencies, professional development workshops, coaching and modeling, and the compilation of a digital resource of lessons, curriculum maps, and embedded schedules, the ETA program provides an innovative, arts-based approach to strengthening academic, art and SEL skills.

Other Programs

School Network activities that typically are for short-term duration and are consistent with the mission of CEI.

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues, expenses gains, losses and other changes in net assets during the reporting period. Actual results could differ from those estimates.

Cash and Cash Equivalents

CEI considers all liquid investments with original maturities of three months or less to be cash equivalents. At June 30, 2019 and 2018, cash equivalents consisted primarily of money market accounts with brokers.

Restricted cash and cash equivalents consists of a money market account used as collateral for a letter of credit.

Certificates of Deposit

Certificates of deposit with maturities greater than three months when originally acquired are valued at fair value and are considered investments for cash flow purposes.

Investments and Investment Return

Investments in equity securities having a readily determinable fair value and in all debt securities are carried at fair value. Other investments are valued at the lower of cost or fair value.

Investment return includes dividend, interest and other investment income; realized and unrealized gains and losses on investments carried at fair value; and realized gains and losses on other investments, less external and direct internal investment expenses.

Program Fees and Government Grants Receivable and Allowance

Program fees receivable from consulting services are stated at the amount billed to customers. Grants are recorded as receivables to the extent that expenses have been incurred for the purpose specified by the grantor. Interest is not charged on the outstanding receivables. CEI provides an allowance for doubtful accounts, which is based upon a review of outstanding receivables, historical collection information and existing economic conditions. Delinquent receivables are written off based on individual credit evaluation and specific circumstances of the customer. Management has determined that an allowance for doubtful accounts is not necessary at June 30, 2019 and 2018.

Property and Equipment

Property and equipment are stated at cost less accumulated depreciation. Depreciation is charged to expense using the straight-line method over the estimated useful life of each asset. Leasehold improvements are amortized over the shorter of the lease term or their respective estimated useful lives.

The estimated useful lives for each major depreciable classification of property and equipment are as follows:

Leasehold improvements	7 years
Equipment	3-5 years
Furniture and fixtures	5-7 years

Long-Lived Asset Impairment

CEI evaluates the recoverability of the carrying value of long-lived assets whenever events or circumstances indicate the carrying amount may not be recoverable. If a long-lived asset is tested for recoverability and the undiscounted estimated future cash flows expected to result from the use and eventual disposition of the asset is less than the carrying amount of the asset, the asset cost is adjusted to fair value and an impairment loss is recognized as the amount by which the carrying amount of a long-lived asset exceeds its fair value.

No asset impairment was recognized during the years ended June 30, 2019 and 2018.

Net Assets

Net assets, revenues, gains and losses are classified based on the existence or absence of donor or grantor restrictions.

Net assets without donor restrictions are available for use in general operations and not subject to donor or certain grantor restrictions.

Net assets with donor restrictions are subject to donor or certain grantor restrictions. Some restrictions are temporary in nature, such as those that will be met by the passage of time or other events specified by the donor.

Contributions

Contributions are provided to CEI either with or without restrictions placed on the gift by the donor. Revenues and net assets are separately reported to reflect the nature of those gifts – with or without donor restrictions. The value recorded for each contribution is recognized as follows:

Nature of the Gift	Value Recognized
Conditional gifts, with or without restriction	
Gifts that depend on CEI overcoming a donor-imposed barrier to be entitled to the funds	Not recognized until the gift becomes unconditional, *i.e.,* the donor-imposed barrier is met
Unconditional gifts, with or without restriction	
Received at date of gift – cash and other assets	Fair value
Received at date of gift – property, equipment and long-lived assets	Estimated fair value
Expected to be collected within one year	Net realizable value
Collected in future years	Initially reported at fair value determined using the discounted present value of estimated future cash flows technique

In addition to the amount initially recognized, revenue for unconditional gifts to be collected in future years is also recognized each year as the present-value discount is amortized using the level-yield method.

When a donor-stipulated time restriction ends or purpose restriction is accomplished, net assets with donor restrictions are reclassified to net assets without donor restrictions and reported in the statements of activities as net assets released from restrictions. Gifts and investment income that are originally restricted by the donor and for which the restriction is met in the same time period the gift is received are recorded as revenue with donor restrictions and then released from restriction.

Conditional contributions having donor stipulations which are satisfied in the period the gift is received and the investment income is earned are recorded as revenue with donor restrictions and then released from restriction.

Revenue Recognition

Government Grants and Contracts

Support funded by grants is recognized as CEI performs the contracted services or incurs outlays eligible for reimbursement under the grant agreements. Grant activities and outlays are subject to audit and acceptance by the granting agency and, as a result of such audit, adjustments could be required.

Consulting Income

Revenues from consulting income are from training and educational services provided to public and charter schools. These services are paid for by either the New York City Department of Education (NYCDOE) or by the charter schools. Revenues are recognized as services are provided.

Special Event

CEI conducts a special event in which a portion of the gross proceeds paid by the participant represents payment for the direct cost of the benefits received by the participant at the event. All proceeds received are recorded as special events revenues in the accompanying financial statements.

Income Taxes

CEI is exempt from income taxes under Section 501(c)(3) of the Internal Revenue Code and a similar provision of state law. However, CEI is subject to federal income tax on any unrelated business taxable income.

CEI files tax returns in the U.S. federal jurisdiction.

Functional Allocation of Expenses

The costs of supporting the various programs and other activities have been summarized on a functional basis in the statement of activities. Certain costs have been allocated among the program, management and general and fund raising categories proportional to their related, directly charged expenses.

Operating Lease

Rent expense has been recorded on the straight-line basis over the life of the lease. Deferred rent, when material, is recorded for the difference between the fixed payment and the rent expense.

Grants to Schools, Incentives and Stipends

Grants to schools, incentives and stipends are recorded when awarded.

Summarized Financial Information

The financial statements include certain prior-year summarized comparative information in total, but not by net asset class. Such information does not include sufficient detail to constitute a presentation in conformity with accounting principles generally accepted in the United States of America. Accordingly, such information should be read in conjunction with CEI's financial statements for the year ended June 30, 2018, from which the summarized information was derived.

Note 2: Changes in Accounting Principle

In 2019, CEI adopted Accounting Standards Update (ASU) 2016-14, *Not-for-Profit Entities* (Topic 958): *Presentation of Financial Statements of Not-for-Profit Entities.* A summary of the changes is as follows:

Statement of Financial Position

- The statement of financial position distinguishes between two new classes of net assets – those with donor-imposed restrictions and those without. This is a change from the previously required three classes of net assets – unrestricted, temporarily restricted and permanently restricted.

Statements of Activities and Functional Expenses

- Investment income is shown net of external and direct internal investment expenses. Disclosure of the expenses netted against investment income is no longer required.

Statement of Cash Flows

- CEI continues to use the indirect method of reporting to present operating cash flows.

Notes to the Financial Statements

- Enhanced quantitative and qualitative disclosures provide additional information useful in assessing liquidity and cash flows available to meet operating expenses for one year from the date of the statement of financial position.

This change had no impact on previously reported total change in net assets.

Note 3: Disclosures About Fair Value of Assets and Investment Return

Fair value is the price that would be received to sell an asset in an orderly transaction between market participants at the measurement date. Fair value measurements must maximize the use of observable inputs and minimize the use of unobservable inputs. There is a hierarchy of three levels of inputs that may be used to measure fair value:

Level 1 Quoted prices in active markets for identical assets

Level 2 Observable inputs other than Level 1 prices, such as quoted prices for similar assets; quoted prices in markets that are not active; or other inputs that are observable or can be corroborated by observable market data for substantially the full term of the assets

Level 3 Unobservable inputs supported by little or no market activity and are significant to the fair value of the assets

Recurring Measurements

The following tables present the fair value measurements of assets recognized in the accompanying statement of financial position measured at fair value on a recurring basis and the level within the fair value hierarchy in which the fair value measurements fall at June 30, 2019 and 2018:

	2019		
		Fair Value Measurements Using	
	Total	Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)
Investments			
Stable value funds	$ 17,121	$ -	$ 17,121
Mutual funds			
Bond	71,587	71,587	-
Capital appreciation	139,074	139,074	-
International	97,466	97,466	-
Large cap	87,271	87,271	-
Mid cap	41,782	41,782	-
Small cap	48,017	48,017	-
Total investments	$ 502,318	$ 485,197	$ 17,121

	2018		
		Fair Value Measurements Using	
	Total	Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)
Investments			
Stable value funds	$ 37,579	$ -	$ 37,579
Mutual funds			
Balanced	9,171	9,171	-
Bond	97,168	97,168	-
Capital appreciation	132,707	132,707	-
Equity	3,107	3,107	-
International	111,821	111,821	-
Large cap	87,250	87,250	-
Mid cap	56,505	56,505	-
Small cap	50,444	50,444	-
Total investments	$ 585,752	$ 548,173	$ 37,579

The following is a description of the valuation methodologies and inputs used for assets measured at fair value on a recurring basis and recognized in the accompanying statement of financial position, as well as the general classification of such assets pursuant to the valuation hierarchy. There have been no significant changes in the valuation techniques during the year ended June 30, 2019.

Investments

Where quoted market prices are available in an active market, securities are classified within Level 1 of the valuation hierarchy. If quoted market prices are not available, then fair values are estimated by using quoted prices of securities with similar characteristics or independent asset pricing services and pricing models, the inputs of which are market-based or independently sourced market parameters, including, but not limited to, yield curves, interest rates, volatilities, prepayments, defaults, cumulative loss projections and cash flows. Such securities are classified in Level 2 of the valuation hierarchy. In certain cases where Level 1 or Level 2 inputs are not available, securities are classified within Level 3 of the hierarchy.

Note 4: Property and Equipment

Property and equipment at June 30 consists of:

	2019	2018
Leasehold improvements	$ 20,012	$ 20,012
Equipment	62,266	62,266
Furniture and fixtures	20,536	20,536
	102,814	102,814
Less accumulated depreciation and amortization	(79,347)	(71,618)
	$ 23,467	$ 31,196

Note 5: Letter of Credit

In connection with a lease agreement (*Note 6*), in March 2016 CEI entered into a letter of credit agreement in the amount of $116,986 with JPMorgan Chase, N.A. (Chase) to be used as a security deposit. Interest is charged at 1 percent and is collateralized by CEI's account at Chase. The letter of credit which automatically renews was set to expire on October 31, 2019, and has been extended through October 31, 2020. Interest expense was $1,170 in 2019 and 2018.

Note 6: Operating Leases

CEI entered into a 45-month noncancelable lease agreement for office space with APF 28 W 44 Owner L.P. (APF) on January 4, 2013 which was set to expire September 30, 2016. On December 31, 2015, APF allowed CEI to break the lease at no cost and to enter into a new lease agreement for less space in the same building commencing January 1, 2016 and expiring on October 31, 2022. As part of the lease agreement, APF agreed to a 3-month rent concession which is being recognized over the term of the lease. Rent expense was $269,281 and $271,099 for the years ended June 30, 2019 and 2018, respectively.

Future minimum lease payments under operating leases are:

2020	$ 290,386
2021	304,273
2022	312,942
2023	105,780
Total minimum lease payments	$ 1,013,381

Note 7: Pension and Other Postretirement Benefit Plans

CEI has a defined contribution pension plan covering substantially all employees. The Board of Directors annually determines the amount, if any, of CEI's contributions to the plan. CEI did not make a contribution to the plan for the years ended June 30, 2019 and 2018.

CEI also has a 457(b) plan for certain executives. Under the terms of this plan, an employee may elect to defer an amount of up to $18,000. As of June 30, 2019 and 2018, CEI has a liability of $502,318 and $585,752, respectively.

Note 8: Net Assets

Net Assets With Donor Restrictions

Net assets with donor restrictions at June 30 are restricted for the following purposes or periods:

	2019	2018
Subject to expenditure for specified purpose		
After School and weekend programming	$ 63,364	$ 16,739

Net Assets Released from Restrictions

Net assets were released from donor restrictions by incurring expenses satisfying the restricted purposes or by occurrence of other events specified by donors.

	2019
Satisfaction or purpose restrictions	
After School and weekend programming	$ 125,780
Gilder senior fellow	50,000
	$ 175,780

Note 9: Liquidity and Availability

Financial assets available for general expenditure, that is, without donor or other restrictions limiting their use, within one year of June 30, 2019, comprise the following:

Financial assets	
Cash and cash equivalents	$ 267,423
Cash and cash equivalents, restricted	116,986
Investment held for retirement plan	502,318
Program fees receivable	968,804
Government grants receivable	661,575
Total financial assets	2,517,106
Donor-imposed restrictions	
Restricted funds	(40,959)
Net financial assets after donor-imposed restrictions	2,476,147
Cash and cash equivalents, restricted	(116,986)
Deferred compensation payable	(502,318)
Financial assets available to meet cash needs for general expenditures within one year	$ 1,856,843

CEI manages its liquidity and reserves following three guiding principles: operating within a prudent range of financial soundness and stability, maintaining adequate liquid assets to fund near-term operating needs and maintaining sufficient reserves to provide reasonable assurance that long-term obligations will be discharged.

Note 10: Contingencies

Certain grants and contracts may be subject to audit by the funding sources and governmental agencies. Such audits might result in disallowances of costs submitted for reimbursement. Management is of the opinion that such disallowances, if any, will not have a material effect on the accompanying financial statements for such potential claims. Accordingly, no amounts have been provided in the accompanying financial statements for such potential claims.

Note 11: Significant Estimates and Concentrations

Accounting principles generally accepted in the United States of America require disclosure of certain significant estimates and current vulnerabilities due to certain concentrations. Those matters include the following:

Accounts Receivable

CEI derived its program receivables and government grants and contracts revenue as follows:

	June 30, 2019		June 30, 2019	
	Program Receivables	Revenue	Program Receivables	Revenue
New York City Department of Education	43%	20%	23%	18%
USDOE	2%	21%	1%	37%
NYS	7%	2%	61%	32%
Other	48%	57%	15%	13%
	100%	100%	100%	100%

Investments

CEI invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such change could materially affect the amounts reported in the accompanying statement of financial position.

Revenue

CEI has one special event, which approximates 17 percent and 11 percent of its revenue for the years ended June 30, 2019 and 2018, respectively

Note 12: CEI Foundation/Fund Contributions

In December 2015, the Center for Educational Innovation Foundation (the Foundation) was established. In addition, in December 2015, CEI became a donor-sponsored supporting organization of the Morgan Stanley Global Impact Funding Trust, Inc., (the Trust). The Trust, in turn, established a donor-advised fund on behalf of CEI. CEI's executive director can recommend donations from the donor-advised fund to public charities. Neither the Foundation nor the donor-advised fund are controlled by CEI, and accordingly, have not been consolidated into or included within CEI's financial statements.

CEI arranged for the donor-advised fund to serve as a vehicle for other donor-advised funds to be able to contribute funds to CEI. Morgan Stanley invests the funds held by the donor-advised fund. During 2018, the donor-advised fund and Foundation contributed $1,745,941 to CEI of which $272,365 was due from the Foundation as of June 30, 2017, $247,600 was reported as special event revenue, $61,198 was reported as a reimbursement of gala expenses and the remaining $1,164,778 was reported as a CEI Foundation/Fund contribution in the statement of activities. The balance remaining in the donor-advised fund was $11,910 at June 30, 2018. The donor-advised fund was closed in 2019 with a final grant to CEI of $13,347.

The Trust is the sole member of the Foundation which was established to handle fundraising on behalf of CEI. Morgan Stanley invests the funds held by the Foundation. Other activity within the Foundation's investments during 2019 and 2018 was $1,218 and $25,503, respectively. The balance of the investments held by the Foundation was $43,686 and $45,011 at June 30, 2019 and 2018, respectively.

Note 13: Subsequent Event

Subsequent events have been evaluated through April 30, 2020, which is the date the financial statements were available to be issued.

There has been significant volatility in the investment markets both nationally and globally since June 30, 2019 resulting in an overall market decline which has resulted in a substantial decline in the value of our investment portfolio.

As a result of the spread of the COVID-19 coronavirus, economic uncertainties have arisen which may negatively affect the financial position, changes in net assets and cash flows of CEI. The duration of these uncertainties and the ultimate financial effects cannot be reasonably estimated at this time.

Note 14: Future Changes in Accounting Principles

FASB Releases Not-for-Profit Accounting Standard for Grants and Contributions

ASU No. 2018-08, *Clarifying the Scope and the Accounting Guidance for Contributions Received and Contributions Made*, clarifies existing guidance on determining whether a transaction with a resource provider, *e.g.*, the receipt of funds under a government grant or contract, is a contribution or an exchange transaction. The guidance requires all organizations to evaluate whether the resource provider is receiving commensurate value in a transfer of assets transaction, and whether contributions are conditional or unconditional. If commensurate value is received by the resource provider, the transaction would be accounted for as an exchange transaction by applying Topic 606, *Revenue from Contracts with Customers*, or other topics. The standard clarifies that a resource provider is not synonymous with the general public. Indirect benefit received by the public as a result of the assets transferred is not equivalent to commensurate value received by the resource provider. If commensurate value is not received by the resource provider, *i.e.*, the transaction is nonexchange, the recipient organization would record the transaction as a contribution under Topic 958 and determine whether the contribution is conditional or unconditional.

The Financial Accounting Standards Board (FASB) expects that the new standard could result in more grants and contracts being accounted for as contributions (often conditional contributions) than under current generally accepted accounting principles. Because of this, it believes the clarifying guidance about whether a contribution is conditional or unconditional, which affects the timing of revenue recognition, is important. Both the recipient and resource provider would equally apply the guidance. For all non-public entities, the standard will be effective for reporting periods beginning on or after December 15, 2018 including interim periods within annual periods beginning after December 15, 2019.

Revenue Recognition

FASB amended its standards related to revenue recognition. This amendment replaces all existing revenue recognition guidance and provides a single, comprehensive revenue recognition model for all contracts with customers. The guidance provides a five-step analysis of transactions to determine when and how revenue is recognized. Other major provisions include capitalization of certain contract costs, consideration of the time value of money in the transaction price and allowing estimates of variable consideration to be recognized before contingencies are resolved in certain circumstances. The amendment also requires additional disclosure about the nature, amount, timing and uncertainty of revenue and cash flows arising from customer contracts, including significant judgments and changes in those judgments and assets recognized from costs incurred to fulfill a contract. The standard allows either full or modified retrospective adoption for nonpublic entities and is effective for annual reporting periods that begin on or after December 15, 2018, and interim and annual reporting periods thereafter. CEI intends to begin the process of evaluating the impact the amendment will have on the financial statements.

Accounting for Leases

FASB amended its standard related to the accounting for leases. Under the new standard, lessees will now be required to recognize substantially all leases on the balance sheet as both a right-of-use asset and a liability. The standard has two types of leases for income statement recognition purposes: operating leases and finance leases. Operating leases will result in the recognition of a single lease expense on a straight-line basis over the lease term similar to the treatment for operating leases under existing standards. Finance leases will result in an accelerated expense similar to the accounting for capital leases under existing standards. The determination of lease classification as operating or finance will be done in a manner similar to existing standards. The new standard also contains amended guidance regarding the identification of embedded leases in service contracts and the identification of lease and nonlease components in an arrangement. The new standard is effective for annual periods beginning after December 15, 2020, and any interim periods within annual reporting periods that begin after December 15, 2020.

Supplementary Information

Center for Educational Innovation
Schedule of Expenditures of Federal Awards
Year Ended June 30, 2019

Federal Grantor/Pass-Through Grantor/ Program or Cluster Title	Federal CFDA Number	Pass-Through Entity Identifying Number	Total Federal Expenditures
U.S. Department of Education			
Teacher Incentive Fund	84.374	N/A	$ 804,859
Arts in Education	84.351	N/A	371,875
Total U.S. Department of Education			1,176,734
Total expenditures of federal awards			$ 1,176,734

The accompanying notes are an integral part of this Schedule.

Center for Educational Innovation
Notes to Schedule of Expenditures of Federal Awards
Year Ended June 30, 2019

Notes to Schedule

1. The accompanying schedule of expenditures of federal awards (the Schedule) includes the federal award activity of CEI under programs of the federal government for the year ended June 30, 2019. The information in this Schedule is presented in accordance with the requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Because the Schedule presents only a selected portion of the operations of CEI, it is not intended to and does not present the financial position, changes in net assets or cash flows of CEI.

2. Expenditures reported on the Schedule are reported on the accrual basis of accounting. Such expenditures are recognized following the cost principles contained in the Uniform Guidance, wherein certain types of expenditures are not allowable or are limited as to reimbursement. Negative amounts shown on the Schedule represent adjustments or credits made in the normal course of business to amounts reported as expenditures in prior years. CEI has elected not to use the 10 percent de minimis indirect cost rate allowed under the Uniform Guidance.

3. There were no payments made to subrecipients for federal awards received during the year ended June 30, 2019.

4. CEI had no federal loan programs during the year ended June 30, 2019.

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Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with *Government Auditing Standards*

Independent Auditor's Report

Board of Trustees
Center for Educational Innovation
New York, New York

We have audited, in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, the financial statements of Center for Educational Innovation, which comprise the statement of financial position as of June 30, 2019, and the related statements of activities, functional expenses and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated April 30, 2020, which contained an "Emphasis of Matter" paragraph regarding a change in accounting principle and a reference to our prior year report.

Internal Control over Financial Reporting

In planning and performing our audit of the financial statements, we considered Center for Educational Innovation's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of Center for Educational Innovation's internal control. Accordingly, we do not express an opinion on the effectiveness of Center for Educational Innovation's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies, and therefore, material weaknesses or significant deficiencies may exist that have not been identified. We did identify certain deficiencies in internal control, described in the accompanying schedule of findings and questioned costs as item 2019-001 and 2019-002 that we consider to be material weaknesses.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether Center for Educational Innovation's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Center for Educational Innovation's Response to Findings

Center for Educational Innovation's response to the finding identified in our audit is described in the accompanying schedule of findings and questioned costs. Center for Educational Innovation's response was not subjected to the auditing procedures applied in the audit of the financial statements, and accordingly, we express no opinion on it.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

BKD, LLP

New York, New York
April 30, 2020

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Report on Compliance for the Major Federal Program and Report on Internal Control Over Compliance

Independent Auditor's Report

Board of Trustees
Center for Educational Innovation
New York, New York

Report on Compliance for the Major Federal Program

We have audited Center for Educational Innovation's compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on Center for Educational Innovation's major federal program for the year ended June 30, 2019. Center for Educational Innovation's major federal program is identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations and the terms and conditions of its federal awards applicable to its federal programs.

Auditor's Responsibility

Our responsibility is to express an opinion on compliance for the Center for Educational Innovation's major federal program based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about Center for Educational Innovation's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for the major federal program. However, our audit does not provide a legal determination of Center for Educational Innovation's compliance.

Opinion on the Major Federal Program

In our opinion, Center for Educational Innovation complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on the major federal program for the year ended June 30, 2019.

Report on Internal Control Over Compliance

Management of Center for Educational Innovation is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered Center for Educational Innovation's internal control over compliance with the types of requirements that could have a direct and material effect on the major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for the major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of Center for Educational Innovation's internal control over compliance.

A *deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

BKD, LLP

New York, New York
April 30, 2020

Center for Educational Innovation
Schedule of Findings and Questioned Costs
Year Ended June 30, 2019

Summary of Auditor's Results

Financial Statements

1. The type of report the auditor issued on whether the financial statements audited were prepared in accordance with accounting principles generally accepted in the United States of America (GAAP) was:

   ☒ *Unmodified* ☐ *Qualified* ☐ *Adverse* ☐ *Disclaimer*

2. The independent auditor's report on internal control over financial reporting disclosed:

   Significant deficiency(ies)? ☐ *Yes* ☒ *None reported*

   Material weakness(es)? ☒ *Yes* ☐ *No*

3. Noncompliance considered material to the financial statements was disclosed by the audit? ☐ *Yes* ☒ *No*

Federal Awards

4. The independent auditor's report on internal control over compliance for major federal awards programs disclosed:

   Significant deficiency(ies)? ☐ *Yes* ☒ *None reported*

   Material weakness(es)? ☐ *Yes* ☒ *No*

5. The opinion expressed in the independent auditor's report on compliance for major federal awards was:

   ☒ *Unmodified* ☐ *Qualified* ☐ *Adverse* ☐ *Disclaimer*

6. The audit disclosed findings required to be reported by CFR 200.516(a)? ☐ *Yes* ☒ *No*

7. Center for Educational Innovation's major program was:

Cluster/Program	CFDA Number
Teacher Incentive Fund	84.374

8. The threshold used to distinguish between Type A and Type B programs was $750,000.

9. Center for Educational Innovation qualified as a low-risk auditee? ☐ *Yes* ☒ *No*

Center for Educational Innovation
Schedule of Findings and Questioned Costs (Continued)
Year Ended June 30, 2019

Findings Required to be Reported by Government Auditing Standards

Reference Number	Finding
2019-001	**Account Analysis**

Criteria or Specific Requirement – Formalized account analysis should be prepared periodically for each major account and program.

Condition – Formal account analysis was not prepared periodically for each major account and program.

Effect – Material adjusting entries were required during the audit.

Cause – Management did not prepare account analysis for each major account and program.

Recommendation – We recommend that formal account analysis be prepared to determine necessary adjusting entries required to maintain the books and records on the GAAP accrual basis of accounting.

Views of Responsible Officials and Planned Corrective Actions – CEI agrees with the finding. See separate auditee document for planned corrective actions.

Center for Educational Innovation
Schedule of Findings and Questioned Costs (Continued)
Year Ended June 30, 2019

Reference Number	Finding

2019-002 **Accounts Receivable**

Criteria or Specific Requirement – Accounts receivable balances and activities should be tracked through utilizing a subsidiary ledger and be reconciled to the general ledger.

Condition – Accounts receivable are currently being tracked outside of the general ledger with accounts receivable only being recorded at year-end.

Effect – There were instances of payments received being applied against incorrect balances and other instances of cash being applied to open balances when there was no cash received

Cause – CEI did not use a subsidiary ledger and did not reconcile receivables on a periodic basis.

Recommendation – We recommend that management begin utilizing the general ledger to track the open receivables as soon as possible.

Views of Responsible Officials and Planned Corrective Actions – CEI agrees with the finding. See separate auditee document for planned corrective actions.

Findings Required to be Reported by the Uniform Guidance

No matters are reportable.

Center for Educational Innovation

Summary Schedule of Prior Audit Findings

Year Ended June 30, 2019

Reference Number	Summary of Finding	Status
2018-001	**Account Analysis** Formal account analyses were not prepared periodically for each major account and program.	**Unresolved** See current year finding at 2019-001. See auditee document for planned corrective actions and summary schedule of prior audit findings.

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Management's Corrective Action Plan

Finding: 2019-001 Account Analysis

Management agrees with the observation by the independent auditor. Subsequent to the independent auditor noting this observation during the audit for the period ended June 30th, 2019, CEI has hired a new CFO and has implemented a periodic account analysis and for each of the major account and program.

Finding: 2019-002 Accounts Receivable

Management agrees with the observation. CEI is implementing a new accounting system and will be able to track accounts receivables using a subsidiary ledger and will be reconciling it to the general ledger on a periodic basis.

Attachment I - Form 990

Please find the following Form 990s attached:

A. FY21 Form 990
B. FY20 Form 990
C. FY19 Form 990

FULVIO & ASSOCIATES, L.L.P.
CERTIFIED PUBLIC ACCOUNTANTS
5 W 37TH STREET 4TH FL
NEW YORK, NY 10018

CENTER FOR EDUCATIONAL INNOVATION
Instructions for Filing
Form 8879-EO
IRS e-file Signature Authorization for Form 990
For the year ended June 30, 2021

The original IRS E-file Signature Authorization form should be signed (use full name) and dated by an authorized officer of the organization.

Return your signed IRS e-file Signature Authorization Form 8879-EO to:

FULVIO & ASSOCIATES, L.L.P.
5 W 37TH STREET 4TH FL
NEW YORK NY 10018

There is no tax due with the filing of this return.

Do NOT separately file Form 990 with the Internal Revenue Service. Doing so will delay the processing of your return. We must receive your signed form before we can electronically transmit your return, which is due on or before May 16, 2022. We would appreciate you returning this form as soon as possible as this will expedite the processing of your return. The Internal Revenue Service will notify us when your return is accepted. Your return is not considered filed until the Internal Revenue Service confirms their acceptance, which may occur after the due date of your return.

Form **8879-EO**

Department of the Treasury
Internal Revenue Service

IRS *e-file* Signature Authorization for an Exempt Organization

For calendar year 2020, or fiscal year beginning 07/01, 2020, and ending 06/30, 20 21

▶ Do not send to the IRS. Keep for your records.

▶ Go to *www.irs.gov/Form8879EO* for the latest information.

OMB No. 1545-0047

2020

Name of exempt organization or person subject to tax

CENTER FOR EDUCATIONAL INNOVATION

T [redacted]

Name and title of officer or person subject to tax

MICHAEL KOHLHAGEN, CHIEF EXE.OFFICER

Part I Type of Return and Return Information (Whole Dollars Only)

Check the box for the return for which you are using this Form 8879-EO and enter the applicable amount, if any, from the return. If you check the box on line **1a**, **2a**, **3a**, **4a**, **5a**, **6a**, or **7a** below, and the amount on that line for the return being filed with this form was blank, then leave line **1b**, **2b**, **3b**, **4b**, **5b**, **6b**, or **7b**, whichever is applicable, blank (do not enter -0-). But, if you entered -0- on the return, then enter **0** on the applicable line below. Do not complete more than one line in Part I.

1a	Form 990 check here ▶ [X]	b	Total revenue, if any (Form 990, Part VIII, column (A), line 12)	1b	4,609,505.
2a	Form 990-EZ check here ▶ [ ]	b	Total revenue, if any (Form 990-EZ, line 9)	2b	
3a	Form 1120-POL check here ▶ [ ]	b	Total tax (Form 1120-POL, line 22)	3b	
4a	Form 990-PF check here ▶ [ ]	b	Tax based on investment income (Form 990-PF, Part VI, line 5)	4b	
5a	Form 8868 check here ▶ [ ]	b	Balance due (Form 8868, line 3c)	5b	
6a	Form 990-T check here ▶ [ ]	b	Total tax (Form 990-T, Part III, line 4)	6b	
7a	Form 4720 check here ▶ [ ]	b	Total tax (Form 4720, Part III, line 1)	7b	

Part II Declaration and Signature Authorization of Officer or Person Subject to Tax

Under penalties of perjury, I declare that [X] I am an officer of the above organization or [ ] I am a person subject to tax with respect to (name of organization) _____, (EIN) _____ and that I have examined a copy of the 2020 electronic return and accompanying schedules and statements, and, to the best of my knowledge and belief, they are true, correct, and complete. I further declare that the amount in Part I above is the amount shown on the copy of the electronic return. I consent to allow my intermediate service provider, transmitter, or electronic return originator (ERO) to send the return to the IRS and to receive from the IRS (a) an acknowledgement of receipt or reason for rejection of the transmission, (b) the reason for any delay in processing the return or refund, and (c) the date of any refund. If applicable, I authorize the U.S. Treasury and its designated Financial Agent to initiate an electronic funds withdrawal (direct debit) entry to the financial institution account indicated in the tax preparation software for payment of the federal taxes owed on this return, and the financial institution to debit the entry to this account. To revoke a payment, I must contact the U.S. Treasury Financial Agent at 1-888-353-4537 no later than 2 business days prior to the payment (settlement) date. I also authorize the financial institutions involved in the processing of the electronic payment of taxes to receive confidential information necessary to answer inquiries and resolve issues related to the payment. I have selected a personal identification number (PIN) as my signature for the electronic return and, if applicable, the consent to electronic funds withdrawal.

PIN: check one box only

[X] I authorize FULVIO & ASSOCIATES, L.L.P. (ERO firm name) to enter my PIN [redacted] as my signature

Enter five numbers, but do not enter all zeros

on the tax year 2020 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I also authorize the aforementioned ERO to enter my PIN on the return's disclosure consent screen.

[ ] As an officer or person subject to tax with respect to the organization, I will enter my PIN as my signature on the tax year 2020 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of th[redacted] return's disclosure consent screen.

Signature of officer or person subject to tax ▶ [redacted] Date ▶ 07/31/2022 SIGN HERE

Part III Certification and Authen[redacted]

ERO's EFIN/PIN. Enter your six-digit electronic filing identification number (EFIN) followed by your five-digit self-selected PIN.

[redacted]

Do not enter all zeros

I certify that the above numeric entry is my PIN, which is my signature on the 2020 electronically filed return indicated above. I confirm that I am submitting this return in accordance with the requirements of Pub. 4163, Modernized e-File (MeF) Information for Authorized IRS *e-file* Providers for Business Returns.

ERO's signature ▶ _____ Date ▶ 07/31/2022

ERO Must Retain This Form - See Instructions

Do Not Submit This Form to the IRS Unless Requested To Do So

For Paperwork Reduction Act Notice, see back of form. Form **8879-EO** (2020)

JSA
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Form 990

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter social security numbers on this form as it may be made public.

▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2020

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

A For the 2020 calendar year, or tax year beginning 07/01, 2020, and ending 06/30, 20 21

B Check if applicable:
- [X] Address change
- [ ] Name change
- [ ] Initial return
- [ ] Final return/terminated
- [ ] Amended return
- [ ] Application pending

C Name of organization: CENTER FOR EDUCATIONAL INNOVATION

Doing business as:

Number and street (or P O box if mail is not delivered to street address): 369 LEXINGTON AVENUE

Room/suite: 313

City or town, state or province, country, and ZIP or foreign postal code: NEW YORK, NY 10017

D Employer identification number: [redacted]

E Telephone number: [redacted]

G Gross receipts $: 4,627,040.

F Name and address of principal officer: MICHAEL KOHLHAGEN
369 LEXINGTON AVENUE313, NEW YORK, NY 10017

H(a) Is this a group return for subordinates? [ ] Yes [X] No

H(b) Are all subordinates included? [ ] Yes [ ] No

If "No," attach a list. See instructions

H(c) Group exemption number ▶

I Tax-exempt status: [X] 501(c)(3) [ ] 501(c)( ) ◀ (insert no) [ ] 4947(a)(1) or [ ] 527

J Website ▶ THE-CEI.ORG

K Form of organization: [X] Corporation [ ] Trust [ ] Association [ ] Other ▶

L Year of formation: 2000 M State of legal domicile: NY

Part I Summary

1 Briefly describe the organization's mission or most significant activities: TO SUPPORT INITIATIVES THAT WILL PROVIDE A QUALITY EDUCATION TO CHILDREN IN NYC AND OTHER COMMUNITIES.

2 Check this box ▶ [ ] if the organization discontinued its operations or disposed of more than 25% of its net assets.

Activities & Governance	3 Number of voting members of the governing body (Part VI, line 1a)	3	14.
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	13.
	5 Total number of individuals employed in calendar year 2020 (Part V, line 2a)	5	96.
	6 Total number of volunteers (estimate if necessary)	6	
	7a Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
	b Net unrelated business taxable income from Form 990-T, Part I, line 11	7b	

		Prior Year	Current Year
Revenue	8 Contributions and grants (Part VIII, line 1h)	1,953,857.	1,731,947.
	9 Program service revenue (Part VIII, line 2g)	3,154,421.	2,877,748.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	22.	-190.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	-146,062.	0.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	4,962,238.	4,609,505.
Expenses	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)	23,322.	91,724.
	14 Benefits paid to or for members (Part IX, column (A), line 4)	0.	0.
	15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	2,776,274.	2,665,291.
	16a Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	b Total fundraising expenses (Part IX, column (D), line 25) ▶ 178,036.		
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	2,793,987.	1,774,169.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	5,593,583.	4,531,184.
	19 Revenue less expenses. Subtract line 18 from line 12	-631,345.	78,321.

		Beginning of Current Year	End of Year
Net Assets or Fund Balances	20 Total assets (Part X, line 16)	3,405,547.	3,305,790.
	21 Total liabilities (Part X, line 26)	2,370,806.	2,663,625.
	22 Net assets or fund balances. Subtract line 21 from line 20	1,034,741.	642,165.

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here

▶ [redacted] Signature of officer — Date: 07/31/2022

▶ MICHAEL KOHLHAGEN — CHIEF EXE.OFFICER
Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name: GENNARO J FULVIO [redacted] — Date: 07/31/2022 — Check [ ] if self-employed — PTIN: [redacted]

Firm's name ▶ FULVIO & ASSOCIAT[redacted] — Firm's EIN: [redacted]

Firm's address ▶ 5 W 37TH STREET 4TH FL NEW YORK, NY 10018 — Phone no: [redacted]

May the IRS discuss this return with the preparer shown above? (see instructions) [X] Yes [ ] No

For Paperwork Reduction Act Notice, see the separate instructions.

Form 990 (2020)

JSA
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Part III **Statement of Program Service Accomplishments**

Check if Schedule O contains a response or note to any line in this Part III X

1 Briefly describe the organization's mission:

ATTACHMENT 1

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? . . . . . ☐ Yes ☒ No

If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? . . . . . ☐ Yes ☒ No

If "Yes," describe these changes on Schedule O.

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code:) (Expenses $ 513,247. including grants of $) (Revenue $)

ATTACHMENT 2

4b (Code:) (Expenses $ 2,170,991. including grants of $) (Revenue $)

ATTACHMENT 3

4c (Code:) (Expenses $ 693,458. including grants of $) (Revenue $)

ATTACHMENT 4

4d Other program services (Describe on Schedule O.)

(Expenses $ 113,358. including grants of $) (Revenue $)

4e Total program service expenses ▶ 3,491,054.

Part IV Checklist of Required Schedules

			Yes	No
1	Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? *If "Yes," complete Schedule A*	1	X	
2	Is the organization required to complete *Schedule B, Schedule of Contributors* See instructions?	2	X	
3	Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? *If "Yes," complete Schedule C, Part I*	3		X
4	**Section 501(c)(3) organizations.** Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? *If "Yes," complete Schedule C, Part II*	4	X	
5	Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? *If "Yes," complete Schedule C, Part III*	5		
6	Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? *If "Yes," complete Schedule D, Part I*	6		X
7	Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? *If "Yes," complete Schedule D, Part II*	7		X
8	Did the organization maintain collections of works of art, historical treasures, or other similar assets? *If "Yes," complete Schedule D, Part III*	8		X
9	Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? *If "Yes," complete Schedule D, Part IV*	9		X
10	Did the organization, directly or through a related organization, hold assets in donor-restricted endowments or in quasi endowments? *If "Yes," complete Schedule D, Part V*	10		X
11	If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.			
a	Did the organization report an amount for land, buildings, and equipment in Part X, line 10? *If "Yes," complete Schedule D, Part VI*	11a	X	
b	Did the organization report an amount for investments-other securities in Part X, line 12, that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VII*	11b		X
c	Did the organization report an amount for investments-program related in Part X, line 13, that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VIII*	11c		X
d	Did the organization report an amount for other assets in Part X, line 15, that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part IX*	11d		X
e	Did the organization report an amount for other liabilities in Part X, line 25? *If "Yes," complete Schedule D, Part X*	11e	X	
f	Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? *If "Yes," complete Schedule D, Part X*	11f		X
12a	Did the organization obtain separate, independent audited financial statements for the tax year? *If "Yes," complete Schedule D, Parts XI and XII*	12a	X	
b	Was the organization included in consolidated, independent audited financial statements for the tax year? *If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional*	12b		X
13	Is the organization a school described in section 170(b)(1)(A)(ii)? *If "Yes," complete Schedule E*	13		X
14a	Did the organization maintain an office, employees, or agents outside of the United States?	14a		X
b	Did the organization have aggregate revenues or expenses of more than $10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at $100,000 or more? *If "Yes," complete Schedule F, Parts I and IV*	14b		X
15	Did the organization report on Part IX, column (A), line 3, more than $5,000 of grants or other assistance to or for any foreign organization? *If "Yes," complete Schedule F, Parts II and IV*	15		X
16	Did the organization report on Part IX, column (A), line 3, more than $5,000 of aggregate grants or other assistance to or for foreign individuals? *If "Yes," complete Schedule F, Parts III and IV*	16		X
17	Did the organization report a total of more than $15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? *If "Yes," complete Schedule G, Part I* See instructions	17		X
18	Did the organization report more than $15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? *If "Yes," complete Schedule G, Part II*	18	X	
19	Did the organization report more than $15,000 of gross income from gaming activities on Part VIII, line 9a? *If "Yes," complete Schedule G, Part III*	19		X
20a	Did the organization operate one or more hospital facilities? *If "Yes," complete Schedule H*	20a		X
b	If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	20b		
21	Did the organization report more than $5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? *If "Yes," complete Schedule I, Parts I and II*	21	X	

Part IV Checklist of Required Schedules *(continued)*

			Yes	No
22	Did the organization report more than $5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? *If "Yes," complete Schedule I, Parts I and III*	22		X
23	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? *If "Yes," complete Schedule J.*	23	X	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than $100,000 as of the last day of the year, that was issued after December 31, 2002? *If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a*	24a		X
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b		
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c		
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d		
25a	**Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.** Did the organization engage in an excess benefit transaction with a disqualified person during the year? *If "Yes," complete Schedule L, Part I*	25a		X
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? *If "Yes," complete Schedule L, Part I*	25b		X
26	Did the organization report any amount on Part X, line 5 or 22, for receivables from or payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons? *If "Yes," complete Schedule L, Part II*	26		X
27	Did the organization provide a grant or other assistance to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity (including an employee thereof) or family member of any of these persons? *If "Yes," complete Schedule L, Part III*	27		X
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions, for applicable filing thresholds, conditions, and exceptions):			
a	A current or former officer, director, trustee, key employee, creator or founder, or substantial contributor? *If "Yes," complete Schedule L, Part IV*	28a		X
b	A family member of any individual described in line 28a? *If "Yes," complete Schedule L, Part IV*	28b		X
c	A 35% controlled entity of one or more individuals and/or organizations described in lines 28a or 28b? *If "Yes," complete Schedule L, Part IV*	28c		X
29	Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M*	29		X
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M*	30		X
31	Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I*	31		X
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? *If "Yes," complete Schedule N, Part II*	32		X
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? *If "Yes," complete Schedule R, Part I*	33		X
34	Was the organization related to any tax-exempt or taxable entity? *If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1*	34		X
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a		X
b	If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? *If "Yes," complete Schedule R, Part V, line 2*	35b		
36	**Section 501(c)(3) organizations.** Did the organization make any transfers to an exempt non-charitable related organization? *If "Yes," complete Schedule R, Part V, line 2*	36		
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? *If "Yes," complete Schedule R, Part VI*	37		X
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? **Note:** All Form 990 filers are required to complete Schedule O.	38		X

Part V Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response or note to any line in this Part V X

				Yes	No
1a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	1a	37		
b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b	0.		
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c			X

Part V Statements Regarding Other IRS Filings and Tax Compliance *(continued)*

			Yes	No
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return. 2a 96			
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns?	2b	X	
	Note: If the sum of lines 1a and 2a is greater than 250, you may be required to *e-file* (see instructions)			
3a	Did the organization have unrelated business gross income of $1,000 or more during the year?	3a		X
b	If "Yes," has it filed a Form 990-T for this year? *If "No" to line 3b, provide an explanation on Schedule O*	3b		
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	4a		X
b	If "Yes," enter the name of the foreign country ▶ _____ See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).			
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a		X
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b		X
c	If "Yes" to line 5a or 5b, did the organization file Form 8886-T?	5c		
6a	Does the organization have annual gross receipts that are normally greater than $100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?	6a		X
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	6b		
7	**Organizations that may receive deductible contributions under section 170(c).**			
a	Did the organization receive a payment in excess of $75 made partly as a contribution and partly for goods and services provided to the payor?	7a	X	
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b	X	
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	7c		X
d	If "Yes," indicate the number of Forms 8282 filed during the year 7d			
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7e		X
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f		X
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	7g		
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	7h		
8	**Sponsoring organizations maintaining donor advised funds.** Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?	8		X
9	**Sponsoring organizations maintaining donor advised funds.**			
a	Did the sponsoring organization make any taxable distributions under section 4966?	9a		X
b	Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?	9b		X
10	**Section 501(c)(7) organizations.** Enter:			
a	Initiation fees and capital contributions included on Part VIII, line 12 10a			
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities 10b			
11	**Section 501(c)(12) organizations.** Enter:			
a	Gross income from members or shareholders 11a			
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.) 11b			
12a	**Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041?	12a		
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year 12b			
13	**Section 501(c)(29) qualified nonprofit health insurance issuers.**			
a	Is the organization licensed to issue qualified health plans in more than one state? **Note:** See the instructions for additional information the organization must report on Schedule O.	13a		X
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans 13b			
c	Enter the amount of reserves on hand 13c			
14a	Did the organization receive any payments for indoor tanning services during the tax year?	14a		X
b	If "Yes," has it filed a Form 720 to report these payments? *If "No," provide an explanation on Schedule O*	14b		X
15	Is the organization subject to the section 4960 tax on payment(s) of more than $1,000,000 in remuneration or excess parachute payment(s) during the year? If "Yes," see instructions and file Form 4720, Schedule N.	15		X
16	Is the organization an educational institution subject to the section 4968 excise tax on net investment income? If "Yes," complete Form 4720, Schedule O.	16		X

Part VI Governance, Management, and Disclosure *For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes on Schedule O. See instructions.*

Check if Schedule O contains a response or note to any line in this Part VI X

Section A. Governing Body and Management

			Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year	1a 14		
	If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain on Schedule O.			
b	Enter the number of voting members included on line 1a, above, who are independent	1b 13		
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	2		X
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, trustees, or key employees to a management company or other person?	3		X
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?	4		X
5	Did the organization become aware during the year of a significant diversion of the organization's assets?	5		X
6	Did the organization have members or stockholders?	6		X
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?	7a		X
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?	7b		X
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:			
a	The governing body?	8a	X	
b	Each committee with authority to act on behalf of the governing body?	8b	X	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? *If "Yes," provide the names and addresses on Schedule O.*	9		X

Section B. Policies *(This Section B requests information about policies not required by the Internal Revenue Code.)*

			Yes	No
10a	Did the organization have local chapters, branches, or affiliates?	10a		X
b	If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? . . .	10b		
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? .	11a	X	
b	Describe in Schedule O the process, if any, used by the organization to review this Form 990.			
12a	Did the organization have a written conflict of interest policy? *If "No," go to line 13*	12a	X	
b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	12b	X	
c	Did the organization regularly and consistently monitor and enforce compliance with the policy? *If "Yes," describe in Schedule O how this was done*	12c	X	
13	Did the organization have a written whistleblower policy?	13	X	
14	Did the organization have a written document retention and destruction policy?	14	X	
15	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?			
a	The organization's CEO, Executive Director, or top management official	15a	X	
b	Other officers or key employees of the organization	15b		
	If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).			
16a	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?	16a		X
b	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?	16b		

Section C. Disclosure

17 List the states with which a copy of this Form 990 is required to be filed ▶ NY,

18 Section 6104 requires an organization to make its Forms 1023 (1024 or 1024-A, if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.

☐ Own website ☐ Another's website ☒ Upon request ☐ Other *(explain on Schedule O)*

19 Describe on Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.

20 State the name, address, and telephone number of the person who possesses the organization's books and records ▶
CYNTHIA REED 369 LEXINGTON AVENUE SUITE 313 NEW YORK, NY 10017 212-302-8800

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

Check if Schedule O contains a response or note to any line in this Part VII . . . . . ☐

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than $100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than $100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than $10,000 of reportable compensation from the organization and any related organizations.

See instructions for the order in which to list the persons above.

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more han one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institu ional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) MICHAEL KOHLHAGEN	40.00									
CHIEF EXECUTIVE OFFICER	0.					X		201,638.	0.	0.
(2) ANTHONY COLES, ESQ.	1.00									
TRUSTEE	0.	X						0.	0.	0.
(3) SEYMOUR FLIEGEL	1.00									
TRUSTEE & PRESIDENT	0.		X					0.	0.	0.
(4) NORMAN S.BENZAQUEN	1.00									
TRUSTEE	0.		X					0.	0.	0.
(5) RUCHI HAZARAY	1.00									
TRUSTEE	0.		X					0.	0.	0.
(6) ROBERT SANCHO	1.00									
TRUSTEE	0.		X					0.	0.	0.
(7) PATRICK DUFF	1.00									
TRUSTEE	0.		X					0.	0.	0.
(8) GELNN ABBOTT	1.00									
TRUSTEE	0.		X					0.	0.	0.
(9) GAIL BADILLO	1.00									
TRUSTEE	0.		X					0.	0.	0.
(10) STEVE SUSSMAN	1.00									
TRUSTEE	0.		X					0.	0.	0.
(11) JUDY ROTH BERKOWITZ	1.00									
TRUSTEE & BOARD CHAIR	0.			X				0.	0.	0.
(12) ALLAN MCLENNAN	1.00									
TRUSTEE	0.			X				0.	0.	0.
(13) RUSSELL HERNANDEZ	1.00									
TRUSTEE	0.			X				0.	0.	0.
(14)										

Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees *(continued)*

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
1b Sub-total ▶								201,638.	0.	0.
c Total from continuation sheets to Part VII, Section A ▶								0.	0.	0.
d Total (add lines 1b and 1c) ▶								201,638.	0.	0.

2 Total number of individuals (including but not limited to those listed above) who received more than $100,000 of reportable compensation from the organization ▶ 1

		Yes	No
3 Did the organization list any **former** officer, director, or trustee, key employee, or highest compensated employee on line 1a? *If "Yes," complete Schedule J for such individual*	3		X
4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than $150,000? *If "Yes," complete Schedule J for such individual*	4	X	
5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? *If "Yes," complete Schedule J for such person*	5		X

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than $100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of services	(C) Compensation
ATTACHMENT 5		

2 Total number of independent contractors (including but not limited to those listed above) who received more than $100,000 in compensation from the organization ▶ 1

Part VIII Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII . . . . . ☐

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
Contributions, Gifts, Grants and Other Similar Amounts	1a	Federated campaigns	1a				
	b	Membership dues	1b				
	c	Fundraising events	1c	364,941.			
	d	Related organizations	1d				
	e	Government grants (contributions)	1e	1,251,606.			
	f	All other contributions, gifts, grants, and similar amounts not included above	1f	115,400.			
	g	Noncash contr butions included in lines 1a-1f	1g	$			
	h	**Total.** Add lines 1a-1f ▶			1,731,947.		
Program Service Revenue			Business Code				
	2a	CONSULTING INCOME	611710	2,754,105.	2,754,105.		
	b	OTHER INCOME		123,643.	123,643.		
	c						
	d						
	e						
	f	All other program service revenue					
	g	**Total.** Add lines 2a-2f ▶		2,877,748.			
Other Revenue	3	Investment income (including dividends, interest, and other similar amounts) ▶		-190.			-190.
	4	Income from investment of tax-exempt bond proceeds ▶		0.			
	5	Royalties ▶		0.			
			(i) Real	(ii) Personal			
	6a	Gross rents 6a					
	b	Less: rental expenses 6b					
	c	Rental income or (loss) 6c					
	d	Net rental income or (loss) ▶		0.			
			(i) Securities	(ii) Other			
	7a	Gross amount from sales of assets other than inventory 7a					
	b	Less: cost or other basis and sales expenses 7b					
	c	Gain or (loss) 7c					
	d	Net gain or (loss) ▶		0.			
	8a	Gross income from fundraising events (not including $ 382,476. of contr butions reported on line 1c). See Part IV, line 18	8a	17,535.			
	b	Less: direct expenses	8b	17,535.			
	c	Net income or (loss) from fundraising events ▶		0.			
	9a	Gross income from gaming activities. See Part IV, line 19	9a	0.			
	b	Less: direct expenses	9b	0.			
	c	Net income or (loss) from gaming activities ▶		0.			
	10a	Gross sales of inventory, less returns and allowances	10a	0.			
	b	Less: cost of goods sold	10b	0.			
	c	Net income or (loss) from sales of inventory ▶		0.			
Miscellaneous Revenue			Business Code				
	11a	OTHER INCOME					
	b						
	c						
	d	All other revenue					
	e	**Total.** Add lines 11a-11d ▶		0.			
	12	**Total revenue.** See instructions ▶		4,609,505.	2,877,748.		-190.

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX X

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	91,724.	91,724.		
2 Grants and other assistance to domestic individuals. See Part IV, line 22	0.			
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16	0.			
4 Benefits paid to or for members	0.			
5 Compensation of current officers, directors, trustees, and key employees	0.			
6 Compensation not included above to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)	0.			
7 Other salaries and wages	2,298,069.	1,792,467.	404,919.	100,683.
8 Pension plan accruals and contr butions (include section 401(k) and 403(b) employer contributions)	0.			
9 Other employee benefits	128,388.	87,993.	33,969.	6,426.
10 Payroll taxes	238,834.	163,690.	63,191.	11,953.
11 Fees for services (nonemployees):				
a Management	0.			
b Legal	0.			
c Accounting	0.			
d Lobbying	97,690.	97,690.		
e Professional fundraising services. See Part IV, line 17	0.			
f Investment management fees	0.			
g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O.) ATCH 6	1,440,944.	1,148,453.	233,565.	58,926.
12 Advertising and promotion	0.			
13 Office expenses	0.			
14 Information technology	18,387.	14,119.	4,268.	
15 Royalties	0.			
16 Occupancy	8,340.		8,340.	
17 Travel	22,204.	21,558.	646.	
18 Payments of travel or entertainment expenses for any federal, state, or local public officials	0.			
19 Conferences, conventions, and meetings	310.	109.	201.	
20 Interest	0.			
21 Payments to affiliates	0.			
22 Depreciation, depletion, and amortization	5,256.		5,256.	
23 Insurance	23,553.		23,553.	
24 O her expenses. Itemize expenses not covered above (List miscellaneous expenses on line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)				
a STUDENT ACTIVITIES	1,320.	1,320.		
b MISC. ACTIVITIES	11,873.	175.	11,698.	
c BAD DEBT	45,050.		45,050.	
d TELEPHONE	28,968.	14,177.	14,791.	
e All other expenses	70,274.	57,579.	12,647.	48.
25 **Total functional expenses.** Add lines 1 through 24e	4,531,184.	3,491,054.	862,094.	178,036.
26 **Joint costs.** Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here ▶ ☐ if following SOP 98-2 (ASC 958-720)	0.			

Part X Balance Sheet

Check if Schedule O contains a response or note to any line in this Part X . . . . . ☐

			(A) Beginning of year		(B) End of year
Assets	1	Cash - non-interest-bearing	0.	1	0.
	2	Savings and temporary cash investments	975,056.	2	1,027,966.
	3	Pledges and grants receivable, net	0.	3	0.
	4	Accounts receivable, net	1,890,582.	4	1,613,549.
	5	Loans and other receivables from any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons	0.	5	0.
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B)	0.	6	0.
	7	Notes and loans receivable, net	0.	7	0.
	8	Inventories for sale or use	0.	8	0.
	9	Prepaid expenses and deferred charges ATCH 7	16,478.	9	18,000.
	10a	Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D — 10a: 118,601.			
	b	Less: accumulated depreciation — 10b: 111,693.	28,307.	10c	6,908.
	11	Investments - publicly traded securities ATCH 8	495,124.	11	639,367.
	12	Investments - other securities. See Part IV, line 11	0.	12	0.
	13	Investments - program-related. See Part IV, line 11	0.	13	0.
	14	Intangible assets	0.	14	0.
	15	Other assets. See Part IV, line 11	0.	15	0.
	16	**Total assets.** Add lines 1 through 15 (must equal line 33)	3,405,547.	16	3,305,790.
Liabilities	17	Accounts payable and accrued expenses	1,960,106.	17	2,046,122.
	18	Grants payable	0.	18	0.
	19	Deferred revenue	0.	19	0.
	20	Tax-exempt bond liabilities	0.	20	0.
	21	Escrow or custodial account liability. Complete Part IV of Schedule D	0.	21	0.
	22	Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons	0.	22	0.
	23	Secured mortgages and notes payable to unrelated third parties	0.	23	0.
	24	Unsecured notes and loans payable to unrelated third parties	0.	24	0.
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D	410,700.	25	617,503.
	26	**Total liabilities.** Add lines 17 through 25	2,370,806.	26	2,663,625.
Net Assets or Fund Balances		**Organizations that follow FASB ASC 958, check here ▶ [X] and complete lines 27, 28, 32, and 33.**			
	27	Net assets without donor restrictions	914,504.	27	516,403.
	28	Net assets with donor restrictions	120,237.	28	125,762.
		Organizations that do not follow FASB ASC 958, check here ▶ ☐ and complete lines 29 through 33.			
	29	Capital stock or trust principal, or current funds		29	
	30	Paid-in or capital surplus, or land, building, or equipment fund		30	
	31	Retained earnings, endowment, accumulated income, or other funds		31	
	32	Total net assets or fund balances	1,034,741.	32	642,165.
	33	Total liabilities and net assets/fund balances	3,405,547.	33	3,305,790.

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI X

1	Total revenue (must equal Part VIII, column (A), line 12)	1	4,609,505.
2	Total expenses (must equal Part IX, column (A), line 25)	2	4,531,184.
3	Revenue less expenses. Subtract line 2 from line 1	3	78,321.
4	Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A))	4	1,034,741.
5	Net unrealized gains (losses) on investments	5	0.
6	Donated services and use of facilities	6	0.
7	Investment expenses	7	0.
8	Prior period adjustments	8	0.
9	Other changes in net assets or fund balances (explain on Schedule O).	9	-470,897.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column (B))	10	642,165.

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII . . . . . ☐

			Yes	No
1	Accounting method used to prepare the Form 990: ☐ Cash ☒ Accrual ☐ Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.			
2a	Were the organization's financial statements compiled or reviewed by an independent accountant?	2a		X
	If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both: ☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis			
b	Were the organization's financial statements audited by an independent accountant?	2b	X	
	If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both: ☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis			
c	If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?	2c	X	
	If the organization changed either its oversight process or selection process during the tax year, explain on Schedule O.			
3a	As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?	3a		X
b	If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why on Schedule O and describe any steps taken to undergo such audits	3b		

SCHEDULE A (Form 990 or 990-EZ)

Department of he Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ.

▶ Go to *www.irs.gov/Form990* for instructions and the latest information.

OMB No. 1545-0047

2020

Open to Public Inspection

Name of the organization

CENTER FOR EDUCATIONAL INNOVATION

[redacted] mber

Part I **Reason for Public Charity Status.** (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**

2 ☐ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990 or 990-EZ).)

3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**

4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state: _____

5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)

6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**

7 ☒ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)

8 ☐ A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)

9 ☐ An agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university: _____

10 ☐ An organization that normally receives (1) more than 33 1/3 % of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions, subject to certain exceptions; and (2) no more than 33 1/3 % of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)

11 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**

12 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.

a ☐ **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**

b ☐ **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**

c ☐ **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**

d ☐ **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**

e ☐ Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.

f Enter the number of supported organizations . . . . . ☐

g Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-10 above (see instructions))	(iv) Is the organization listed in your governing document? Yes	(iv) No	(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
(A)						
(B)						
(C)						
(D)						
(E)						
Total						

Part II **Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)** (Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) 2020	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	6,274,659.	5,364,280.	2,216,350.	1,990,322.	1,872,425.	17,718,036.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						0.
3 The value of services or facilities furnished by a governmental unit to the organization without charge						0.
4 **Total.** Add lines 1 through 3	6,274,659.	5,364,280.	2,216,350.	1,990,322.	1,872,425.	17,718,036.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						0.
6 **Public support.** Subtract line 5 from line 4						17,718,036.

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) 2020	(f) Total
7 Amounts from line 4	6,274,659.	5,364,280.	2,216,350.	1,990,322.	1,872,425.	17,718,036.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources	440.	3,772.	3,303.	22.	-190.	7,347.
9 Net income from unrelated business activities, whether or not the business is regularly carried on						0.
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						0.
11 **Total support.** Add lines 7 through 10						17,725,383.

12 Gross receipts from related activities, etc. (see instructions) 12

13 **First 5 years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** . . . . . ▶ ☐

Section C. Computation of Public Support Percentage

14 Public support percentage for 2020 (line 6, column (f), divided by line 11, column (f))	14	99.96 %
15 Public support percentage from 2019 Schedule A, Part II, line 14	15	99.93 %

16a **33 1/3 % support test - 2020.** If the organization did not check the box on line 13, and line 14 is 33 1/3 % or more, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ▶ ☒

b **33 1/3 % support test - 2019.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3 % or more, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ▶ ☐

17a **10%-facts-and-circumstances test - 2020.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the facts-and-circumstances test, check this box and **stop here.** Explain in Part VI how the organization meets the facts-and-circumstances test. The organization qualifies as a publicly supported organization . . . . . ▶ ☐

b **10%-facts-and-circumstances test - 2019.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the facts-and-circumstances test, check this box and **stop here.** Explain in Part VI how the organization meets the facts-and-circumstances test. The organization qualifies as a publicly supported organization . . . . . ▶ ☐

18 **Private foundation.** If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions . . . . . ▶ ☐

Part III **Support Schedule for Organizations Described in Section 509(a)(2)**
(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) 2020	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activi ies that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 **Total.** Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 **Public support.** (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) 2020	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
13 **Total support.** (Add lines 9, 10c, 11, and 12.)						

14 **First 5 years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** ▶ ☐

Section C. Computation of Public Support Percentage

15 Public support percentage for 2020 (line 8, column (f), divided by line 13, column (f))	15	%
16 Public support percentage from 2019 Schedule A, Part III, line 15	16	%

Section D. Computation of Investment Income Percentage

17 Investment income percentage for **2020** (line 10c, column (f), divided by line 13, column (f))	17	%
18 Investment income percentage from **2019** Schedule A, Part III, line 17	18	%

19a **33 1/3 % support tests - 2020.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3 %, and line 17 is not more than 33 1/3 %, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

b **33 1/3 % support tests - 2019.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3 %, and line 18 is not more than 33 1/3 %, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

20 **Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ▶ ☐

Part IV Supporting Organizations

(Complete only if you checked a box in line 12 on Part I. If you checked box 12a, Part I, complete Sections A and B. If you checked box 12b, Part I, complete Sections A and C. If you checked box 12c, Part I, complete Sections A, D, and E. If you checked box 12d, Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

			Yes	No
1	Are all of the organization's supported organizations listed by name in the organization's governing documents? *If "No," describe in* ***Part VI*** *how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.*	1		
2	Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? *If "Yes," explain in* ***Part VI*** *how the organization determined that the supported organization was described in section 509(a)(1) or (2).*	2		
3a	Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? *If "Yes," answer lines 3b and 3c below.*	3a		
b	Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? *If "Yes," describe in* ***Part VI*** *when and how the organization made the determination.*	3b		
c	Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? *If "Yes," explain in* ***Part VI*** *what controls the organization put in place to ensure such use.*	3c		
4a	Was any supported organization not organized in the United States ("foreign supported organization")? *If "Yes," and if you checked box 12a or 12b in Part I, answer lines 4b and 4c below.*	4a		
b	Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? *If "Yes," describe in* ***Part VI*** *how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.*	4b		
c	Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? *If "Yes," explain in* ***Part VI*** *what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.*	4c		
5a	Did the organization add, substitute, or remove any supported organizations during the tax year? *If "Yes," answer lines 5b and 5c below (if applicable). Also, provide detail in* ***Part VI****, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).*	5a		
b	**Type I or Type II only.** Was any added or substituted supported organization part of a class already designated in the organization's organizing document?	5b		
c	**Substitutions only.** Was the substitution the result of an event beyond the organization's control?	5c		
6	Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? *If "Yes," provide detail in* ***Part VI.***	6		
7	Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (as defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? *If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).*	7		
8	Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? *If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).*	8		
9a	Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons, as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? *If "Yes," provide detail in* ***Part VI.***	9a		
b	Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? *If "Yes," provide detail in* ***Part VI.***	9b		
c	Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? *If "Yes," provide detail in* ***Part VI.***	9c		
10a	Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? *If "Yes," answer line 10b below.*	10a		
b	Did the organization have any excess business holdings in the tax year? *(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)*	10b		

Part IV Supporting Organizations *(continued)*

			Yes	No
11	Has the organization accepted a gift or contribution from any of the following persons?			
a	A person who directly or indirectly controls, either alone or together with persons described in lines 11b and 11c below, the governing body of a supported organization?	11a		
b	A family member of a person described in line 11a above?	11b		
c	A 35% controlled entity of a person described in line 11a or 11b above? *If "Yes" to line 11a, 11b, or 11c, provide detail in* ***Part VI.***	11c		

Section B. Type I Supporting Organizations

			Yes	No
1	Did the governing body, members of the governing body, officers acting in their official capacity, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's officers, directors, or trustees at all times during the tax year? *If "No," describe in* ***Part VI*** *how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove officers, directors, or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.*	1		
2	Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? *If "Yes," explain in* ***Part VI*** *how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.*	2		

Section C. Type II Supporting Organizations

			Yes	No
1	Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? *If "No," describe in* ***Part VI*** *how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).*	1		

Section D. All Type III Supporting Organizations

			Yes	No
1	Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?	1		
2	Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? *If "No," explain in* ***Part VI*** *how the organization maintained a close and continuous working relationship with the supported organization(s).*	2		
3	By reason of the relationship described in line 2, above, did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? *If "Yes," describe in* ***Part VI*** *the role the organization's supported organizations played in this regard.*	3		

Section E. Type III Functionally Integrated Supporting Organizations

1 *Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (****see instructions****).*

a ☐ The organization satisfied the Activities Test. *Complete* ***line 2*** *below.*

b ☐ The organization is the parent of each of its supported organizations. *Complete* ***line 3*** *below.*

c ☐ The organization supported a governmental entity. *Describe in* ***Part VI*** *how you supported a governmental entity (see instructions).*

			Yes	No
2	Activities Test. ***Answer lines 2a and 2b below.***			
a	Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? *If "Yes," then in* ***Part VI identify those supported organizations and explain*** *how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.*	2a		
b	Did the activities described in line 2a, above, constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? *If "Yes," explain in* ***Part VI*** *the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.*	2b		
3	Parent of Supported Organizations. ***Answer lines 3a and 3b below.***			
a	Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? *If "Yes" or "No," provide details in* ***Part VI.***	3a		
b	Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? *If "Yes," describe in* ***Part VI*** *the role played by the organization in this regard.*	3b		

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (*explain in* ***Part VI***). **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1 Net short-term capital gain	1		
2 Recoveries of prior-year distributions	2		
3 Other gross income (see instructions)	3		
4 Add lines 1 through 3.	4		
5 Depreciation and depletion	5		
6 Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6		
7 Other expenses (see instructions)	7		
8 **Adjusted Net Income** (subtract lines 5, 6, and 7 from line 4)	8		

Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1 Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):			
a Average monthly value of securities	1a		
b Average monthly cash balances	1b		
c Fair market value of other non-exempt-use assets	1c		
d **Total** (add lines 1a, 1b, and 1c)	1d		
e **Discount** claimed for blockage or other factors (*explain in detail in* ***Part VI***):	1e		
2 Acquisition indebtedness applicable to non-exempt-use assets	2		
3 Subtract line 2 from line 1d.	3		
4 Cash deemed held for exempt use. Enter 0.015 of line 3 (for greater amount, see instructions).	4		
5 Net value of non-exempt-use assets (subtract line 4 from line 3)	5		
6 Multiply line 5 by 0.035.	6		
7 Recoveries of prior-year distributions	7		
8 **Minimum Asset Amount** (add line 7 to line 6)	8		

Section C - Distributable Amount			Current Year
1 Adjusted net income for prior year (from Section A, line 8, column A)	1		
2 Enter 0.85 of line 1.	2		
3 Minimum asset amount for prior year (from Section B, line 8, column A)	3		
4 Enter greater of line 2 or line 3.	4		
5 Income tax imposed in prior year	5		
6 **Distributable Amount.** Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions).	6		

7 ☐ Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions).

Part V **Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations** *(continued)*

Section D - Distributions			Current Year
1	Amounts paid to supported organizations to accomplish exempt purposes	1	
2	Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	2	
3	Administrative expenses paid to accomplish exempt purposes of supported organizations	3	
4	Amounts paid to acquire exempt-use assets	4	
5	Qualified set-aside amounts (prior IRS approval required - *provide details in* ***Part VI***)	5	
6	Other distributions (*describe in* ***Part VI***). See instructions.	6	
7	**Total annual distributions.** Add lines 1 through 6.	7	
8	Distributions to attentive supported organizations to which the organization is responsive (*provide details in* ***Part VI***). See instructions.	8	
9	Distributable amount for 2020 from Section C, line 6	9	
10	Line 8 amount divided by line 9 amount	10	

Section E - Distribution Allocations (see instructions)		(i) Excess Distributions	(ii) Underdistributions Pre-2020	(iii) Distributable Amount for 2020
1	Distributable amount for 2020 from Section C, line 6			
2	Underdistributions, if any, for years prior to 2020 (reasonable cause required - *explain in* ***Part VI***). See instructions.			
3	Excess distributions carryover, if any, to 2020			
a	From 2015			
b	From 2016			
c	From 2017			
d	From 2018			
e	From 2019			
f	**Total** of lines 3a through 3e			
g	Applied to underdistributions of prior years			
h	Applied to 2020 distributable amount			
i	Carryover from 2015 not applied (see instructions)			
j	Remainder. Subtract lines 3g, 3h, and 3i from line 3f.			
4	Distributions for 2020 from Section D, line 7: $			
a	Applied to underdistributions of prior years			
b	Applied to 2020 distributable amount			
c	Remainder. Subtract lines 4a and 4b from line 4.			
5	Remaining underdistributions for years prior to 2020, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, *explain in* ***Part VI.*** See instructions.			
6	Remaining underdistributions for 2020. Subtract lines 3h and 4b from line 1. For result greater than zero, *explain in* ***Part VI.*** See instructions.			
7	**Excess distributions carryover to 2021.** Add lines 3j and 4c.			
8	Breakdown of line 7:			
a	Excess from 2016			
b	Excess from 2017			
c	Excess from 2018			
d	Excess from 2019			
e	Excess from 2020			

Part VI **Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions.)

Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of he Treasury
Internal Revenue Service

Schedule of Contributors

▶ **Attach to Form 990, Form 990-EZ, or Form 990-PF.**
▶ **Go to *www.irs.gov/Form990* for the latest information.**

OMB No. 1545-0047

2020

Name of the organization
CENTER FOR EDUCATIONAL INNOVATION

Employer identification number
[redacted]

Organization type (check one):

Filers of:	**Section:**
Form 990 or 990-EZ	[X] 501(c)(3) (enter number) organization
	[ ] 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	[ ] 527 political organization
Form 990-PF	[ ] 501(c)(3) exempt private foundation
	[ ] 4947(a)(1) nonexempt charitable trust treated as a private foundation
	[ ] 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule.**

Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

[ ] For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling $5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

[X] For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** $5,000; or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h; or (ii) Form 990-EZ, line 1. Complete Parts I and II.

[ ] For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I (entering "N/A" in column (b) instead of the contributor name and address), II, and III.

[ ] For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than $1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling $5,000 or more during the year . . . . . ▶ $ _____

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization CENTER FOR EDUCATIONAL INNOVATION | Employer identification number [redacted]

Part I **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	UNITED STATES DEPARTMENT OF EDUCATION 400 MARYLAND AVE SW WASHINGTON, DC 20202	$ 638,484.	Person X Payroll Noncash (Complete Part II for noncash contributions.)
2	PAYCHECK PROTECTION PROGRAM C/O FIRST REPULIC BANK 111 PINE STREET SAN FRANCISCO, CA 94111	$ 260,700.	Person X Payroll Noncash (Complete Part II for noncash contributions.)
3	CHARLES HAYDEN FOUNDATION 140 BROADWAY NEW YORK, NY 10005	$ 75,000.	Person X Payroll Noncash (Complete Part II for noncash contributions.)
4	NYC CULTURAL AFFAIRS -CASA GRANT 31CHAMBERS STREET,SECOND FLOOR NEW YORK, NY 10007	$ 40,000.	Person X Payroll Noncash (Complete Part II for noncash contributions.)
5	NY CITY COUNCIL 31 CHAMBERS STREET, SECOND FLOOR NEW YORK, NY 10007	$ 259,000.	Person X Payroll Noncash (Complete Part II for noncash contributions.)
6	LFH FOUNDATION 233 ROCK ROAD, PMB 133 GLEN ROCK, NJ 07452	$ 60,000.	Person X Payroll Noncash (Complete Part II for noncash contributions.)

Name of organization CENTER FOR EDUCATIONAL INNOVATION | Employer identification number [redacted]

Part I **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
7	HEYMANN WOLF FOUNDATION 211 CENTRAL PARK WEST NEW YORK, NY 10024	$ 50,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
8	MARILYN & JIM SIMONS FOUNDATION 25 EAST 22 ND STREET NEW YORK, NY 10010	$ 100,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)

Name of organization CENTER FOR EDUCATIONAL INNOVATION | Employer identification number [redacted]

Part II **Noncash Property** (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	

Name of organization CENTER FOR EDUCATIONAL INNOVATION [redacted]ber

Part III ***Exclusively*** **religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than $1,000 for the year from any one contributor.** Complete columns **(a)** through **(e) and** the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of **$1,000 or less** for the year. (Enter this information once. See instructions.) ► $ _____
Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift	
Transferee's name, address, and ZIP + 4	**Relationship of transferor to transferee**

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift	
Transferee's name, address, and ZIP + 4	**Relationship of transferor to transferee**

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift	
Transferee's name, address, and ZIP + 4	**Relationship of transferor to transferee**

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift	
Transferee's name, address, and ZIP + 4	**Relationship of transferor to transferee**

SCHEDULE C
(Form 990 or 990-EZ)

Department of he Treasury
Internal Revenue Service

Political Campaign and Lobbying Activities

For Organizations Exempt From Income Tax Under section 501(c) and section 527

▶ **Complete if the organization is described below.** ▶ **Attach to Form 990 or Form 990-EZ.**
▶ **Go to *www irs.gov/Form990* for instructions and the latest information.**

OMB No. 1545-0047

2020

Open to Public Inspection

If the organization answered "Yes," on Form 990, Part IV, line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then

- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

If the organization answered "Yes," on Form 990, Part IV, line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

If the organization answered "Yes," on Form 990, Part IV, line 5 (Proxy Tax) (See separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (See separate instructions), then

- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

Name of organization	Employer identification number
CENTER FOR EDUCATIONAL INNOVATION	[redacted]

Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

1 Provide a description of the organization's direct and indirect political campaign activities in Part IV. (See instructions for definition of "political campaign activities")

2 Political campaign activity expenditures (See instructions) . . . . . ▶ $

3 Volunteer hours for political campaign activities (See instructions). . . . . .

Part I-B Complete if the organization is exempt under section 501(c)(3).

1 Enter the amount of any excise tax incurred by the organization under section 4955. . . . . ▶ $

2 Enter the amount of any excise tax incurred by organization managers under section 4955 . . ▶ $

3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? . . . . . ☐ Yes ☐ No

4a Was a correction made? . . . . . ☐ Yes ☐ No

b If "Yes," describe in Part IV.

Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).

1 Enter the amount directly expended by the filing organization for section 527 exempt function activities. . . . . ▶ $

2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities . . . . . ▶ $

3 Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL, line 17b . . . . . ▶ $

4 Did the filing organization file **Form 1120-POL** for this year? . . . . . ☐ Yes ☐ No

5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV.

	(a) Name	(b) Address	(c) EIN	(d) Amount paid from filing organization's funds. If none, enter -0-.	(e) Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-.
(1)					
(2)					
(3)					
(4)					
(5)					
(6)					

Part II-A **Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).**

A Check ▶ ☐ if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures).

B Check ▶ ☐ if the filing organization checked box A and "limited control" provisions apply.

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)	(a) Filing organization's totals	(b) Affiliated group totals
1a Total lobbying expenditures to influence public opinion (grassroots lobbying)		
b Total lobbying expenditures to influence a legislative body (direct lobbying)		
c Total lobbying expenditures (add lines 1a and 1b)		
d Other exempt purpose expenditures		
e Total exempt purpose expenditures (add lines 1c and 1d)		
f Lobbying nontaxable amount. Enter the amount from the following table in both columns.		
g Grassroots nontaxable amount (enter 25% of line 1f)		
h Subtract line 1g from line 1a. If zero or less, enter -0-		
i Subtract line 1f from line 1c. If zero or less, enter -0-		

If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:
Not over $500,000	20% of the amount on line 1e.
Over $500,000 but not over $1,000,000	$100,000 plus 15% of the excess over $500,000.
Over $1,000,000 but not over $1,500,000	$175,000 plus 10% of the excess over $1,000,000.
Over $1,500,000 but not over $17,000,000	$225,000 plus 5% of the excess over $1,500,000.
Over $17,000,000	$1,000,000.

j If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year? ☐ **Yes** ☐ **No**

4-Year Averaging Period Under Section 501(h)

(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the separate instructions for lines 2a through 2f.)

Lobbying Expenditures During 4-Year Averaging Period					
Calendar year (or fiscal year beginning in)	(a) 2017	(b) 2018	(c) 2019	(d) 2020	(e) Total
2a Lobbying nontaxable amount					
b Lobbying ceiling amount (150% of line 2a, column (e))					
c Total lobbying expenditures					
d Grassroots nontaxable amount					
e Grassroots ceiling amount (150% of line 2d, column (e))					
f Grassroots lobbying expenditures					

Part II-B **Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).**

For each "Yes," response on lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.	(a) Yes	(a) No	(b) Amount
1 During the year, did the filing organization attempt to influence foreign, national, state, or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of:			
a Volunteers?		X	
b Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?		X	
c Media advertisements?		X	
d Mailings to members, legislators, or the public?		X	
e Publications, or published or broadcast statements?		X	
f Grants to other organizations for lobbying purposes?		X	
g Direct contact with legislators, their staffs, government officials, or a legislative body?		X	
h Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?		X	
i Other activities?	X		97,690.
j Total. Add lines 1c through 1i			97,690.
2a Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?			
b If "Yes," enter the amount of any tax incurred under section 4912			
c If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
d If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?		X	

Part III-A **Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).**

			Yes	No
1	Were substantially all (90% or more) dues received nondeductible by members?	1		
2	Did the organization make only in-house lobbying expenditures of $2,000 or less?	2		
3	Did the organization agree to carry over lobbying and political campaign activity expenditures from the prior year?	3		

Part III-B **Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No" OR (b) Part III-A, line 3, is answered "Yes."**

1	Dues, assessments and similar amounts from members	1	
2	Section 162(e) nondeductible lobbying and political expenditures **(do not include amounts of political expenses for which the section 527(f) tax was paid).**		
a	Current year	2a	
b	Carryover from last year.	2b	
c	Total	2c	
3	Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues.	3	
4	If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year?	4	
5	Taxable amount of lobbying and political expenditures (See instructions)	5	

Part IV **Supplemental Information**

Provide the descriptions required for Part I-A, line 1; Part I-B, line 4; Part I-C, line 5; Part II-A (affiliated group list); Part II-A, lines 1 and 2 (See instructions); and Part II-B, line 1. Also, complete this part for any additional information.

SEE PAGE 4

Part IV Supplemental Information *(continued)*

PART II-B, LINE 1

CEI USES A LAW FIRM TO MEET ON ITS BEHALF WITH NEW YORK STATE ASSEMBLY AND SENATE MEMBERS TO SECURE FUNDING THROUGH SPECIAL LEGISLATIVE GRANTS TO SUPPORT PROJECT BOOST, WHICH IS A SCHOOL-BASED PROGRAM FOR NYC PUBLIC SCHOOL MIDDLE GRADE LEVEL STUDENTS. CEI DOES NOT USE THIS FIRM TO INFLUENCE OR CHANGE PUBLIC OPINION.

SCHEDULE D (Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.

▶ Attach to Form 990.

▶ Go to *www.irs.gov/Form990* for instructions and the latest information.

OMB No. 1545-0047

2020

Open to Public Inspection

Name of the organization

CENTER FOR EDUCATIONAL INNOVATION

Employer identification number

[redacted]

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.

Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

		(a) Donor advised funds	(b) Funds and other accounts
1	Total number at end of year		
2	Aggregate value of contributions to (during year)		
3	Aggregate value of grants from (during year)		
4	Aggregate value at end of year		

5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? ☐ Yes ☐ No

6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? ☐ Yes ☐ No

Part II Conservation Easements.

Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).

☐ Preservation of land for public use (for example, recrea ion or education)
☐ Protection of natural habitat
☐ Preservation of open space
☐ Preservation of a historically important land area
☐ Preservation of a certified historic structure

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

		Held at the End of the Tax Year
a	Total number of conservation easements	2a
b	Total acreage restricted by conservation easements	2b
c	Number of conservation easements on a certified historic structure included in (a)	2c
d	Number of conservation easements included in (c) acquired after 7/25/06, and not on a historic structure listed in the National Register	2d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ _____

4 Number of states where property subject to conservation easement is located ▶ _____

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? ☐ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ _____

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ $ _____

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? ☐ Yes ☐ No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under FASB ASC 958, not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide in Part XIII the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under FASB ASC 958, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1. ▶ $ _____

(ii) Assets included in Form 990, Part X. ▶ $ _____

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under FASB ASC 958 relating to these items:

a Revenue included on Form 990, Part VIII, line 1. ▶ $ _____

b Assets included in Form 990, Part X. ▶ $

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets *(continued)*

3 Using the organization's acquisition, accession, and other records, check any of the following that make significant use of its collection items (check all that apply):

- a ☐ Public exhibition
- b ☐ Scholarly research
- c ☐ Preservation for future generations
- d ☐ Loan or exchange program
- e ☐ Other _____

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? ☐ Yes ☐ No

Part IV Escrow and Custodial Arrangements.
Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIII and complete the following table:

		Amount
c Beginning balance	1c	
d Additions during the year	1d	
e Distributions during the year	1e	
f Ending balance	1f	

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII ☐

Part V Endowment Funds.
Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance					
b Contributions					
c Net investment earnings, gains, and losses					
d Grants or scholarships					
e Other expenditures for facilities and programs					
f Administrative expenses					
g End of year balance					

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

- a Board designated or quasi-endowment ▶ _____ %
- b Permanent endowment ▶ _____ %
- c Term endowment ▶ _____ %

The percentages on lines 2a, 2b, and 2c should equal 100%.

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

		Yes	No
(i) Unrelated organizations	3a(i)		
(ii) Related organizations	3a(ii)		
b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R?	3b		

4 Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.
Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements				
d Equipment		15,695.	8,787.	6,908.
e Other				
Total. Add lines 1a through 1e. *(Column (d) must equal Form 990, Part X, column (B), line 10c.)* ▶				6,908.

Part VII **Investments - Other Securities.**
Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely held equity interests		
(3) Other		
(A)		
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 12)* . ▶		

Part VIII **Investments - Program Related.**
Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 13)* . ▶		

Part IX **Other Assets.**
Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 15.)* . . . . . ▶	

Part X **Other Liabilities.**
Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) REFUNDABLE ADVANCE	467,503.
(3) LOAN PAYABLE	150,000.
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 25.)* . . . . . ▶	617,503.

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FASB ASC 740. Check here if the text of the footnote has been provided in Part XIII . ☐

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.
Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements			1	4,609,505.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:				
a	Net unrealized gains (losses) on investments	2a			
b	Donated services and use of facilities	2b			
c	Recoveries of prior year grants	2c			
d	Other (Describe in Part XIII.)	2d			
e	Add lines **2a** through **2d**			2e	
3	Subtract line **2e** from line **1**			3	4,609,505.
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:				
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a			
b	Other (Describe in Part XIII.)	4b			
c	Add lines **4a** and **4b**			4c	
5	Total revenue. Add lines **3** and **4c.** *(This must equal Form 990, Part I, line 12.)*			5	4,609,505.

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.
Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements			1	4,531,184.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:				
a	Donated services and use of facilities	2a			
b	Prior year adjustments	2b			
c	Other losses	2c			
d	Other (Describe in Part XIII.)	2d			
e	Add lines **2a** through **2d**			2e	
3	Subtract line **2e** from line **1**			3	4,531,184.
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:				
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a			
b	Other (Describe in Part XIII.)	4b			
c	Add lines **4a** and **4b**			4c	
5	Total expenses. Add lines **3** and **4c.** *(This must equal Form 990, Part I, line 18.)*			5	4,531,184.

Part XIII Supplemental Information.

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

OTHER EXPENSES

LOSS ON ABANDONMENT OF OFFICE LEASE -454754

LOSS ON DISPOSAL OF ASSET -16143

Part XIII Supplemental Information *(continued)*

SCHEDULE G
(Form 990 or 990-EZ)

Department of he Treasury
Internal Revenue Service

Supplemental Information Regarding Fundraising or Gaming Activities

Complete if the organization answered "Yes" on Form 990, Part IV, line 17, 18, or 19, or if the organization entered more than $15,000 on Form 990-EZ, line 6a.

▶ Attach to Form 990 or Form 990-EZ.

▶ Go to *www.irs.gov/Form990* for instructions and the latest information.

OMB No. 1545-0047

2020

Open to Public Inspection

Name of the organization

CENTER FOR EDUCATIONAL INNOVATION

Employer identification number

[redacted]

Part I **Fundraising Activities.** Complete if the organization answered "Yes" on Form 990, Part IV, line 17. Form 990-EZ filers are not required to complete this part.

1 Indicate whether the organization raised funds through any of the following activities. Check all that apply.

- a ☐ Mail solicitations
- b ☐ Internet and email solicitations
- c ☐ Phone solicitations
- d ☐ In-person solicitations
- e ☐ Solicitation of non-government grants
- f ☐ Solicitation of government grants
- g ☐ Special fundraising events

2a Did the organization have a written or oral agreement with any individual (including officers, directors, trustees, or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services? ☐ Yes ☐ No

b If "Yes," list the 10 highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least $5,000 by the organization.

	(i) Name and address of individual or entity (fundraiser)	(ii) Activity	(iii) Did fundraiser have custody or control of contributions? Yes	(iii) No	(iv) Gross receipts from activity	(v) Amount paid to (or retained by) fundraiser listed in col. (i)	(vi) Amount paid to (or retained by) organization
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
Total	. . . . . ▶				433,076.	64,000.	369,076.

3 List all states in which the organization is registered or licensed to solicit contributions or has been notified it is exempt from registration or licensing.

Part II **Fundraising Events.** Complete if the organization answered "Yes" on Form 990, Part IV, line 18, or reported more than $15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than $5,000.

		(a) Event #1 GALA (event type)	(b) Event #2 (event type)	(c) Other events 1. (total number)	(d) Total events (add col. (a) through col. (c))
Revenue	1 Gross receipts	382,476.			382,476.
	2 Less: Contributions				
	3 Gross income (line 1 minus line 2)	382,476.			382,476.
Direct Expenses	4 Cash prizes				
	5 Noncash prizes				
	6 Rent/facility costs				
	7 Food and beverages				
	8 Entertainment				
	9 Other direct expenses	17,535.			17,535.
	10 Direct expense summary. Add lines 4 through 9 in column (d) ▶				17,535.
	11 Net income summary. Subtract line 10 from line 3, column (d) ▶				364,941.

Part III **Gaming.** Complete if the organization answered "Yes" on Form 990, Part IV, line 19, or reported more than $15,000 on Form 990-EZ, line 6a.

		(a) Bingo	(b) Pull tabs/instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col. (a) through col. (c))
Revenue	1 Gross revenue				
Direct Expenses	2 Cash prizes				
	3 Noncash prizes				
	4 Rent/facility costs				
	5 Other direct expenses				
	6 Volunteer labor	☐ Yes ____ % ☐ No	☐ Yes ____ % ☐ No	☐ Yes ____ % ☐ No	
	7 Direct expense summary. Add lines 2 through 5 in column (d) ▶				
	8 Net gaming income summary. Subtract line 7 from line 1, column (d) ▶				

9 Enter the state(s) in which the organization conducts gaming activities: _____

a Is the organization licensed to conduct gaming activities in each of these states? ☐ Yes ☐ No

b If "No," explain: _____

10a Were any of the organization's gaming licenses revoked, suspended, or terminated during the tax year? ☐ Yes ☐ No

b If "Yes," explain: _____

11 Does the organization conduct gaming activities with nonmembers? . . . . . ☐ Yes ☐ No

12 Is the organization a grantor, beneficiary or trustee of a trust or a member of a partnership or other entity formed to administer charitable gaming? . . . . . ☐ Yes ☐ No

13 Indicate the percentage of gaming activity conducted in:

a	The organization's facility	13a	%
b	An outside facility	13b	%

14 Enter the name and address of the person who prepares the organization's gaming/special events books and records:

Name ▶ _____

Address ▶ _____

15 a Does the organization have a contract with a third party from whom the organization receives gaming revenue? . . . . . ☐ Yes ☐ No

b If "Yes," enter the amount of gaming revenue received by the organization ▶ $ _____ and the amount of gaming revenue retained by the third party ▶ $ _____.

c If "Yes," enter name and address of the third party:

Name ▶ _____

Address ▶ _____

16 Gaming manager information:

Name ▶ _____

Gaming manager compensation ▶ $ _____

Description of services provided ▶ _____

☐ Director/officer ☐ Employee ☐ Independent contractor

17 Mandatory distributions:

a Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license? . . . . . ☐ Yes ☐ No

b Enter the amount of distributions required under state law to be distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ▶ $

Part IV **Supplemental Information.** Provide the explanation required by Part I, line 2b, columns (iii) and (v), and Part III, lines 9, 9b, 10b, 15b, 15c, 16, and 17b, as applicable. Also provide any additional information (see instructions).

SCHEDULE I
(Form 990)

Department of he Treasury
Internal Revenue Service

Grants and Other Assistance to Organizations, Governments, and Individuals in the United States

Complete if the organization answered "Yes" on Form 990, Part IV, line 21 or 22.

▶ Attach to Form 990.

▶ Go to *www.irs.gov/Form990* for the latest information.

OMB No. 1545-0047

2020

Open to Public Inspection

Name of the organization

CENTER FOR EDUCATIONAL INNOVATION

Employer identification number

[redacted]

Part I General Information on Grants and Assistance

1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . . . [X] Yes [ ] No

2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

Part II Grants and Other Assistance to Domestic Organizations and Domestic Governments. Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than $5,000. Part II can be duplicated if additional space is needed.

1 (a) Name and address of organization or government	(b) EIN	(c) IRC section (if applicable)	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of noncash assistance	(h) Purpose of grant or assistance
(1) FREDERICK DOUGLASS ACADEMY [redacted]	[redacted]		35,197.				AFTER SCHOOL PROGRAM
(2)							
(3)							
(4)							
(5)							
(6)							
(7)							
(8)							
(9)							
(10)							
(11)							
(12)							

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table . . . . . ▶

3 Enter total number of other organizations listed in the line 1 table . . . . . ▶

Part III **Grants and Other Assistance to Domestic Individuals.** Complete if the organization answered "Yes" on Form 990, Part IV, line 22. Part III can be duplicated if additional space is needed.

	(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of non-cash assistance
1						
2						
3						
4						
5						
6						
7						

Part IV **Supplemental Information.** Provide the information required in Part I, line 2, Part III, column (b); and any other additional information.

SCHEDULE J
(Form 990)

Department of the Treasury
Internal Revenue Service

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 23.**
▶ **Attach to Form 990.**
▶ **Go to *www.irs.gov/Form990* for instructions and the latest information.**

OMB No. 1545-0047

2020

Open to Public Inspection

Name of the organization

CENTER FOR EDUCATIONAL INNOVATION

Employer identification number

[redacted]

Part I Questions Regarding Compensation

			Yes	No
1a	Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.			
	☐ First-class or charter travel	☐ Housing allowance or residence for personal use		
	☐ Travel for companions	☐ Payments for business use of personal residence		
	☒ Tax indemnification and gross-up payments	☐ Health or social club dues or initiation fees		
	☐ Discretionary spending account	☐ Personal services (such as maid, chauffeur, chef)		
b	If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain	**1b**		
2	Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, and officers, including the CEO/Executive Director, regarding the items checked on line 1a?	**2**		
3	Indicate which, if any, of the following the organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.			
	☒ Compensation committee	☐ Written employment contract		
	☐ Independent compensation consultant	☒ Compensation survey or study		
	☒ Form 990 of other organizations	☒ Approval by the board or compensation committee		
4	During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:			
a	Receive a severance payment or change-of-control payment?	**4a**		X
b	Participate in or receive payment from a supplemental nonqualified retirement plan?	**4b**		X
c	Participate in or receive payment from an equity-based compensation arrangement?	**4c**		X
	If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.			
	Only section 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.			
5	For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:			
a	The organization?	**5a**		X
b	Any related organization?	**5b**		X
	If "Yes" on line 5a or 5b, describe in Part III.			
6	For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:			
a	The organization?	**6a**		X
b	Any related organization?	**6b**		X
	If "Yes" on line 6a or 6b, describe in Part III.			
7	For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described on lines 5 and 6? If "Yes," describe in Part III.	**7**		X
8	Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III	**8**		X
9	If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?	**9**		

Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees. Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported on Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii). Do not list any individuals that aren't listed on Form 990, Part VII.

Note: The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

	(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
			(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
1	MICHAEL KOHLHAGEN CHIEF EXECUTIVE OFFICER	(i)	201,638.	0.	0.			201,638.	
		(ii)	0.	0.	0.		25,970.	25,970.	
2		(i)							
		(ii)							
3		(i)							
		(ii)							
4		(i)							
		(ii)							
5		(i)							
		(ii)							
6		(i)							
		(ii)							
7		(i)							
		(ii)							
8		(i)							
		(ii)							
9		(i)							
		(ii)							
10		(i)							
		(ii)							
11		(i)							
		(ii)							
12		(i)							
		(ii)							
13		(i)							
		(ii)							
14		(i)							
		(ii)							
15		(i)							
		(ii)							
16		(i)							
		(ii)							

Part III Supplemental Information

Provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.

SCHEDULE O (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.

▶ **Attach to Form 990 or 990-EZ.**

▶ **Information about Schedule O (Form 990 or 990-EZ) and its instructions is at *www.irs.gov/form990.***

OMB No. 1545-0047

2020

Open to Public Inspection

Name of the organization	Employer identification number
CENTER FOR EDUCATIONAL INNOVATION	[redacted]

FORM 990 PART VI, SECTION B,LINE 11B

A DRAFT OF IRS FORM 990 WAS DISCUSSED AND REVIEWED WITH THE BOARD OF TRUSTEES' FINANCE/AUDIT COMMITTEE. SUBSEQUENTLY IT WAS PROVIDED TO THE FULL BOARD OF TRUSTEES FOR REVIEW, DISCUSSION, AND NOTATION OF PROPOSED CHANGES. THE BUSINESS OFFICE IS RESPONSIBLE FOR THE PREPARATION OF FORM 990, AND PRESENTED THE DOCUMENT TO BOTH THE FINANCE/AUDIT AND ADMINISTRATIVE COMMITTEE AND BOARD OF TRUSTEES. A FINAL COPY WAS DISTRIBUTED TO ALL MEMBERS OF THE BOARD OF TRUSTEES.

FORM 990 PART VI, SECTION B, LINE 12C

ON AN ANNUAL BASIS, ANY CONFLICT OF INTEREST CONCERNS ARE REVIEWED AND RESOLVED ALL BOARD MEMBERS, OFFICERS, KEY EMPLOYEES, AND PROGRAM DIRECTORS ARE REQUIRED TO COMPLETE, AND SIGN, A DISCLOSURE STATEMENT, WHICH IS REVIEWED BY THE PRESIDENT AND CEO. ALL REAL/POTENTIAL CONFLICTS WILL BE ADDRESSED ON A CASE-BY-CASE BASIS WITH THE MEMBER IN CONFLICT EXCUSED FROM VOTING. THERE WERE NO SITUATIONS OF THIS NATURE FOR THE 2021 FISCAL YEAR.

PART III , LINE -ORGANIZATION'S MISSION

EFFECTIVE PUBLIC EDUCATION IS ESSENTIAL TO THE SUCCESS OF A DEMOCRATIC SOCIETY. THE MISSION OF CENTER FOR EDUCATIONAL INNOVATION (CEI) IS THREEFOLD: 1) ASSIST PUBLIC SCHOOLS IN NEW YORK CITY AND OTHER COMMUNITIES IN IMPROVING THE QUALITY OF PUBLIC EDUCATION. OUR PROFESSIONAL EXPERIENCE AND EXPERTISE HELP SCHOOLS

Name of the organization: CENTER FOR EDUCATIONAL INNOVATION

Employer identification number: [redacted]

TO CREATE MORE PRODUCTIVE ENVIRONMENTS IN WHICH STUDENTS THRIVE ACADEMICALLY, SOCIALLY AND EMOTIONALLY. WITH OUR SUPPORT, SCHOOLS DEVELOP BETTER LEADERSHIP, BETTER TEACHING AND BETTER SYSTEMS OF ACCOUNTABILITY; 2) BASED UPON CEI'S WORK WITH INDIVIDUAL SCHOOLS, ADVOCATE FOR POLICIES AND PRACTICES THAT WILL LEAD TO SUCCESSFUL SCHOOLS; 3) PROVIDE INFORMATION TO THE PUBLIC ABOUT THE IMPORTANCE OF QUALITY PUBLIC EDUCATION AND THE MEANS OF ACHIEVING IT. TO THOSE ENDS, CEI ASSISTS LARGE SCHOOLS TO RESTRUCTURE INTO SETS OF SMALLER LEARNING COMMUNITIES, WORKS WITH TEAMS TO CREATE AND DEVELOP CHARTER SCHOOLS, TRAINS PRINCIPALS IN EFFECTIVE LEADERSHIP SKILLS, AND FACILITATES COLLABORATION BETWEEN TRADITIONAL PUBLIC SCHOOLS AND INDEPENDENT CHARTER SCHOOLS.

FORM 990, PART VI SECTION B, LINE 15A
COMPENSATION OF CEI'S CEO IS BASED UPON A COMPENSATION REPORT. THIS WAS LAST PREPARED AND PRESENTED FOR REVIEW IN FISCAL YEAR 2020.

FORM 990, PART VI, SECTION C, LINE 13
THESE DOCUMENTS ARE AVAILABE UPON REQUEST.

FORM 990 PART XI
LOSS ON ABANDONMENT OF OFFICE LEASE -454754
LOSS ON DISPOSAL OF ASSET -16143

Name of the organization
CENTER FOR EDUCATIONAL INNOVATION

Employer identification number
[redacted]

ATTACHMENT 1

FORM 990, PART III, LINE 1 - ORGANIZATION'S MISSION

EFFECTIVE PUBLIC EDUCATION IS ESSENTIAL TO THE SUCCESS OF A DEMOCRATIC SOCIETY. THE MISSION OF CENTER FOR EDUCATIONAL INNOVATION (CEI) IS THREEFOLD: 1) ASSIST PUBLIC SCHOOLS IN NEW YORK CITY AND OTHER COMMUNITIES IN IMPROVING THE QUALITY OF PUBLICEDUCATION. OUR PROFESSIONAL EXPERIENCE AND EXPERTISE HELP SCHOOLS TO CREATE MORE PRODUCTIVE ENVIRONMENTS IN WHICH STUDENTS THRIVEACADEMICALLY, SOCIALLY AND EMOTIONALLY. WITH OUR SUPPORT, SCHOOLS DEVELOP BETTER LEADERSHIP, BETTER TEACHING AND BETTER SYSTEMS OFACCOUNTABILITY; 2) BASED UPON CEI'S WORK WITH INDIVIDUAL SCHOOLS,ADVOCATE FOR POLICIES AND PRACTICES THAT WILL LEAD TO SUCCESSFUL SCHOOLS; 3) PROVIDE INFORMATION TO THE PUBLIC ABOUT THE IMPORTANCEOF QUALITY PUBLIC EDUCATION AND THE MEANS OF ACHIEVING IT. TO THOSEENDS, CEI ASSISTS LARGE SCHOOLS TO RESTRUCTURE INTO SETS OF SMALLER LEARNING COMMUNITIES, WORKS WITH TEAMS TO CREATE AND DEVELOP CHARTER SCHOOLS, TRAINS PRINCIPALS IN EFFECTIVE LEADERSHIP SKILLS,AND FACILITATES COLLABORATION BETWEEN TRADITIONAL PUBLIC SCHOOLSAND INDEPENDENT CHARTER SCHOOLS.

ATTACHMENT 2

FORM 990, PART III - PROGRAM SERVICE, LINE 4A

PARTNERSHIP FOR INNOVATION IN COMPENSATION FOR CHARTER SCHOOLS (TIF/PICCS)- THROUGH THE PICCS PROGRAM CEI HAS BEEN ABLE TO SUPPORT EDUCATORS AND SCHOOL LEADERS TO BECOME HIGHLY EFFECTIVE PROFESSIONALS IN THE FOLLOWING WAYS - FOSTER AUTHENTIC COLLABORATION AT ALL LEVELS OF THE SCHOOL THROUGH PROFESSIONAL

Name of the organization
CENTER FOR EDUCATIONAL INNOVATION

Employer identification number
[redacted]

ATTACHMENT 2 (CONT'D)

LEARNING COMMUNITIES (PLCS) THAT USE DATA TO RESEARCH STUDENT LEARNING CHALLENGES AND CREATE SHARED ACTION STRATEGIES - SUPPORT TEACHER EFFECTIVENESS THROUGH OBSERVATIONS USING THE DANIELSON FRAMEWORK - SUPPORT PRINCIPAL EFFECTIVENESS THROUGH THE USE OF THE VANDERBILT ASSESSMENT OF LEADERSHIP IN EDUCATION (VAL-ED) -PROVIDE A COMPREHENSIVE EDUCATOR AND SCHOOL LEADER EVALUATION SYSTEM THAT INTEGRATES MEASURES OF PROFESSIONAL PRACTICE AND STUDENT OUTCOMES TO PROVIDE EDUCATORS WITH AN ANNUAL REVIEW TIEDTO COMPENSATION - OFFER EXTENSIVE PROFESSIONAL DEVELOPMENT AND A STRUCTURE TO PARTICIPATE IN INSTRUCTIONAL ROUNDS ACROSS AND WITHIN SCHOOLS - ASSIST SCHOOLS IN CREATING A PERFORMANCE-BASED SALARY SCHEDULE AND TEACHER CAREER LADDER THAT ALLOWS EFFECTIVE TEACHERS TO ADVANCE THEIR CAREER WITHOUT LEAVING THE CLASSROOM - HONE THE INSTRUCTIONAL AND LEADERSHIP EXPERTISE NEEDED TO DRAMATICALLY IMPROVE STUDENT ACHIEVEMENT, REWARDING OUR MOST EFFECTIVE EDUCATORS, AND ACHIEVING HIGH LEVELS OF PERFORMANCE FOR ALL STUDENTS AND TEACHERS.

ATTACHMENT 3

FORM 990, PART III - PROGRAM SERVICE, LINE 4B

PUBLIC SCHOOL PROFESSIONAL SERVICES- CUSTOMIZED SERVICES,EMBEDDED PROFESSIONAL COACHING, MENTORING, TECHNICAL ASSISTANCE AND PROFESSIONAL LEARNING FOR TEACHERS AND SCHOOL LEADERS TO

Name of the organization
CENTER FOR EDUCATIONAL INNOVATION

Employer identification number
[redacted]

ATTACHMENT 3 (CONT'D)

FACILITATE THE TURNAROUND OF LOW PERFORMING SCHOOOLS.

FOLLOWING SEVERAL CYCLES OF FEDERAL FUNDING, CEI CONTINUES TO SUPPORT EDUCATORS AND SCHOOL LEADERS TO BECOME HIGHLY EFFECTIVE PROFESSIONALS, SUPPORT STRUGGLING CHARTER SCHOOLS WITH IMPLEMENTATION OF IMPROVEMENT PLANS, AND GROW SUCCESSFUL INDEPENDENT CHARTER SCHOOL.

ATTACHMENT 4

FORM 990, PART III - PROGRAM SERVICE, LINE 4C

PROJECT BOOST (BUILDING OPTIONS AND OPPORTUNITIES FOR STUDENTS)IS ONE OF CEI'S OLDEST PROGRAMS, WHICH TARGETS ELEMENTARY AND MIDDLE SCHOOL STUDENTS IN 5TH THROUGH 9TH GRADE WHO HAVE DEMONSTRATED ACADEMIC TALENTS BUT DO NOT HAVE THE FINANCIAL RESOURCES NECESSARY TO CULTIVATE AND ENRICH THEIR ACADEMIC QUALITY. THE OVERALL GOAL OF THE PROGRAM IS TO ASSIST AND TO INSPIRE PARTICIPATING STUDENTSIN GAINING ADMISSION TO THE HIGH-QUALITY HIGH SCHOOLS. CEI OFFERS A TRIANGLE OF SERVICES TO BUILD ACADEMIC, CULTURAL, SOCIAL AND SERVICE SKILLS NECESSARY FOR LONG-TERM STUDENT GROWTH, ACADEMIC ENRICHMENT, CULTURAL ENRICHMENT AND COMMUNITY SERVICE. OVER THE PAST TEN YEARS OF ITS OPERATION, PROJECT BOOST HAS GROWN TO INCLUDE A WIDE RANGE OF ACTIVITIES AND RESOURCES THROUGH PARTNERSHIPS WITH SOME OF NYC'S FINEST ACADEMIC, SOCIAL, AND CULTURAL INSTITUTIONS. PROJECT BOOST ALSO ENCOURAGES THE STUDENT

Name of the organization
CENTER FOR EDUCATIONAL INNOVATION

Employer identification number
[redacted]

ATTACHMENT 4 (CONT'D)

TO TAKE FULL ADVANTAGE OF THE OPPORTUNITIES AFFORDED TO THEM, BUT ALSO EMPHASIZES THE NEED TO GIVE BACK TO THE COMMUNITIES. STUDENTS ARE TAUGHT THAT REGARDLESS OF THEIR SOCIO-ECONOMIC BACKGROUND, THEY CAN MAKE FUNDAMENTAL CONTRIBUTIONS TO SOCIETY BY GIVING OF THEMSELVES THROUGH SERVICE. IN ADDITION , THORUGH THE EARLY STAGES PROGRAM, PROJECT BOOST HAS PROVIDED FREE AND SIGNIFICANTLY REDUCED-COSTTHEATRE TICKETS TO UNDERSERVED SCHOOLS AND THEIR STUDENTS. THIS HAS AFFORDED THE OPPORTUNITY FOR EXPOSURE TO THE PERFORMING ARTS, WHICH INCLUDED ATTENDANCE AT NYC'S MOST RENOWNED PERFORMING ARTS VENUES, SUCH AS BROADWAY THEATRES, LINCOLN CENTER, AND CARNEGIE HALL, AND TO PROVIDE MULTIPLE OPPORTUNITIES FOR STUDENTS TO RESPOND TO THE THEATRE THROUGH WORKSHOPS, DISCUSSIONS, AND WRITING (SINCE ITSINCEPTION OVER 5,000 TICKETS HAVE BEEN MADE AVAILABLE TOSTUDENTS). TO ACCOMPLISH THE GOALS OF PROJECT BOOST, THE PROGRAM

IN ADDITION, THROUGH THE EARLY STAGES PROGRAM ,PROJECT BOOST HAS PROVIDES FUNDING FOR CULTURAL ENRICHMENT EXPERIENCES, TEST PREPARATION, ACADEMIC GUIDANCE, COLLEGE VISITATIONS, AND COMMUNITY SERVICE OPPORTUNITIES.

ATTACHMENT 5

990, PART VII- COMPENSATION OF THE FIVE HIGHEST PAID IND. CONTRACTORS

NAME AND ADDRESS	DESCRIPTION OF SERVICES	COMPENSATION
ALICE P BARTLEY, PHD [redacted]	EDUCATION CONSULTING	113,000.

Name of the organization: CENTER FOR EDUCATIONAL INNOVATION

Employer identification number: [redacted]

ATTACHMENT 6

FORM 990, PART IX - OTHER FEES

DESCRIPTION	(A) TOTAL FEES	(B) PROGRAM SERVICE EXP.	(C) MANAGEMENT AND GENERAL	(D) FUNDRAISING EXPENSES
CONSULTANTS AND PROFESSIONAL F	1,440,944.	1,148,453.	233,565.	58,926.
TOTALS	1,440,944.	1,148,453.	233,565.	58,926.

ATTACHMENT 7

FORM 990, PART X - PREPAID EXPENSES AND DEFERRED CHARGES

DESCRIPTION	ENDING BOOK VALUE
PREPAID EXPENSE AND DEFFERED C	18,000.
TOTALS	18,000.

ATTACHMENT 8

FORM 990, PART X - INVESTMENTS - PUBLICLY TRADED SECURITIES

DESCRIPTION	ENDING BOOK VALUE	COST OR FMV
PUBLICLY TRADED SEC.	639,367.	COST
TOTALS	639,367.	

FULVIO & ASSOCIATES, L.L.P.
CERTIFIED PUBLIC ACCOUNTANTS
5 W 37TH STREET 4TH FL
NEW YORK, NY 10018

CENTER FOR EDUCATIONAL INNOVATION
Instructions for Filing
Form CHAR500
New York State Annual Filing for Charitable Organizations
For the year ended June 30, 2021

The original return should be signed (use full name) and dated on page 1 by two authorized officers of the organization, including the chief fiscal officer.

File the signed return by May 16, 2022 with:

NYS Office of the AG, Charities Bureau Registration Section
28 Liberty Street
New York, NY 10005

A check or money order payable to "Department of Law" in the amount of $25 should be attached to the return. Be sure to include the federal EIN and "2020 Form CHAR500" on the check.

To document the timely filing of your tax return(s), we suggest that you obtain and retain proof of mailing. Proof of mailing can be accomplished by sending the tax return(s) by registered or certified mail (metered by the U.S. Postal Service) or through the use of an IRS approved delivery method provided by an IRS designated private delivery service.

CHAR500

NYS Annual Filing for Charitable Organizations
www.CharitiesNYS.com

Send with fee and attachments to:
NYS Office of the Attorney General
Charities Bureau Registration Section
28 Liberty Street
New York, NY 10005

2020
Open to Public Inspection

1. General Information

For Fiscal Year Beginning (mm/dd/yyyy) 07 / 01 / 2020 and Ending (mm/dd/yyyy) 06 / 30 / 2021

Check if Applicable:
- [X] Address Change
- [ ] Name Change
- [ ] Initial Filing
- [ ] Final Filing
- [ ] Amended Filing
- [ ] Reg ID Pending

Name of Organization: CENTER FOR EDUCATIONAL INNOVATION

Mailing Address: 369 LEXINGTON AVENUE

City / State / Zip: NEW YORK, NY 10017

Website: THE-CEI.ORG

Employer Identification Number (EIN): NY R [redacted]

Telep

Email

Check your organization's registration category: [X] 7A only [ ] EPTL only [ ] DUAL (7A & EPTL) [ ] EXEMPT* Confirm your Registration Category in the Charities Registry at www.CharitiesNYS.com.

2. Certification

See instructions for certification requirements. Improper certification is a violation of law that may be subject to penalties. The certification requires two signatories.

We certify under penalties of perjury that we reviewed this report, including all attachments, and to the best of our knowledge and belief, they are true, correct and complete in accordance with the laws of the State of New York applicable to this report.

President or Authorized Officer: [redacted] Michael Kohlhagen, CEO 7/31/22
Print Name and Title Date

Chief Financial Officer or Treasurer: [redacted] Victor Isayev, CFO 7/31/22
Print Name and Title Date

3. Annual Reporting Exemption

Check the exemption(s) that apply to your filing. If your organization is claiming an exemption under one category (7A or EPTL only filers) or both categories (DUAL filers) that apply to your registration, complete only parts 1, 2, and 3, and submit the certified Char500. No fee, schedules, or additional attachments are required. If you cannot claim an exemption or are a DUAL filer that claims only one exemption, you must file applicable schedules and attachments and pay applicable fees.

- [ ] 3a. 7A filing exemption: Total contributions from NY State (including residents, foundations, government agencies, etc.) did not exceed $25,000 and the organization did not engage a professional fund raiser (PFR) or fund raising counsel (FRC) to solicit contributions during the fiscal year.

- [ ] 3b. EPTL filing exemption: Gross receipts did not exceed $25,000 and the market value of assets did not exceed $25,000 at any time during the fiscal year.

4. Schedules and Attachments

See the following page for a checklist of schedules and attachments to complete your filing.

- [X] Yes [ ] No 4a. Did your organization use a professional fund raiser, fund raising counsel or commercial co-venturer for fund raising activity in NY State? If yes, complete Schedule 4a.
- [X] Yes [ ] No 4b. Did the organization receive government grants? If yes, complete Schedule 4b.

5. Fee

See the checklist on the next page to calculate your fee(s). Indicate fee(s) you are submitting here.	7A filing fee	EPTL filing fee	Total fee	Make a single check or money order payable to "Department of Law"
	$ 25.	$	$ 25.	

CHAR500

Annual Filing Checklist

Simply submit the certified CHAR500 with no fee, schedule, or additional attachments IF:
- Your organization is registered as 7A only and you marked the 7A filing exemption in Part 3.
- Your organization is registered as EPTL only and you marked the EPTL filing exemption in Part 3.
- Your organization is registered as DUAL and you marked both the 7A and EPTL filing exemption in Part 3.

Checklist of Schedules and Attachments

Check the schedules you must submit with your CHAR500 as descr bed in Part 4:

[X] If you answered "yes" in Part 4a, submit Schedule 4a: Professional Fund Raisers (PFR), Fund Raising Counsel (FRC), Commercial Co-Venturers (CCV)

[X] If you answered "yes" in Part 4b, submit Schedule 4b: Government Grants

Check the financial attachments you must submit with your CHAR500:

[X] IRS Form 990, 990-EZ, or 990-PF, and 990-T if applicable

[X] All additional IRS Form 990 Schedules, including Schedule B (Schedule of Contributors). Schedule B of public charities is exempt from disclosure and will not be available for public review.

[ ] Our organization was eligible for and filed an IRS 990-N e-postcard. Our revenue exceeded $25,000 and/or our assets exceeded $25,000 in the filing year. We have included an IRS Form 990-EZ for state purposes only.

If you are a 7A only or DUAL filer, submit the applicable independent Certified Public Accountant's Review or Audit Report:

[ ] Review Report if you received total revenue and support greater than $250,000 and up to $750,000.

[X] Audit Report if you received total revenue and support greater than $750,000

[ ] No Review Report or Audit Report is required because total revenue and support is less than $250,000

[ ] We are a DUAL filer and checked box 3a, no Review Report or Audit Report is required

Calculate Your Fee

For 7A and DUAL filers, calculate the 7A fee:

[ ] $0, if you checked the 7A exemption in Part 3a

[X] $25, if you did not check the 7A exemption in Part 3a

For EPTL and DUAL filers, calculate the EPTL fee:

[ ] $0, if you checked the EPTL exemption in Part 3b

[ ] $25, if the NET WORTH is less than $50,000

[ ] $50, if the NET WORTH is $50,000 or more but less than $250,000

[ ] $100, if the NET WORTH is $250,000 or more but less than $1,000,000

[ ] $250, if the NET WORTH is $1,000,000 or more but less than $10,000,000

[ ] $750, if the NET WORTH is $10,000,000 or more but less than $50,000,000

[ ] $1500, if the NET WORTH is $50,000,000 or more

Send Your Filing

Send your CHAR500, all schedules and attachments, and total fee to:

NYS Office of the Attorney General
Charities Bureau Registration Section
28 L berty Street
New York, NY 10005

Need Assistance?
Visit: www.CharitiesNYS.com
Call: (212) 416-8401
Email: Charities.Bureau@ag.ny.gov

Is my Registration Category 7A, EPTL, DUAL or EXEMPT?

Organizations are assigned a Registration Category upon registration with the NY Charities Bureau:

7A filers are registered to solicit contributions in New York under Article 7-A of the Executive Law ("7A")

EPTL filers are registered under the Estates, Powers & Trusts Law ("EPTL") because they hold assets and/or conduct activities for charitable purposes in NY.

DUAL filers are registered under both 7A and EPTL.

EXEMPT filers have registered with the NY Charities Bureau and meet conditions in **Schedule E - Registration Exemption for Charitable Organizations**. These organizations are not required to file annual financial reports but may do so voluntarily.

Confirm your Registration Category and learn more about NY law at www.CharitiesNYS.com.

Where do I find my organization's NET WORTH?

NET WORTH for fee purposes is calculated on:
- IRS From 990 Part I, line 22
- IRS Form 990 EZ Part I line 21
- IRS Form 990 PF, calculate the difference between Total Assets at Fair Market Value (Part II, line 16(c)) and Total Liabilities (Part II, line 23(b)).

CHAR500

Schedule 4a: Professional Fund Raisers, Fund Raising Counsels, Commercial Co-Venturers
www.CharitiesNYS.com

2020
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If you checked the box in question 4a in Part 4 on the CHAR500 Annual Filing for Charitable Organizations, complete this schedule for EACH Professional Fund Raiser (PFR), Fund Raising Counsel (FRC) or Commercial Co-Venturer (CCV) that the organization engaged for fund raising activity in NY State. The PFR or FRC should provide its NY Registration Number to you. Include this schedule with your certified CHAR500 NYS Annual Filing for Charitable Organizations and use additional pages if necessary.

Definitions

A **Professional Fund Raiser (PFR)**, in addition to other activities, conducts solicitation of contributions and/or handles the dona ions (Ar icle 7A, 171-a.4).
A **Fund Raising Counsel (FRC)** does not solicit or handle contributions but limits activities to advising or assisting a charitable organization to perform such functions for itself (Article 7A, 171-a.9).
A **Commercial Co-Venturer (CCV)** is an individual or for-profit company that is regularly and primarily engaged in trade or commerce other than raising funds for a charitable organization and who advertises that the purchase or use of goods, services, entertainment or any other thing of value will benefit a charitable organization (Article 7A, 171-a.6).
Professional fund raising does not include activities by an organization's development staff, volunteers, or a grantwriter who has been hired solely to draft applications for funding from a government agency or tax exempt organization.

1. Organization Information

Name of Organization: CENTER FOR EDUCATIONAL INNOVATION

NY Registration Number: [redacted]

2. Professional Fund Raiser, Fund Raising Counsel, Commercial Co-Venturer Information

Fund Raising Professional type:

- [X] Professional Fund Raiser
- [ ] Fund Raising Counsel
- [ ] Commercial Co-Venturer

Name of FRP: BARBI ZAKIN EVENTS INC

NY Registration Number: [redacted]

Mailing Address: 370 EAST 76TH STREET, SUITE B503

Telephone:

City / State / Zip: NEW YORK, NY 10021

3. Contract Information

Contract Start Date:	Contract End Date:
03/15/2020	12/31/2020

4. Description of Services

Services provided by FRP: PROFESSIONAL FUNDRAISING SERVICES IN CONNECTION WITH CEI'S ANNUAL GALA

5. Description of Compensation

Compensation arrangement with FRP: PAID IN INSTALLMENTS THROUGH OUT 2020

Amount Paid to FRP: 64,000.

6. Commercial Co-Venturer (CCV) Report

[ ] Yes [ ] No If services were provided by a CCV, did the CCV provide the charitable organization with the interim or closing report(s) required by Section 173(a) part 3 of the Executive Law Article 7A?

CHAR500

Schedule 4b: Government Grants
www.CharitiesNYS.com

2020
Open to Public Inspection

If you checked the box in question 4b in Part 4, complete this schedule and list EACH government grant award by a domestic (federal, state or local) agency; interstate or intergovernmental agency (for example Port Authority of New York and New Jersey); and state or local authorities.
Use additional pages if necessary. Include this schedule with your certified CHAR500 NYS Annual Filing for Charitable Organizations.

1. Organization Information

Name of Organization:	NY Registration Number:
CENTER FOR EDUCATIONAL INNOVATION	[redacted]

2. Government Grants

Name of Government Agency	Amount of Grant
1. UNITED STATES DEPT OF EDUCATION	1. 638,484.
2. NEW YORK STATE EDUCATION DEPARTMENT	2. 30,000.
3. PAYCHECK PROTECTION PROGRAM	3. 260,000.
4. NY CULTURAL AFFAIRS-CASA GRANT	4. 40,000.
5. NY CITY COUNCIL	5. 259,000.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10.
11.	11.
12.	12.
13.	13.
14.	14.
15.	15.
Total Government Grants:	Total: 1,227,484.

FULVIO & ASSOCIATES, L.L.P.
CERTIFIED PUBLIC ACCOUNTANTS
5 W. 37th Street, 4th Fl.
NEW YORK, NY 10018

CENTER FOR EDUCATIONAL INNOVATION
Instructions for Filing
Form 8879-EO
IRS e-file Signature Authorization for Form 990
For the year ended June 30, 2020

The original IRS E-file Signature Authorization form should be signed (use full name) and dated by an authorized officer of the organization.

Return your signed IRS e-file Signature Authorization Form 8879-EO to:

FULVIO & ASSOCIATES, L.L.P.
5 W. 37th Street, 4th Fl.
NEW YORK NY 10018

There is no tax due with the filing of this return.

Do NOT separately file Form 990 with the Internal Revenue Service. Doing so will delay the processing of your return. We must receive your signed form before we can electronically transmit your return, which is due on or before May 17, 2021. We would appreciate you returning this form as soon as possible as this will expedite the processing of your return. The Internal Revenue Service will notify us when your return is accepted. Your return is not considered filed until the Internal Revenue Service confirms their acceptance, which may occur after the due date of your return.

Form **8879-EO**

IRS *e-file* Signature Authorization for an Exempt Organization

For calendar year 2019, or fiscal year beginning 07/01, 2019, and ending 06/30, 20 20

▶ **Do not send to the IRS. Keep for your records.**

▶ **Go to *www.irs.gov/Form8879EO* for the latest information.**

OMB No. 1545-1878

2019

Department of the Treasury
Internal Revenue Service

Name of exempt organization

CENTER FOR EDUCATIONAL INNOVATION

Employer identification number

[redacted]

Name and title of officer

MICHAEL KOHLHAGEN, CHIEF EXE.OFFICER

Part I Type of Return and Return Information (Whole Dollars Only)

Check the box for the return for which you are using this Form 8879-EO and enter the applicable amount, if any, from the return. If you check the box on line **1a, 2a, 3a, 4a,** or **5a,** below, and the amount on that line for the return being filed with this form was blank, then leave line **1b, 2b, 3b, 4b,** or **5b,** whichever is applicable, blank (do not enter -0-). But, if you entered -0- on the return, then enter -0- on the applicable line below. **Do not** complete more than one line in Part I.

1a	Form 990 check here ▶ [X]	b	**Total revenue,** if any (Form 990, Part VIII, column (A), line 12) . . .	1b	4,962,238.
2a	Form 990-EZ check here ▶ [ ]	b	**Total revenue,** if any (Form 990-EZ, line 9)	2b	
3a	Form 1120-POL check here ▶ [ ]	b	**Total tax** (Form 1120-POL, line 22)	3b	
4a	Form 990-PF check here ▶ [ ]	b	**Tax based on investment income** (Form 990-PF, Part VI, line 5).	4b	
5a	Form 8868 check here ▶ [ ]	b	**Balance Due** (Form 8868, line 3c)	5b	

Part II Declaration and Signature Authorization of Officer

Under penalties of perjury, I declare that I am an officer of the above organization and that I have examined a copy of the organization's 2019 electronic return and accompanying schedules and statements and to the best of my knowledge and belief, they are true, correct, and complete. I further declare that the amount in Part I above is the amount shown on the copy of the organization's electronic return. I consent to allow my intermediate service provider, transmitter, or electronic return originator (ERO) to send the organization's return to the IRS and to receive from the IRS **(a)** an acknowledgement of receipt or reason for rejection of the transmission, **(b)** the reason for any delay in processing the return or refund, and **(c)** the date of any refund. If applicable, I authorize the U.S. Treasury and its designated Financial Agent to initiate an electronic funds withdrawal (direct debit) entry to the financial institution account indicated in the tax preparation software for payment of the organization's federal taxes owed on this return, and the financial institution to debit the entry to this account. To revoke a payment, I must contact the U.S. Treasury Financial Agent at 1-888-353-4537 no later than 2 business days prior to the payment (settlement) date. I also authorize the financial institutions involved in the processing of the electronic payment of taxes to receive confidential information necessary to answer inquiries and resolve issues related to the payment. I have selected a personal identification number (PIN) as my signature for the organization's electronic return and, if applicable, the organization's consent to electronic funds withdrawal.

Officer's PIN: check one box only

[X] I authorize FULVIO & ASSOCIATES, L.L.P. to enter my PIN [redacted] as my signature

ERO firm name

do not enter all zeros

on the organization's tax year 2019 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I also authorize the aforementioned ERO to enter my PIN on the return's disclosure consent screen.

[ ] As an officer of the organization, I will enter my PIN as my signature on the organization's tax year 2019 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I will enter my PIN on the return's disclosure consent screen.

Officer's signature ▶ X [signature] Date ▶ 09/28/2021

Part III Certification and Authentication

ERO's EFIN/PIN. Enter your six-digit electronic filing identification number (EFIN) followed by your five-digit self-selected PIN.

[redacted]

Do not enter all zeros

I certify that the above numeric entry is my PIN, which is my signature on the 2019 electronically filed return for the organization indicated above. I confirm that I am submitting this return in accordance with the requirements of **Pub. 4163,** Modernized e-File (MeF) Information for Authorized IRS *e-file* Providers for Business Returns.

ERO's signature ▶ [signature] Date ▶ 09/28/2021

ERO Must Retain This Form - See Instructions

Do Not Submit This Form to the IRS Unless Requested To Do So

For Paperwork Reduction Act Notice, see back of form. Form **8879-EO** (2019)

Form **990** (Rev. January 2020)

Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter social security numbers on this form as it may be made public.

▶ Go to *www.irs.gov/Form990* for instructions and the latest information.

OMB No. 1545-0047

2019

Open to Public Inspection

A For the 2019 calendar year, or tax year beginning 07/01, 2019, and ending 06/30, 20 20

B Check if applicable:
- [ ] Address change
- [ ] Name change
- [ ] Initial return
- [ ] Final return/ terminated
- [X] Amended return
- [ ] Application pending

C Name of organization: CENTER FOR EDUCATIONAL INNOVATION

Doing business as:

Number and street (or P.O. box if mail is not delivered to street address): 28 WEST 44TH STREET SUITE 801

Room/suite:

City or town, state or province, country, and ZIP or foreign postal code: NEW YORK, NY 10036

D Employer identification number: [redacted]

E Telephone number: (212) 302-8800

G Gross receipts $: 5,144,765.

F Name and address of principal officer: MICHAEL KOHLHAGEN
28 WEST 44TH STREET SUITE 801, NEW YORK, NY 10036

H(a) Is this a group return for subordinates? [ ] Yes [X] No

H(b) Are all subordinates included? [ ] Yes [ ] No

If "No," attach a list. (see instructions)

I Tax-exempt status: [X] 501(c)(3) [ ] 501(c) ( ) ◀ (insert no.) [ ] 4947(a)(1) or [ ] 527

J Website: ▶ THE-CEI.ORG

H(c) Group exemption number ▶

K Form of organization: [X] Corporation [ ] Trust [ ] Association [ ] Other ▶

L Year of formation: 2000 M State of legal domicile: NY

Part I Summary

1 Briefly describe the organization's mission or most significant activities: TO SUPPORT INITIATIVES THAT WILL PROVIDE A QUALITY EDUCATION TO CHILDREN IN NYC AND OTHER COMMUNITIES.

2 Check this box ▶ [ ] if the organization discontinued its operations or disposed of more than 25% of its net assets.

Activities & Governance	3	Number of voting members of the governing body (Part VI, line 1a)	14.
	4	Number of independent voting members of the governing body (Part VI, line 1b)	13.
	5	Total number of individuals employed in calendar year 2019 (Part V, line 2a)	83.
	6	Total number of volunteers (estimate if necessary)	0.
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	0.
	7b	Net unrelated business taxable income from Form 990-T, line 39	

			Prior Year	Current Year
Revenue	8	Contributions and grants (Part VIII, line 1h)	2,126,350.	1,953,857.
	9	Program service revenue (Part VIII, line 2g)	2,230,787.	3,154,421.
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	4,581.	22.
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	-47,948.	-146,062.
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	4,313,770.	4,962,238.
Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	401,932.	23,322.
	14	Benefits paid to or for members (Part IX, column (A), line 4)	0.	0.
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	3,485,311.	2,776,274.
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	55,000.	0.
	b	Total fundraising expenses (Part IX, column (D), line 25) ▶ 313,091.		
	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	1,818,430.	2,793,987.
	18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	5,760,673.	5,593,583.
	19	Revenue less expenses. Subtract line 18 from line 12	-1,446,903.	-631,345.

			Beginning of Current Year	End of Year
Net Assets or Fund Balances	20	Total assets (Part X, line 16)	2,568,173.	3,405,547.
	21	Total liabilities (Part X, line 26)	902,087.	2,370,806.
	22	Net assets or fund balances. Subtract line 21 from line 20	1,666,086.	1,034,741.

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here

▶ Signature of officer [redacted] Date: 09/29/2021

▶ MICHAEL KOHLHAGEN CHIEF EXE.OFFICER
Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name: GENNARO J FULVIO [redacted] Date: 09/29/2021 Check [ ] if self-er PTIN [redacted]

Firm's name ▶ FULVIO & ASSOCIATES, L.L.P. Firm's EIN [redacted]

Firm's address ▶ 5 W. 37TH STREET, 4TH FL. NEW YORK, NY 10018 Phone no.

May the IRS discuss this return with the preparer shown above? (see instructions) [X] Yes [ ] No

For Paperwork Reduction Act Notice, see the separate instructions. Form **990** (2019)

JSA
9E1010 2.000

Part III **Statement of Program Service Accomplishments**

Check if Schedule O contains a response or note to any line in this Part III X

1 Briefly describe the organization's mission:
ATTACHMENT 1

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? . . . . . ☐ Yes ☒ No
If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? . . . . . ☐ Yes ☒ No
If "Yes," describe these changes on Schedule O.

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code:) (Expenses $ 669,145. including grants of $) (Revenue $ 1,328,767.)
ATTACHMENT 2

4b (Code:) (Expenses $ 2,356,848. including grants of $) (Revenue $)
PUBLIC SCHOOL PROFESSIONAL SERVICES- CUSTOMIZED SERVICES,EMBEDDED PROFESSIONAL COACHING, MENTORING, TECHNICAL ASSISTANCE AND PROFESSIONAL LEARNING FOR TEACHERS AND SCHOOL LEADERS TO FACILITATE THE TURNAROUND OF LOW PERFORMING SCHOOOLS.

4c (Code:) (Expenses $ 575,130. including grants of $) (Revenue $)
ATTACHMENT 3

4d Other program services (Describe on Schedule O.)
(Expenses $ 29,921. including grants of $) (Revenue $)

4e Total program service expenses ▶ 3,631,044.

Part IV Checklist of Required Schedules

			Yes	No
1	Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? *If "Yes," complete Schedule A*	1	X	
2	Is the organization required to complete *Schedule B, Schedule of Contributors* (see instructions)?	2	X	
3	Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? *If "Yes," complete Schedule C, Part I*	3		X
4	**Section 501(c)(3) organizations.** Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? *If "Yes," complete Schedule C, Part II*	4	X	
5	Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? *If "Yes," complete Schedule C, Part III*	5		
6	Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? *If "Yes," complete Schedule D, Part I*	6		X
7	Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? *If "Yes," complete Schedule D, Part II*	7		X
8	Did the organization maintain collections of works of art, historical treasures, or other similar assets? *If "Yes," complete Schedule D, Part III*	8		X
9	Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? *If "Yes," complete Schedule D, Part IV*	9		X
10	Did the organization, directly or through a related organization, hold assets in donor-restricted endowments or in quasi endowments? *If "Yes," complete Schedule D, Part V*	10		X
11	If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.			
a	Did the organization report an amount for land, buildings, and equipment in Part X, line 10? *If "Yes," complete Schedule D, Part VI*	11a	X	
b	Did the organization report an amount for investments-other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VII*	11b		X
c	Did the organization report an amount for investments-program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VIII*	11c		X
d	Did the organization report an amount for other assets in Part X, line 15, that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part IX*	11d		X
e	Did the organization report an amount for other liabilities in Part X, line 25? *If "Yes," complete Schedule D, Part X*	11e	X	
f	Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? *If "Yes," complete Schedule D, Part X*	11f		X
12a	Did the organization obtain separate, independent audited financial statements for the tax year? *If "Yes," complete Schedule D, Parts XI and XII*	12a	X	
b	Was the organization included in consolidated, independent audited financial statements for the tax year? *If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional*	12b		X
13	Is the organization a school described in section 170(b)(1)(A)(ii)? *If "Yes," complete Schedule E*	13		X
14a	Did the organization maintain an office, employees, or agents outside of the United States?	14a		X
b	Did the organization have aggregate revenues or expenses of more than $10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at $100,000 or more? *If "Yes," complete Schedule F, Parts I and IV*	14b		X
15	Did the organization report on Part IX, column (A), line 3, more than $5,000 of grants or other assistance to or for any foreign organization? *If "Yes," complete Schedule F, Parts II and IV*	15		X
16	Did the organization report on Part IX, column (A), line 3, more than $5,000 of aggregate grants or other assistance to or for foreign individuals? *If "Yes," complete Schedule F, Parts III and IV*	16		X
17	Did the organization report a total of more than $15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? *If "Yes," complete Schedule G, Part I* (see instructions)	17	X	
18	Did the organization report more than $15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? *If "Yes," complete Schedule G, Part II*	18	X	
19	Did the organization report more than $15,000 of gross income from gaming activities on Part VIII, line 9a? *If "Yes," complete Schedule G, Part III*	19		X
20a	Did the organization operate one or more hospital facilities? *If "Yes," complete Schedule H*	20a		X
b	If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	20b		
21	Did the organization report more than $5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? *If "Yes," complete Schedule I, Parts I and II*	21	X	

Part IV Checklist of Required Schedules *(continued)*

			Yes	No
22	Did the organization report more than $5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? *If "Yes," complete Schedule I, Parts I and III*	22		X
23	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? *If "Yes," complete Schedule J.*	23	X	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than $100,000 as of the last day of the year, that was issued after December 31, 2002? *If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a*	24a		X
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b		
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c		
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d		
25a	**Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.** Did the organization engage in an excess benefit transaction with a disqualified person during the year? *If "Yes," complete Schedule L, Part I*	25a		X
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? *If "Yes," complete Schedule L, Part I*	25b		X
26	Did the organization report any amount on Part X, line 5 or 22, for receivables from or payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons? *If "Yes," complete Schedule L, Part II*	26		X
27	Did the organization provide a grant or other assistance to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity (including an employee thereof) or family member of any of these persons? *If "Yes," complete Schedule L, Part III*	27		X
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions, for applicable filing thresholds, conditions, and exceptions):			
a	A current or former officer, director, trustee, key employee, creator or founder, or substantial contributor? *If "Yes," complete Schedule L, Part IV*	28a		X
b	A family member of any individual described in line 28a? *If "Yes," complete Schedule L, Part IV*	28b		X
c	A 35% controlled entity of one or more individuals and/or organizations described in lines 28a or 28b? *If "Yes," complete Schedule L, Part IV*	28c		X
29	Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M*	29		X
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M*	30		X
31	Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I*	31		X
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? *If "Yes," complete Schedule N, Part II*	32		X
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? *If "Yes," complete Schedule R, Part I*	33		X
34	Was the organization related to any tax-exempt or taxable entity? *If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1*	34		X
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a		X
b	If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? *If "Yes," complete Schedule R, Part V, line 2*	35b		
36	**Section 501(c)(3) organizations.** Did the organization make any transfers to an exempt non-charitable related organization? *If "Yes," complete Schedule R, Part V, line 2*	36		
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? *If "Yes," complete Schedule R, Part VI*	37		X
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? **Note:** All Form 990 filers are required to complete Schedule O.	38	X	

Part V Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response or note to any line in this Part V X

				Yes	No
1a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	1a	35		
b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b	0.		
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c			X

Part V Statements Regarding Other IRS Filings and Tax Compliance *(continued)*

			Yes	No
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return. 2a 83			
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns?	2b	X	
	Note: If the sum of lines 1a and 2a is greater than 250, you may be required to *e-file* (see instructions)			
3a	Did the organization have unrelated business gross income of $1,000 or more during the year?	3a		X
b	If "Yes," has it filed a Form 990-T for this year? *If "No" to line 3b, provide an explanation on Schedule O*	3b		
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	4a		X
b	If "Yes," enter the name of the foreign country ▶ _____ See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).			
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a		X
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b		X
c	If "Yes" to line 5a or 5b, did the organization file Form 8886-T?	5c		
6a	Does the organization have annual gross receipts that are normally greater than $100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?	6a		X
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	6b		
7	**Organizations that may receive deductible contributions under section 170(c).**			
a	Did the organization receive a payment in excess of $75 made partly as a contribution and partly for goods and services provided to the payor?	7a	X	
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b	X	
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	7c		X
d	If "Yes," indicate the number of Forms 8282 filed during the year 7d			
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7e		X
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f		X
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	7g		
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	7h		
8	**Sponsoring organizations maintaining donor advised funds.** Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?	8		X
9	**Sponsoring organizations maintaining donor advised funds.**			
a	Did the sponsoring organization make any taxable distributions under section 4966?	9a		X
b	Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?	9b		X
10	**Section 501(c)(7) organizations.** Enter:			
a	Initiation fees and capital contributions included on Part VIII, line 12 10a			
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities 10b			
11	**Section 501(c)(12) organizations.** Enter:			
a	Gross income from members or shareholders 11a			
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.) 11b			
12a	**Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041?	12a		
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year 12b			
13	**Section 501(c)(29) qualified nonprofit health insurance issuers.**			
a	Is the organization licensed to issue qualified health plans in more than one state? **Note:** See the instructions for additional information the organization must report on Schedule O.	13a		X
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans 13b			
c	Enter the amount of reserves on hand 13c			
14a	Did the organization receive any payments for indoor tanning services during the tax year?	14a		X
b	If "Yes," has it filed a Form 720 to report these payments? *If "No," provide an explanation on Schedule O*	14b		X
15	Is the organization subject to the section 4960 tax on payment(s) of more than $1,000,000 in remuneration or excess parachute payment(s) during the year? If "Yes," see instructions and file Form 4720, Schedule N.	15		X
16	Is the organization an educational institution subject to the section 4968 excise tax on net investment income? If "Yes," complete Form 4720, Schedule O.	16		X

Part VI Governance, Management, and Disclosure *For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes on Schedule O. See instructions.*

Check if Schedule O contains a response or note to any line in this Part VI X

Section A. Governing Body and Management

			Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year	1a 14		
	If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain on Schedule O.			
b	Enter the number of voting members included on line 1a, above, who are independent	1b 13		
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	2		X
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, trustees, or key employees to a management company or other person?	3		X
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?	4		X
5	Did the organization become aware during the year of a significant diversion of the organization's assets?	5		X
6	Did the organization have members or stockholders?	6		X
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?	7a		X
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?	7b		X
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:			
a	The governing body?	8a	X	
b	Each committee with authority to act on behalf of the governing body?	8b	X	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? *If "Yes," provide the names and addresses on Schedule O.*	9		X

Section B. Policies *(This Section B requests information about policies not required by the Internal Revenue Code.)*

			Yes	No
10a	Did the organization have local chapters, branches, or affiliates?	10a		X
b	If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? . . .	10b		
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? .	11a	X	
b	Describe in Schedule O the process, if any, used by the organization to review this Form 990.			
12a	Did the organization have a written conflict of interest policy? *If "No," go to line 13*	12a	X	
b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	12b	X	
c	Did the organization regularly and consistently monitor and enforce compliance with the policy? *If "Yes," describe in Schedule O how this was done*	12c	X	
13	Did the organization have a written whistleblower policy?	13	X	
14	Did the organization have a written document retention and destruction policy?	14	X	
15	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?			
a	The organization's CEO, Executive Director, or top management official	15a	X	
b	Other officers or key employees of the organization	15b		
	If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).			
16a	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?	16a		X
b	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?	16b		

Section C. Disclosure

17 List the states with which a copy of this Form 990 is required to be filed ▶ NY,

18 Section 6104 requires an organization to make its Forms 1023 (1024 or 1024-A, if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.

☐ Own website ☐ Another's website ☒ Upon request ☐ Other *(explain on Schedule O)*

19 Describe on Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.

20 State the name, address, and telephone number of the person who possesses the organization's books and records ▶
YVONNE BENTICK 28 WEST 44TH STREET NEW YORK, NY 10036 212-302-8800

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

Check if Schedule O contains a response or note to any line in this Part VII . . . . . ☐

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than $100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than $100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than $10,000 of reportable compensation from the organization and any related organizations.

See instructions for the order in which to list the persons above.

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) MICHAEL KOHLHAGEN	40.00									
CHIEF EXECUTIVE OFFICER	0.					X		198,450.	0.	0.
(2) NORMAN S.BENZAQUEN	1.00									
TRUSTEE	0.		X					0.	0.	0.
(3) ANTHONY COLES, ESQ.	1.00									
TRUSTEE	0.		X					0.	0.	0.
(4) MARY ELLEN FAHS	1.00									
TRUSTEE	0.		X					0.	0.	0.
(5) RUCHI HAZARAY	1.00									
TRUSTEE	0.		X					0.	0.	0.
(6) ROBERT SANCHO	1.00									
TRUSTEE	0.		X					0.	0.	0.
(7) PAT DUFF	1.00									
TRUSTEE	0.		X					0.	0.	0.
(8) GELNN ABBOTT	1.00									
TRUSTEE	0.		X					0.	0.	0.
(9) GAIL BADILLO	1.00									
TRUSTEE	0.		X					0.	0.	0.
(10) JULDY ROTH BERKOWITZ	1.00									
CHAIRPERSON	0.			X				0.	0.	0.
(11) DONALD CECIL	1.00									
TREASURER	0.			X				0.	0.	0.
(12) CORY COTTO	40.00									
CHIEF OPERATING OFFICER	0.			X				0.	0.	0.
(13) ALLAN MELENNAN	20.00									
OFFICER	0.			X				0.	0.	0.
(14) RUSSELL HERNANDEZ	20.00									
OFFICER	0.			X				0.	0.	0.

Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees *(continued)*

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more han one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(15) SEYMOUR FLIEGEL	40.00									
PRESIDENT	0.					X		0.	0.	0.
1b Sub-total ▶								198,450.	0.	0.
c Total from continuation sheets to Part VII, Section A ▶								0.	0.	0.
d Total (add lines 1b and 1c) ▶								198,450.	0.	0.

2 Total number of individuals (including but not limited to those listed above) who received more than $100,000 of reportable compensation from the organization ▶ 1

		Yes	No
3 Did the organization list any **former** officer, director, or trustee, key employee, or highest compensated employee on line 1a? *If "Yes," complete Schedule J for such individual*	3	X	
4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than $150,000? *If "Yes," complete Schedule J for such individual*	4	X	
5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? *If "Yes," complete Schedule J for such person*	5		X

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than $100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of services	(C) Compensation
ATTACHMENT 4		

2 Total number of independent contractors (including but not limited to those listed above) who received more than $100,000 in compensation from the organization ▶ 1

Part VIII Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII . . . . . ☐

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
Contributions, Gifts, Grants and Other Similar Amounts	1a	Federated campaigns	1a				
	b	Membership dues	1b				
	c	Fundraising events	1c	560,265.			
	d	Related organizations	1d				
	e	Government grants (contributions)	1e	1,244,018.			
	f	All other contributions, gifts, grants, and similar amounts not included above	1f	149,574.			
	g	Noncash contr butions included in lines 1a-1f.	1g	$			
	h	**Total.** Add lines 1a-1f			1,953,857.		
Program Service Revenue			Business Code				
	2a	CONSULTING INCOME	611710	3,154,421.	3,154,421.		
	b	OTHER INCOME					
	c						
	d						
	e						
	f	All other program service revenue					
	g	**Total.** Add lines 2a-2f		3,154,421.			
Other Revenue	3	Investment income (including dividends, interest, and other similar amounts)		22.			22.
	4	Income from investment of tax-exempt bond proceeds		0.			
	5	Royalties		0.			
			(i) Real	(ii) Personal			
	6a	Gross rents 6a					
	b	Less: rental expenses 6b					
	c	Rental income or (loss) 6c					
	d	Net rental income or (loss)		0.			
			(i) Securities	(ii) Other			
	7a	Gross amount from sales of assets other than inventory 7a					
	b	Less: cost or other basis and sales expenses 7b					
	c	Gain or (loss) 7c					
	d	Net gain or (loss)		0.			
	8a	Gross income from fundraising events (not including $ 560,265. of contr butions reported on line 1c). See Part IV, line 18	8a	36,465.			
	b	Less: direct expenses	8b	182,527.			
	c	Net income or (loss) from fundraising events		-146,062.			
	9a	Gross income from gaming activities. See Part IV, line 19	9a	0.			
	b	Less: direct expenses	9b	0.			
	c	Net income or (loss) from gaming activities		0.			
	10a	Gross sales of inventory, less returns and allowances	10a	0.			
	b	Less: cost of goods sold	10b	0.			
	c	Net income or (loss) from sales of inventory		0.			
Miscellaneous Revenue			Business Code				
	11a						
	b						
	c						
	d	All other revenue					
	e	**Total.** Add lines 11a-11d		0.			
	12	**Total revenue.** See instructions		4,962,238.	3,154,421.		22.

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX . . . . . ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	23,322.	23,322.		
2 Grants and other assistance to domestic individuals. See Part IV, line 22	0.			
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16	0.			
4 Benefits paid to or for members	0.			
5 Compensation of current officers, directors, trustees, and key employees	0.			
6 Compensation not included above to disqualified persons (as defined under section 4958(f)(1)) and persons described in sec ion 4958(c)(3)(B)	198,450.	141,515.	39,845.	17,090.
7 Other salaries and wages	2,198,194.	1,560,844.	446,042.	191,308.
8 Pension plan accruals and contr butions (include section 401(k) and 403(b) employer contributions)	0.			
9 Other employee benefits	157,255.	122,386.	22,941.	11,928.
10 Payroll taxes	222,375.	140,096.	66,713.	15,566.
11 Fees for services (nonemployees):				
a Management	0.			
b Legal	0.			
c Accounting	0.			
d Lobbying	158,858.	158,858.		
e Professional fundraising services. See Part IV, line 17	0.			
f Investment management fees	0.			
g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O.) ATCH 5	1,591,618.	1,169,909.	363,275.	58,434.
12 Advertising and promotion	0.			
13 Office expenses	0.			
14 Information technology	25,502.	10,769.	14,733.	
15 Royalties	0.			
16 Occupancy	317,913.	14,099.	303,814.	
17 Travel	73,068.	43,667.	29,132.	269.
18 Payments of travel or entertainment expenses for any federal, state, or local public officials	0.			
19 Conferences, conventions, and meetings	87,100.	67,266.	13,834.	6,000.
20 Interest	0.			
21 Payments to affiliates	0.			
22 Depreciation, depletion, and amortization	10,946.		10,946.	
23 Insurance	9,532.		9,532.	
24 O her expenses. Itemize expenses not covered above (List miscellaneous expenses on line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)				
a STUDENT ACTIVITIES	29,884.	29,884.		
b MISC. ACTIVITIES	89,296.	22,931.	64,325.	2,040.
c BAD DEBT	232,094.		232,094.	
d TELEPHONE	21,420.	9,570.	10,926.	924.
e All other expenses	146,756.	115,928.	21,296.	9,532.
25 **Total functional expenses.** Add lines 1 through 24e	5,593,583.	3,631,044.	1,649,448.	313,091.
26 **Joint costs.** Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here ▶ ☐ if following SOP 98-2 (ASC 958-720)	0.			

Part X Balance Sheet

Check if Schedule O contains a response or note to any line in this Part X . . . . . ☐

			(A) Beginning of year		(B) End of year
Assets	1	Cash - non-interest-bearing	408.	1	0.
	2	Savings and temporary cash investments	1,045,576.	2	975,056.
	3	Pledges and grants receivable, net	0.	3	0.
	4	Accounts receivable, net	968,804.	4	1,890,582.
	5	Loans and other receivables from any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons	0.	5	0.
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B)	0.	6	0.
	7	Notes and loans receivable, net	0.	7	0.
	8	Inventories for sale or use	0.	8	0.
	9	Prepaid expenses and deferred charges ATCH 6	27,600.	9	16,478.
	10a	Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D — 10a: 118,601.			
	b	Less: accumulated depreciation — 10b: 90,294.	23,467.	10c	28,307.
	11	Investments - publicly traded securities ATCH 7	502,318.	11	495,124.
	12	Investments - other securities. See Part IV, line 11	0.	12	0.
	13	Investments - program-related. See Part IV, line 11	0.	13	0.
	14	Intangible assets	0.	14	0.
	15	Other assets. See Part IV, line 11	0.	15	0.
	16	**Total assets.** Add lines 1 through 15 (must equal line 33)	2,568,173.	16	3,405,547.
Liabilities	17	Accounts payable and accrued expenses	308,264.	17	1,960,106.
	18	Grants payable	0.	18	0.
	19	Deferred revenue	0.	19	0.
	20	Tax-exempt bond liabilities	0.	20	0.
	21	Escrow or custodial account liability. Complete Part IV of Schedule D	0.	21	0.
	22	Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons	0.	22	0.
	23	Secured mortgages and notes payable to unrelated third parties	0.	23	0.
	24	Unsecured notes and loans payable to unrelated third parties	0.	24	0.
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D	593,823.	25	410,700.
	26	**Total liabilities.** Add lines 17 through 25	902,087.	26	2,370,806.
Net Assets or Fund Balances		**Organizations that follow FASB ASC 958, check here ▶ [X] and complete lines 27, 28, 32, and 33.**			
	27	Net assets without donor restrictions	1,625,127.	27	914,504.
	28	Net assets with donor restrictions	40,959.	28	120,237.
		Organizations that do not follow FASB ASC 958, check here ▶ ☐ and complete lines 29 through 33.			
	29	Capital stock or trust principal, or current funds		29	
	30	Paid-in or capital surplus, or land, building, or equipment fund		30	
	31	Retained earnings, endowment, accumulated income, or other funds		31	
	32	Total net assets or fund balances	1,666,086.	32	1,034,741.
	33	Total liabilities and net assets/fund balances	2,568,173.	33	3,405,547.

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI X

1	Total revenue (must equal Part VIII, column (A), line 12)	1	4,962,238.
2	Total expenses (must equal Part IX, column (A), line 25)	2	5,593,583.
3	Revenue less expenses. Subtract line 2 from line 1	3	-631,345.
4	Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A))	4	1,666,086.
5	Net unrealized gains (losses) on investments	5	0.
6	Donated services and use of facilities	6	0.
7	Investment expenses	7	0.
8	Prior period adjustments	8	0.
9	Other changes in net assets or fund balances (explain on Schedule O)	9	0.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column (B))	10	1,034,741.

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII . . . . . ☐

			Yes	No
1	Accounting method used to prepare the Form 990: ☐ Cash ☒ Accrual ☐ Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.			
2a	Were the organization's financial statements compiled or reviewed by an independent accountant?	2a		X
	If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both: ☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis			
b	Were the organization's financial statements audited by an independent accountant?	2b	X	
	If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both: ☒ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis			
c	If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?	2c	X	
	If the organization changed either its oversight process or selection process during the tax year, explain on Schedule O.			
3a	As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?	3a		X
b	If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why on Schedule O and describe any steps taken to undergo such audits	3b		

SCHEDULE A (Form 990 or 990-EZ)

Department of he Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ.

▶ Go to *www.irs.gov/Form990* for instructions and the latest information.

OMB No. 1545-0047

2019

Open to Public Inspection

Name of the organization

CENTER FOR EDUCATIONAL INNOVATION

Employer identification number

[redacted]

Part I Reason for Public Charity Status (All organizations must complete this part.) Se

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**

2 ☐ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990 or 990-EZ).)

3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**

4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state:

5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)

6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**

7 ☒ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)

8 ☐ A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)

9 ☐ An agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university:

10 ☐ An organization that normally receives: (1) more than 33 1/3 % of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)

11 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**

12 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.

a ☐ **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**

b ☐ **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**

c ☐ **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**

d ☐ **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**

e ☐ Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.

f Enter the number of supported organizations . . . . . .

g Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-10 above (see instructions))	(iv) Is the organization listed in your governing document? Yes	(iv) No	(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
(A)						
(B)						
(C)						
(D)						
(E)						
Total						

Part II **Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)** (Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	8,870,486.	6,274,659.	5,364,280.	2,126,350.	1,990,322.	24,626,097.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						0.
3 The value of services or facilities furnished by a governmental unit to the organization without charge						0.
4 **Total.** Add lines 1 through 3	8,870,486.	6,274,659.	5,364,280.	2,126,350.	1,990,322.	24,626,097.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						0.
6 **Public support.** Subtract line 5 from line 4						24,626,097.

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
7 Amounts from line 4	8,870,486.	6,274,659.	5,364,280.	2,126,350.	1,990,322.	24,626,097.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources	10,122.	440.	3,772.	3,303.	22.	17,659.
9 Net income from unrelated business activities, whether or not the business is regularly carried on						0.
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						0.
11 **Total support.** Add lines 7 through 10						24,643,756.

12	Gross receipts from related activities, etc. (see instructions)	12	13,478,928.
13	**First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** ▶		☐

Section C. Computation of Public Support Percentage

14	Public support percentage for 2019 (line 6, column (f) divided by line 11, column (f))	14	99.93 %
15	Public support percentage from 2018 Schedule A, Part II, line 14	15	99.94 %

16a **33 1/3 % support test - 2019.** If the organization did not check the box on line 13, and line 14 is 33 1/3 % or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☒

b **33 1/3 % support test - 2018.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3 % or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

17a **10%-facts-and-circumstances test - 2019.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization ▶ ☐

b **10%-facts-and-circumstances test - 2018.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization ▶ ☐

18 **Private foundation.** If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions ▶ ☐

Part III **Support Schedule for Organizations Described in Section 509(a)(2)**
(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activi ies that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 **Total.** Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 **Public support.** (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
13 **Total support.** (Add lines 9, 10c, 11, and 12.)						

14 **First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** ▶ ☐

Section C. Computation of Public Support Percentage

15	Public support percentage for 2019 (line 8, column (f), divided by line 13, column (f))	15	%
16	Public support percentage from 2018 Schedule A, Part III, line 15	16	%

Section D. Computation of Investment Income Percentage

17	Investment income percentage for **2019** (line 10c, column (f), divided by line 13, column (f))	17	%
18	Investment income percentage from **2018** Schedule A, Part III, line 17	18	%

19a **33 1/3 % support tests - 2019.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3 %, and line 17 is not more than 33 1/3 %, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

b **33 1/3 % support tests - 2018.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3 %, and line 18 is not more than 33 1/3 %, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

20 **Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ▶ ☐

Part IV Supporting Organizations
(Complete only if you checked a box in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

			Yes	No
1	Are all of the organization's supported organizations listed by name in the organization's governing documents? *If "No," describe in* ***Part VI*** *how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.*	1		
2	Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? *If "Yes," explain in* ***Part VI*** *how the organization determined that the supported organization was described in section 509(a)(1) or (2).*	2		
3a	Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? *If "Yes," answer (b) and (c) below.*	3a		
b	Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? *If "Yes," describe in* ***Part VI*** *when and how the organization made the determination.*	3b		
c	Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? *If "Yes," explain in* ***Part VI*** *what controls the organization put in place to ensure such use.*	3c		
4a	Was any supported organization not organized in the United States ("foreign supported organization")? *If "Yes," and if you checked 12a or 12b in Part I, answer (b) and (c) below.*	4a		
b	Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? *If "Yes," describe in* ***Part VI*** *how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.*	4b		
c	Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? *If "Yes," explain in* ***Part VI*** *what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.*	4c		
5a	Did the organization add, substitute, or remove any supported organizations during the tax year? *If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in* ***Part VI****, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).*	5a		
b	**Type I or Type II only.** Was any added or substituted supported organization part of a class already designated in the organization's organizing document?	5b		
c	**Substitutions only.** Was the substitution the result of an event beyond the organization's control?	5c		
6	Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? *If "Yes," provide detail in* ***Part VI.***	6		
7	Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (as defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? *If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).*	7		
8	Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? *If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).*	8		
9a	Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? *If "Yes," provide detail in* ***Part VI.***	9a		
b	Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? *If "Yes," provide detail in* ***Part VI.***	9b		
c	Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? *If "Yes," provide detail in* ***Part VI.***	9c		
10a	Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? *If "Yes," answer 10b below.*	10a		
b	Did the organization have any excess business holdings in the tax year? *(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)*	10b		

Part IV Supporting Organizations *(continued)*

			Yes	No
11	Has the organization accepted a gift or contribution from any of the following persons?			
a	A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?	11a		
b	A family member of a person described in (a) above?	11b		
c	A 35% controlled entity of a person described in (a) or (b) above? *If "Yes" to a, b, or c, provide detail in* ***Part VI.***	11c		

Section B. Type I Supporting Organizations

			Yes	No
1	Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? *If "No," describe in* ***Part VI*** *how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.*	1		
2	Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? *If "Yes," explain in* ***Part VI*** *how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.*	2		

Section C. Type II Supporting Organizations

			Yes	No
1	Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? *If "No," describe in* ***Part VI*** *how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).*	1		

Section D. All Type III Supporting Organizations

			Yes	No
1	Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?	1		
2	Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? *If "No," explain in* ***Part VI*** *how the organization maintained a close and continuous working relationship with the supported organization(s).*	2		
3	By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? *If "Yes," describe in* ***Part VI*** *the role the organization's supported organizations played in this regard.*	3		

Section E. Type III Functionally Integrated Supporting Organizations

1 *Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (****see instructions****).*

a ☐ The organization satisfied the Activities Test. *Complete* ***line 2*** *below.*

b ☐ The organization is the parent of each of its supported organizations. *Complete* ***line 3*** *below.*

c ☐ The organization supported a governmental entity. *Describe in* ***Part VI*** *how you supported a government entity (see instructions).*

			Yes	No
2	Activities Test. ***Answer (a) and (b) below.***			
a	Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? *If "Yes," then in* ***Part VI identify those supported organizations and explain*** *how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.*	2a		
b	Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? *If "Yes," explain in* ***Part VI*** *the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.*	2b		
3	Parent of Supported Organizations. ***Answer (a) and (b) below.***			
a	Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? *Provide details in* ***Part VI.***	3a		
b	Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? *If "Yes," describe in* ***Part VI*** *the role played by the organization in this regard.*	3b		

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI). **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1 Net short-term capital gain	**1**		
2 Recoveries of prior-year distributions	**2**		
3 Other gross income (see instructions)	**3**		
4 Add lines 1 through 3.	**4**		
5 Depreciation and depletion	**5**		
6 Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	**6**		
7 Other expenses (see instructions)	**7**		
8 Adjusted Net Income (subtract lines 5, 6, and 7 from line 4)	**8**		

Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1 Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):			
a Average monthly value of securities	**1a**		
b Average monthly cash balances	**1b**		
c Fair market value of other non-exempt-use assets	**1c**		
d Total (add lines 1a, 1b, and 1c)	**1d**		
e Discount claimed for blockage or other factors (explain in detail in **Part VI**):			
2 Acquisition indebtedness applicable to non-exempt-use assets	**2**		
3 Subtract line 2 from line 1d.	**3**		
4 Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions).	**4**		
5 Net value of non-exempt-use assets (subtract line 4 from line 3)	**5**		
6 Multiply line 5 by .035.	**6**		
7 Recoveries of prior-year distributions	**7**		
8 Minimum Asset Amount (add line 7 to line 6)	**8**		

Section C - Distributable Amount			Current Year
1 Adjusted net income for prior year (from Section A, line 8, Column A)	**1**		
2 Enter 85% of line 1.	**2**		
3 Minimum asset amount for prior year (from Section B, line 8, Column A)	**3**		
4 Enter greater of line 2 or line 3.	**4**		
5 Income tax imposed in prior year	**5**		
6 Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions).	**6**		

7 ☐ Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions).

Part V **Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations** *(continued)*

Section D - Distributions		Current Year
1	Amounts paid to supported organizations to accomplish exempt purposes	
2	Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
3	Administrative expenses paid to accomplish exempt purposes of supported organizations	
4	Amounts paid to acquire exempt-use assets	
5	Qualified set-aside amounts (prior IRS approval required)	
6	Other distributions (describe in **Part VI**). See instructions.	
7	**Total annual distributions.** Add lines 1 through 6.	
8	Distributions to attentive supported organizations to which the organization is responsive (provide details in **Part VI**). See instructions.	
9	Distributable amount for 2019 from Section C, line 6	
10	Line 8 amount divided by line 9 amount	

	Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2019	(iii) Distributable Amount for 2019
1	Distributable amount for 2019 from Section C, line 6			
2	Underdistributions, if any, for years prior to 2019 (reasonable cause required - explain in **Part VI**). See instructions.			
3	Excess distributions carryover, if any, to 2019			
a	From 2014			
b	From 2015			
c	From 2016			
d	From 2017			
e	From 2018			
f	**Total** of lines 3a through e			
g	Applied to underdistributions of prior years			
h	Applied to 2019 distributable amount			
i	Carryover from 2014 not applied (see instructions)			
j	Remainder. Subtract lines 3g, 3h, and 3i from 3f.			
4	Distributions for 2019 from Section D, line 7: $			
a	Applied to underdistributions of prior years			
b	Applied to 2019 distributable amount			
c	Remainder. Subtract lines 4a and 4b from 4.			
5	Remaining underdistributions for years prior to 2019, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in **Part VI.** See instructions.			
6	Remaining underdistributions for 2019. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in **Part VI.** See instructions.			
7	**Excess distributions carryover to 2020.** Add lines 3j and 4c.			
8	Breakdown of line 7:			
a	Excess from 2015			
b	Excess from 2016			
c	Excess from 2017			
d	Excess from 2018			
e	Excess from 2019			

Part VI **Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions.)

Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of he Treasury
Internal Revenue Service

Schedule of Contributors

▶ **Attach to Form 990, Form 990-EZ, or Form 990-PF.**
▶ **Go to *www.irs.gov/Form990* for the latest information.**

OMB No. 1545-0047

2019

Name of the organization
CENTER FOR EDUCATIONAL INNOVATION

Employer identification number
[redacted]

Organization type (check one):

Filers of:	**Section:**
Form 990 or 990-EZ	[X] 501(c)(3) (enter number) organization
	[ ] 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	[ ] 527 political organization
Form 990-PF	[ ] 501(c)(3) exempt private foundation
	[ ] 4947(a)(1) nonexempt charitable trust treated as a private foundation
	[ ] 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule.**

Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

[ ] For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling $5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

[X] For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** $5,000; or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h; or (ii) Form 990-EZ, line 1. Complete Parts I and II.

[ ] For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

[ ] For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than $1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling $5,000 or more during the year . . . . . ▶ $ _____

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization CENTER FOR EDUCATIONAL INNOVATION

Employer identification number [redacted]

Part I **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	UNITED STATES DEPARTMENT OF EDUCATION 400 MARYLAND AVE SW WASHINGTON, DC 20202	$ 458,897.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
2	NEW YORK STATE EDUCATION DEPARTMENT 89 WASHINGTON AVENUE ALBANY, NY 12234	$ 559,951.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
3	NEW YORK COMMUNITY TRUST 909 3RD AVE NEW YORK, NY 10022	$ 205,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)

Name of organization CENTER FOR EDUCATIONAL INNOVATION [redacted]umber

Part II **Noncash Property** (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	

Name of organization CENTER FOR EDUCATIONAL INNOVATION | Employer identification number [redacted]

Part III ***Exclusively*** **religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than $1,000 for the year from any one contributor.** Complete columns **(a)** through **(e) and** the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of **$1,000 or less** for the year. (Enter this information once. See instructions.) ▶ $ _____
Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

SCHEDULE C
(Form 990 or 990-EZ)

Department of he Treasury
Internal Revenue Service

Political Campaign and Lobbying Activities

For Organizations Exempt From Income Tax Under section 501(c) and section 527

▶ **Complete if the organization is described below.** ▶ **Attach to Form 990 or Form 990-EZ.**
▶ **Go to *www.irs.gov/Form990* for instructions and the latest information.**

OMB No. 1545-0047

2019

Open to Public Inspection

If the organization answered "Yes," on Form 990, Part IV, line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then

- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

If the organization answered "Yes," on Form 990, Part IV, line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

If the organization answered "Yes," on Form 990, Part IV, line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then

- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

Name of organization	Employer identification number
CENTER FOR EDUCATIONAL INNOVATION	[redacted]

Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

1 Provide a description of the organization's direct and indirect political campaign activities in Part IV. (see instructions for definition of "political campaign activities")

2 Political campaign activity expenditures (see instructions) . . . . . ▶ $

3 Volunteer hours for political campaign activities (see instructions) . . . . . .

Part I-B Complete if the organization is exempt under section 501(c)(3).

1 Enter the amount of any excise tax incurred by the organization under section 4955 . . . . . ▶ $

2 Enter the amount of any excise tax incurred by organization managers under section 4955 . . ▶ $

3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? . . . . . ☐ Yes ☐ No

4a Was a correction made? . . . . . ☐ Yes ☐ No

b If "Yes," describe in Part IV.

Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).

1 Enter the amount directly expended by the filing organization for section 527 exempt function activities . . . . . ▶ $

2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities . . . . . ▶ $

3 Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL, line 17b . . . . . ▶ $

4 Did the filing organization file **Form 1120-POL** for this year? . . . . . ☐ Yes ☐ No

5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV.

	(a) Name	(b) Address	(c) EIN	(d) Amount paid from filing organization's funds. If none, enter -0-.	(e) Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-.
(1)					
(2)					
(3)					
(4)					
(5)					
(6)					

Part II-A **Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).**

A Check ▶ ☐ if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures).

B Check ▶ ☐ if the filing organization checked box A and "limited control" provisions apply.

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)	(a) Filing organization's totals	(b) Affiliated group totals
1a Total lobbying expenditures to influence public opinion (grassroots lobbying)		
b Total lobbying expenditures to influence a legislative body (direct lobbying)		
c Total lobbying expenditures (add lines 1a and 1b)		
d Other exempt purpose expenditures		
e Total exempt purpose expenditures (add lines 1c and 1d)		
f Lobbying nontaxable amount. Enter the amount from the following table in both columns.		
g Grassroots nontaxable amount (enter 25% of line 1f)		
h Subtract line 1g from line 1a. If zero or less, enter -0-		
i Subtract line 1f from line 1c. If zero or less, enter -0-		

If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:
Not over $500,000	20% of the amount on line 1e.
Over $500,000 but not over $1,000,000	$100,000 plus 15% of the excess over $500,000.
Over $1,000,000 but not over $1,500,000	$175,000 plus 10% of the excess over $1,000,000.
Over $1,500,000 but not over $17,000,000	$225,000 plus 5% of the excess over $1,500,000.
Over $17,000,000	$1,000,000.

j If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year? ☐ **Yes** ☐ **No**

4-Year Averaging Period Under Section 501(h)

(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the separate instructions for lines 2a through 2f.)

Lobbying Expenditures During 4-Year Averaging Period					
Calendar year (or fiscal year beginning in)	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) Total
2a Lobbying nontaxable amount					
b Lobbying ceiling amount (150% of line 2a, column (e))					
c Total lobbying expenditures					
d Grassroots nontaxable amount					
e Grassroots ceiling amount (150% of line 2d, column (e))					
f Grassroots lobbying expenditures					

Part II-B **Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).**

For each "Yes," response on lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.	(a) Yes	(a) No	(b) Amount
1 During the year, did the filing organization attempt to influence foreign, national, state, or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of:			
a Volunteers?		X	
b Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?		X	
c Media advertisements?		X	
d Mailings to members, legislators, or the public?		X	
e Publications, or published or broadcast statements?		X	
f Grants to other organizations for lobbying purposes?		X	
g Direct contact with legislators, their staffs, government officials, or a legislative body?		X	
h Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?		X	
i Other activities?	X		158,858.
j Total. Add lines 1c through 1i			158,858.
2a Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?			
b If "Yes," enter the amount of any tax incurred under section 4912			
c If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
d If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?		X	

Part III-A **Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).**

			Yes	No
1	Were substantially all (90% or more) dues received nondeductible by members?	1		
2	Did the organization make only in-house lobbying expenditures of $2,000 or less?	2		
3	Did the organization agree to carry over lobbying and political campaign activity expenditures from the prior year?	3		

Part III-B **Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No" OR (b) Part III-A, line 3, is answered "Yes."**

1	Dues, assessments and similar amounts from members	1	
2	Section 162(e) nondeductible lobbying and political expenditures **(do not include amounts of political expenses for which the section 527(f) tax was paid).**		
a	Current year	2a	
b	Carryover from last year	2b	
c	Total	2c	
3	Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues	3	
4	If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year?	4	
5	Taxable amount of lobbying and political expenditures (see instructions)	5	

Part IV **Supplemental Information**

Provide the descriptions required for Part I-A, line 1; Part I-B, line 4; Part I-C, line 5; Part II-A (affiliated group list); Part II-A, lines 1 and 2 (see instructions); and Part II-B, line 1. Also, complete this part for any additional information.

SEE PAGE 4

Part IV Supplemental Information *(continued)*

PART II-B, LINE 1

CEI USES A LAW FIRM TO MEET ON ITS BEHALF WITH NEW YORK STATE ASSEMBLY AND SENATE MEMBERS TO SECURE FUNDING THROUGH SPECIAL LEGISLATIVE GRANTS TO SUPPORT PROJECT BOOST, WHICH IS A SCHOOL-BASED PROGRAM FOR NYC PUBLIC SCHOOL MIDDLE GRADE LEVEL STUDENTS. CEI DOES NOT USE THIS FIRM TO INFLUENCE OR CHANGE PUBLIC OPINION.

SCHEDULE D (Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.

▶ Attach to Form 990.

▶ Go to *www.irs.gov/Form990* for instructions and the latest information.

OMB No. 1545-0047

2019

Open to Public Inspection

Name of the organization

CENTER FOR EDUCATIONAL INNOVATION

Employer identification number

[redacted]

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Acc

Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

		(a) Donor advised funds	(b) Funds and other accounts
1	Total number at end of year		
2	Aggregate value of contributions to (during year)		
3	Aggregate value of grants from (during year)		
4	Aggregate value at end of year		

5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? ☐ Yes ☐ No

6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? ☐ Yes ☐ No

Part II Conservation Easements.

Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).

☐ Preservation of land for public use (for example, recreation or education)
☐ Protection of natural habitat
☐ Preservation of open space
☐ Preservation of a historically important land area
☐ Preservation of a certified historic structure

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

		Held at the End of the Tax Year
a	Total number of conservation easements	2a
b	Total acreage restricted by conservation easements	2b
c	Number of conservation easements on a certified historic structure included in (a)	2c
d	Number of conservation easements included in (c) acquired after 7/25/06, and not on a historic structure listed in the National Register	2d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ _____

4 Number of states where property subject to conservation easement is located ▶ _____

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? ☐ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ _____

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ $ _____

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? ☐ Yes ☐ No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under FASB ASC 958, not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide in Part XIII the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under FASB ASC 958, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1. ▶ $ _____

(ii) Assets included in Form 990, Part X. ▶ $ _____

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under FASB ASC 958 relating to these items:

a Revenue included on Form 990, Part VIII, line 1. ▶ $ _____

b Assets included in Form 990, Part X. ▶ $

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets *(continued)*

3 Using the organization's acquisition, accession, and other records, check any of the following that make significant use of its collection items (check all that apply):

- a ☐ Public exhibition
- b ☐ Scholarly research
- c ☐ Preservation for future generations
- d ☐ Loan or exchange program
- e ☐ Other _____

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? ☐ Yes ☐ No

Part IV Escrow and Custodial Arrangements.
Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIII and complete the following table:

		Amount
c Beginning balance	1c	
d Additions during the year	1d	
e Distributions during the year	1e	
f Ending balance	1f	

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII ☐

Part V Endowment Funds.
Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance					
b Contributions					
c Net investment earnings, gains, and losses					
d Grants or scholarships					
e Other expenditures for facilities and programs					
f Administrative expenses					
g End of year balance					

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

- a Board designated or quasi-endowment ▶ _____ %
- b Permanent endowment ▶ _____ %
- c Term endowment ▶ _____ %

The percentages on lines 2a, 2b, and 2c should equal 100%.

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

		Yes	No
(i) Unrelated organizations	3a(i)		
(ii) Related organizations	3a(ii)		
b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R?	3b		

4 Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.
Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements		20,012.	10,251.	9,761.
d Equipment		62,266.	58,578.	3,688.
e Other		36,323.	21,465.	14,858.
Total. Add lines 1a through 1e. *(Column (d) must equal Form 990, Part X, column (B), line 10c.)* ▶				28,307.

Schedule D (Form 990) 2019

Part VII Investments - Other Securities.
Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely held equity interests		
(3) Other		
(A)		
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 12)* ▶		

Part VIII Investments - Program Related.
Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 13)* ▶		

Part IX Other Assets.
Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 15.)* ▶	

Part X Other Liabilities.
Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) REFUNDABLE ADVANCE	260,700.
(3) LOAN PAYABLE	150,000.
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 25.)* ▶	410,700.

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FASB ASC 740. Check here if the text of the footnote has been provided in Part XIII ☐

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.
Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements		1	4,962,238.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:			
a	Net unrealized gains (losses) on investments	2a		
b	Donated services and use of facilities	2b		
c	Recoveries of prior year grants	2c		
d	Other (Describe in Part XIII.)	2d		
e	Add lines **2a** through **2d**		2e	
3	Subtract line **2e** from line **1**		3	4,962,238.
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:			
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a		
b	Other (Describe in Part XIII.)	4b		
c	Add lines **4a** and **4b**		4c	
5	Total revenue. Add lines **3** and **4c**. *(This must equal Form 990, Part I, line 12.)*		5	4,962,238.

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.
Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements		1	5,593,583.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:			
a	Donated services and use of facilities	2a		
b	Prior year adjustments	2b		
c	Other losses	2c		
d	Other (Describe in Part XIII.)	2d		
e	Add lines **2a** through **2d**		2e	
3	Subtract line **2e** from line **1**		3	5,593,583.
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:			
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a		
b	Other (Describe in Part XIII.)	4b		
c	Add lines **4a** and **4b**		4c	
5	Total expenses. Add lines **3** and **4c**. *(This must equal Form 990, Part I, line 18.)*		5	5,593,583.

Part XIII Supplemental Information.

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

Part XIII Supplemental Information *(continued)*

SCHEDULE G
(Form 990 or 990-EZ)

Department of he Treasury
Internal Revenue Service

Supplemental Information Regarding Fundraising or Gaming Activities

Complete if the organization answered "Yes" on Form 990, Part IV, line 17, 18, or 19, or if the organization entered more than $15,000 on Form 990-EZ, line 6a.

▶ Attach to Form 990 or Form 990-EZ.

▶ Go to *www.irs.gov/Form990* for instructions and the latest information.

OMB No. 1545-0047

2019

Open to Public Inspection

Name of the organization

CENTER FOR EDUCATIONAL INNOVATION

Employer identification number

[redacted]

Part I **Fundraising Activities.** Complete if the organization answered "Yes" on Form 990, Part IV, line 17. Form 990-EZ filers are not required to complete this part.

1 Indicate whether the organization raised funds through any of the following activities. Check all that apply.

- a [X] Mail solicitations
- b [ ] Internet and email solicitations
- c [ ] Phone solicitations
- d [ ] In-person solicitations
- e [ ] Solicitation of non-government grants
- f [ ] Solicitation of government grants
- g [X] Special fundraising events

2a Did the organization have a written or oral agreement with any individual (including officers, directors, trustees, or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services? [ ] Yes [ ] No

b If "Yes," list the 10 highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least $5,000 by the organization.

	(i) Name and address of individual or entity (fundraiser)	(ii) Activity	(iii) Did fundraiser have custody or control of contributions? Yes	(iii) No	(iv) Gross receipts from activity	(v) Amount paid to (or retained by) fundraiser listed in col. (i)	(vi) Amount paid to (or retained by) organization
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
Total ▶					596,730.	54,084.	542,646.

3 List all states in which the organization is registered or licensed to solicit contributions or has been notified it is exempt from registration or licensing.

NY,

Part II **Fundraising Events.** Complete if the organization answered "Yes" on Form 990, Part IV, line 18, or reported more than $15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than $5,000.

		(a) Event #1 GALA (event type)	(b) Event #2 (event type)	(c) Other events (total number)	(d) Total events (add col. (a) through col. (c))
Revenue	1 Gross receipts	596,730.			596,730.
	2 Less: Contributions	36,465.			36,465.
	3 Gross income (line 1 minus line 2)	560,265.			560,265.
Direct Expenses	4 Cash prizes				
	5 Noncash prizes				
	6 Rent/facility costs				
	7 Food and beverages				
	8 Entertainment				
	9 Other direct expenses	182,527.			182,527.
	10 Direct expense summary. Add lines 4 through 9 in column (d) ▶				182,527.
	11 Net income summary. Subtract line 10 from line 3, column (d) ▶				377,738.

Part III **Gaming.** Complete if the organization answered "Yes" on Form 990, Part IV, line 19, or reported more than $15,000 on Form 990-EZ, line 6a.

		(a) Bingo	(b) Pull tabs/instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col. (a) through col. (c))
Revenue	1 Gross revenue				
Direct Expenses	2 Cash prizes				
	3 Noncash prizes				
	4 Rent/facility costs				
	5 Other direct expenses				
	6 Volunteer labor	☐ Yes ____ % ☐ No	☐ Yes ____ % ☐ No	☐ Yes ____ % ☐ No	
	7 Direct expense summary. Add lines 2 through 5 in column (d) ▶				
	8 Net gaming income summary. Subtract line 7 from line 1, column (d) ▶				

9 Enter the state(s) in which the organization conducts gaming activities: _____

a Is the organization licensed to conduct gaming activities in each of these states? ☐ Yes ☐ No

b If "No," explain: _____

10a Were any of the organization's gaming licenses revoked, suspended, or terminated during the tax year? ☐ Yes ☐ No

b If "Yes," explain: _____

11 Does the organization conduct gaming activities with nonmembers? . . . . . ☐ Yes ☐ No

12 Is the organization a grantor, beneficiary or trustee of a trust or a member of a partnership or other entity formed to administer charitable gaming? . . . . . ☐ Yes ☐ No

13 Indicate the percentage of gaming activity conducted in:

a	The organization's facility	13a	%
b	An outside facility	13b	%

14 Enter the name and address of the person who prepares the organization's gaming/special events books and records:

Name ▶ _____

Address ▶ _____

15 a Does the organization have a contract with a third party from whom the organization receives gaming revenue? . . . . . ☐ Yes ☐ No

b If "Yes," enter the amount of gaming revenue received by the organization ▶ $ _____ and the amount of gaming revenue retained by the third party ▶ $ _____.

c If "Yes," enter name and address of the third party:

Name ▶ _____

Address ▶ _____

16 Gaming manager information:

Name ▶ _____

Gaming manager compensation ▶ $ _____

Description of services provided ▶ _____

☐ Director/officer ☐ Employee ☐ Independent contractor

17 Mandatory distributions:

a Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license? . . . . . ☐ Yes ☐ No

b Enter the amount of distributions required under state law to be distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ▶ $

Part IV **Supplemental Information.** Provide the explanation required by Part I, line 2b, columns (iii) and (v), and Part III, lines 9, 9b, 10b, 15b, 15c, 16, and 17b, as applicable. Also provide any additional information (see instructions).

SCHEDULE I
(Form 990)

Department of he Treasury
Internal Revenue Service

Grants and Other Assistance to Organizations, Governments, and Individuals in the United States

Complete if the organization answered "Yes" on Form 990, Part IV, line 21 or 22.

▶ Attach to Form 990.

▶ Go to *www.irs.gov/Form990* for the latest information.

OMB No. 1545-0047

2019

Open to Public Inspection

Name of the organization

CENTER FOR EDUCATIONAL INNOVATION

Employer identification number

[redacted]

Part I General Information on Grants and Assistance

1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . . . [X] Yes [ ] No

2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

Part II Grants and Other Assistance to Domestic Organizations and Domestic Governments. Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than $5,000. Part II can be duplicated if additional space is needed.

1 (a) Name and address of organization or government	(b) EIN	(c) IRC section (if applicable)	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of noncash assistance	(h) Purpose of grant or assistance
(1) FREDERICK DOUGLASS ACADEMY [redacted]	[redacted]		22,722.				AFTER SCHOOL PROGRAM
(2)							
(3)							
(4)							
(5)							
(6)							
(7)							
(8)							
(9)							
(10)							
(11)							
(12)							

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table . . . . . ▶ 1.

3 Enter total number of other organizations listed in the line 1 table . . . . . ▶

Part III **Grants and Other Assistance to Domestic Individuals.** Complete if the organization answered "Yes" on Form 990, Part IV, line 22. Part III can be duplicated if additional space is needed.

	(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of non-cash assistance
1						
2						
3						
4						
5						
6						
7						

Part IV **Supplemental Information.** Provide the information required in Part I, line 2, Part III, column (b); and any other additional information.

SCHEDULE J (Form 990)

Department of the Treasury
Internal Revenue Service

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 23.**
▶ **Attach to Form 990.**
▶ **Go to *www.irs.gov/Form990* for instructions and the latest information.**

OMB No. 1545-0047

2019

Open to Public Inspection

Name of the organization

CENTER FOR EDUCATIONAL INNOVATION

Employer identification number

[redacted]

Part I Questions Regarding Compensation

			Yes	No
1a	Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.			
	☐ First-class or charter travel	☐ Housing allowance or residence for personal use		
	☐ Travel for companions	☐ Payments for business use of personal residence		
	☒ Tax indemnification and gross-up payments	☐ Health or social club dues or initiation fees		
	☐ Discretionary spending account	☐ Personal services (such as maid, chauffeur, chef)		
b	If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain	**1b**		
2	Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, and officers, including the CEO/Executive Director, regarding the items checked on line 1a?	**2**		
3	Indicate which, if any, of the following the organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.			
	☒ Compensation committee	☐ Written employment contract		
	☐ Independent compensation consultant	☒ Compensation survey or study		
	☒ Form 990 of other organizations	☒ Approval by the board or compensation committee		
4	During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:			
a	Receive a severance payment or change-of-control payment?	**4a**		X
b	Participate in, or receive payment from, a supplemental nonqualified retirement plan?	**4b**		X
c	Participate in, or receive payment from, an equity-based compensation arrangement?	**4c**		X
	If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.			
	Only section 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.			
5	For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:			
a	The organization?	**5a**		X
b	Any related organization?	**5b**		X
	If "Yes" on line 5a or 5b, describe in Part III.			
6	For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:			
a	The organization?	**6a**		X
b	Any related organization?	**6b**		X
	If "Yes" on line 6a or 6b, describe in Part III.			
7	For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described on lines 5 and 6? If "Yes," describe in Part III.	**7**		X
8	Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III	**8**		X
9	If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?	**9**		

Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees. Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported on Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii). Do not list any individuals that aren't listed on Form 990, Part VII.

Note: The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

	(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensa ion	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
			(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
1	MICHAEL KOHLHAGEN CHIEF EXECUTIVE OFFICER	(i)	198,450.	0.	0.			198,450.	
		(ii)	0.	0.	0.		25,970.	25,970.	
2		(i)							
		(ii)							
3		(i)							
		(ii)							
4		(i)							
		(ii)							
5		(i)							
		(ii)							
6		(i)							
		(ii)							
7		(i)							
		(ii)							
8		(i)							
		(ii)							
9		(i)							
		(ii)							
10		(i)							
		(ii)							
11		(i)							
		(ii)							
12		(i)							
		(ii)							
13		(i)							
		(ii)							
14		(i)							
		(ii)							
15		(i)							
		(ii)							
16		(i)							
		(ii)							

Part III Supplemental Information

Provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.

SCHEDULE O (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.

▶ **Attach to Form 990 or 990-EZ.**

▶ **Information about Schedule O (Form 990 or 990-EZ) and its instructions is at *www.irs.gov/form990.***

OMB No. 1545-0047

2019

Open to Public Inspection

Name of the organization

CENTER FOR EDUCATIONAL INNOVATION

Employer identification number

[redacted]

FORM 990 PART VI, SECTION B,LINE 11B

A DRAFT OF IRS FORM 990 WAS DISCUSSED AND REVIEWED WITH THE BOARD OF TRUSTEES' FINANCE/AUDIT COMMITTEE. SUBSEQUENTLY IT WAS PROVIDED TO THE FULL BOARD OF TRUSTEES FOR REVIEW, DISCUSSION, AND NOTATION OF PROPOSED CHANGES. THE BUSINESS OFFICE IS RESPONSIBLE FOR THE PREPARATION OF FORM 990, AND PRESENTED THE DOCUMENT TO BOTH THE FINANCE/AUDIT AND ADMINISTRATIVE COMMITTEE AND BOARD OF TRUSTEES. A FINAL COPY WAS DISTRIBUTED TO ALL MEMBERS OF THE BOARD OF TRUSTEES.

FORM 990 PART VI, SECTION B, LINE 12C

ON AN ANNUAL BASIS, ANY CONFLICT OF INTEREST CONCERNS ARE REVIEWED AND RESOLVED ALL BOARD MEMBERS, OFFICERS, KEY EMPLOYEES, AND PROGRAM DIRECTORS ARE REQUIRED TO COMPLETE, AND SIGN, A DISCLOSURE STATEMENT, WHICH IS REVIEWED BY THE PRESIDENT AND CEO. ALL REAL/POTENTIAL CONFLICTS WILL BE ADDRESSED ON A CASE-BY-CASE BASIS WITH THE MEMBER IN CONFLICT EXCUSED FROM VOTING. THERE WERE NO SITUATIONS OF THIS NATURE FOR THE 2020 FISCAL YEAR.

PART III , LINE -ORGANIZATION'S MISSION

EFFECTIVE PUBLIC EDUCATION IS ESSENTIAL TO THE SUCCESS OF A DEMOCRATIC SOCIETY. THE MISSION OF CENTER FOR EDUCATIONAL INNOVATION (CEI) IS THREEFOLD: 1) ASSIST PUBLIC SCHOOLS IN NEW YORK CITY AND OTHER COMMUNITIES IN IMPROVING THE QUALITY OF PUBLIC EDUCATION. OUR PROFESSIONAL EXPERIENCE AND EXPERTISE HELP SCHOOLS

Name of the organization: CENTER FOR EDUCATIONAL INNOVATION

Employer identification number: [redacted]

TO CREATE MORE PRODUCTIVE ENVIRONMENTS IN WHICH STUDENTS THRIVE ACADEMICALLY, SOCIALLY AND EMOTIONALLY. WITH OUR SUPPORT, SCHOOLS DEVELOP BETTER LEADERSHIP, BETTER TEACHING AND BETTER SYSTEMS OF ACCOUNTABILITY; 2) BASED UPON CEI'S WORK WITH INDIVIDUAL SCHOOLS, ADVOCATE FOR POLICIES AND PRACTICES THAT WILL LEAD TO SUCCESSFUL SCHOOLS; 3) PROVIDE INFORMATION TO THE PUBLIC ABOUT THE IMPORTANCE OF QUALITY PUBLIC EDUCATION AND THE MEANS OF ACHIEVING IT. TO THOSE ENDS, CEI ASSISTS LARGE SCHOOLS TO RESTRUCTURE INTO SETS OF SMALLER LEARNING COMMUNITIES, WORKS WITH TEAMS TO CREATE AND DEVELOP CHARTER SCHOOLS, TRAINS PRINCIPALS IN EFFECTIVE LEADERSHIP SKILLS, AND FACILITATES COLLABORATION BETWEEN TRADITIONAL PUBLIC SCHOOLS AND INDEPENDENT CHARTER SCHOOLS.

FORM 990, PART VI SECTION B, LINE 15A
COMPENSATION OF CEI'S CEO IS BASED UPON A COMPENSATION REPORT. THIS WAS LAST PREPARED AND PRESENTED FOR REVIEW IN FISCAL YEAR 2019.

FORM 990, PART VI, SECTION C, LINE 13
THESE DOCUMENTS ARE AVAILABE UPON REQUEST.

ATTACHMENT 1

FORM 990, PART III, LINE 1 - ORGANIZATION'S MISSION

EFFECTIVE PUBLIC EDUCATION IS ESSENTIAL TO THE SUCCESS OF A DEMOCRATIC SOCIETY. THE MISSION OF CENTER FOR EDUCATIONAL INNOVATION (CEI) IS THREEFOLD: 1) ASSIST PUBLIC SCHOOLS IN NEW YORK CITY AND OTHER COMMUNITIES IN IMPROVING THE QUALITY OF PUBLICEDUCATION. OUR PROFESSIONAL EXPERIENCE AND EXPERTISE HELP SCHOOLS TO CREATE MORE PRODUCTIVE ENVIRONMENTS IN WHICH STUDENTS

Name of the organization
CENTER FOR EDUCATIONAL INNOVATION

Employer identification number
[redacted]

ATTACHMENT 1 (CONT'D)

FORM 990, PART III, LINE 1 - ORGANIZATION'S MISSION

THRIVEACADEMICALLY, SOCIALLY AND EMOTIONALLY. WITH OUR SUPPORT, SCHOOLS DEVELOP BETTER LEADERSHIP, BETTER TEACHING AND BETTER SYSTEMS OFACCOUNTABILITY; 2) BASED UPON CEI'S WORK WITH INDIVIDUAL SCHOOLS,ADVOCATE FOR POLICIES AND PRACTICES THAT WILL LEAD TO SUCCESSFUL SCHOOLS; 3) PROVIDE INFORMATION TO THE PUBLIC ABOUT THE IMPORTANCEOF QUALITY PUBLIC EDUCATION AND THE MEANS OF ACHIEVING IT. TO THOSEENDS, CEI ASSISTS LARGE SCHOOLS TO RESTRUCTURE INTO SETS OF SMALLER LEARNING COMMUNITIES, WORKS WITH TEAMS TO CREATE AND DEVELOP CHARTER SCHOOLS, TRAINS PRINCIPALS IN EFFECTIVE LEADERSHIP SKILLS,AND FACILITATES COLLABORATION BETWEEN TRADITIONAL PUBLIC SCHOOLSAND INDEPENDENT CHARTER SCHOOLS.

ATTACHMENT 2

FORM 990, PART III - PROGRAM SERVICE, LINE 4A

PARTNERSHIP FOR INNOVATION IN COMPENSATION FOR CHARTER SCHOOLS (TIF/PICCS)- THROUGH THE PICCS PROGRAM CEI HAS BEEN ABLE TO SUPPORT EDUCATORS AND SCHOOL LEADERS TO BECOME HIGHLY EFFECTIVE PROFESSIONALS IN THE FOLLOWING WAYS - FOSTER AUTHENTIC COLLABORATION AT ALL LEVELS OF THE SCHOOL THROUGH PROFESSIONAL LEARNING COMMUNITIES (PLCS) THAT USE DATA TO RESEARCH STUDENT LEARNING CHALLENGES AND CREATE SHARED ACTION STRATEGIES - SUPPORT TEACHER EFFECTIVENESS THROUGH OBSERVATIONS USING THE DANIELSON FRAMEWORK - SUPPORT PRINCIPAL EFFECTIVENESS THROUGH THE USE OF THE VANDERBILT ASSESSMENT OF LEADERSHIP IN EDUCATION (VAL-ED) -PROVIDE A COMPREHENSIVE EDUCATOR AND SCHOOL LEADER EVALUATION SYSTEM THAT

Name of the organization
CENTER FOR EDUCATIONAL INNOVATION

Employer identification number
[redacted]

ATTACHMENT 2 (CONT'D)

INTEGRATES MEASURES OF PROFESSIONAL PRACTICE AND STUDENT OUTCOMES TO PROVIDE EDUCATORS WITH AN ANNUAL REVIEW TIEDTO COMPENSATION - OFFER EXTENSIVE PROFESSIONAL DEVELOPMENT AND A STRUCTURE TO PARTICIPATE IN INSTRUCTIONAL ROUNDS ACROSS AND WITHIN SCHOOLS - ASSIST SCHOOLS IN CREATING A PERFORMANCE-BASED SALARY SCHEDULE AND TEACHER CAREER LADDER THAT ALLOWS EFFECTIVE TEACHERS TO ADVANCE THEIR CAREER WITHOUT LEAVING THE CLASSROOM - HONE THE INSTRUCTIONAL AND LEADERSHIP EXPERTISE NEEDED TO DRAMATICALLY IMPROVE STUDENT ACHIEVEMENT, REWARDING OUR MOST EFFECTIVE EDUCATORS, AND ACHIEVING HIGH LEVELS OF PERFORMANCE FOR ALL STUDENTS AND TEACHERS.

ATTACHMENT 3

FORM 990, PART III - PROGRAM SERVICE, LINE 4C

PROJECT BOOST (BUILDING OPTIONS AND OPPORTUNITIES FOR STUDENTS)IS ONE OF CEI'S OLDEST PROGRAMS, WHICH TARGETS ELEMENTARY AND MIDDLE SCHOOL STUDENTS IN 5TH THROUGH 9TH GRADE WHO HAVE DEMONSTRATED ACADEMIC TALENTS BUT DO NOT HAVE THE FINANCIAL RESOURCES NECESSARY TO CULTIVATE AND ENRICH THEIR ACADEMIC QUALITY. THE OVERALL GOAL OF THE PROGRAM IS TO ASSIST AND TO INSPIRE PARTICIPATING STUDENTSIN GAINING ADMISSION TO THE HIGH-QUALITY HIGH SCHOOLS. CEI OFFERS A TRIANGLE OF SERVICES TO BUILD ACADEMIC, CULTURAL, SOCIAL AND SERVICE SKILLS NECESSARY FOR LONG-TERM STUDENT GROWTH, ACADEMIC ENRICHMENT, CULTURAL ENRICHMENT AND COMMUNITY SERVICE. OVER THE

Name of the organization
CENTER FOR EDUCATIONAL INNOVATION

Employer identification number
[redacted]

ATTACHMENT 3 (CONT'D)

PAST TEN YEARS OF ITS OPERATION, PROJECT BOOST HAS GROWN TO INCLUDE A WIDE RANGE OF ACTIVITIES AND RESOURCES THROUGH PARTNERSHIPS WITH SOME OF NYC'S FINEST ACADEMIC, SOCIAL, AND CULTURAL INSTITUTIONS. PROJECT BOOST ALSO ENCOURAGES THE STUDENT TO TAKE FULL ADVANTAGE OF THE OPPORTUNITIES AFFORDED TO THEM, BUT ALSO EMPHASIZES THE NEED TO GIVE BACK TO THE COMMUNITIES. STUDENTS ARE TAUGHT THAT REGARDLESS OF THEIR SOCIO-ECONOMIC BACKGROUND, THEY CAN MAKE FUNDAMENTAL CONTRIBUTIONS TO SOCIETY BY GIVING OF THEMSELVES THROUGH SERVICE. IN ADDITION , THORUGH THE EARLY STAGES PROGRAM, PROJECT BOOST HAS PROVIDED FREE AND SIGNIFICANTLY REDUCED-COSTTHEATRE TICKETS TO UNDERSERVED SCHOOLS AND THEIR STUDENTS. THIS HAS AFFORDED THE OPPORTUNITY FOR EXPOSURE TO THE PERFORMING ARTS, WHICH INCLUDED ATTENDANCE AT NYC'S MOST RENOWNED PERFORMING ARTS VENUES, SUCH AS BROADWAY THEATRES, LINCOLN CENTER, AND CARNEGIE HALL, AND TO PROVIDE MULTIPLE OPPORTUNITIES FOR STUDENTS TO RESPOND TO THE THEATRE THROUGH WORKSHOPS, DISCUSSIONS, AND WRITING (SINCE ITSINCEPTION OVER 5,000 TICKETS HAVE BEEN MADE AVAILABLE TOSTUDENTS). TO ACCOMPLISH THE GOALS OF PROJECT BOOST, THE PROGRAM

IN ADDITION, THROUGH THE EARLY STAGES PROGRAM ,PROJECT BOOST HAS PROVIDES FUNDING FOR CULTURAL ENRICHMENT EXPERIENCES, TEST PREPARATION, ACADEMIC GUIDANCE, COLLEGE VISITATIONS, AND COMMUNITY SERVICE OPPORTUNITIES.

Name of the organization
CENTER FOR EDUCATIONAL INNOVATION

Employer identification number
[redacted]

ATTACHMENT 4

990, PART VII- COMPENSATION OF THE FIVE HIGHEST PAID IND. CONTRACTORS

NAME AND ADDRESS	DESCRIPTION OF SERVICES	COMPENSATION
ALICE P BARTLEY, PHD 28 WEST 44TH STREET NEW YORK, NY 10036	EDUCATION CONSULTING	187,469.

ATTACHMENT 5

FORM 990, PART IX - OTHER FEES

DESCRIPTION	(A) TOTAL FEES	(B) PROGRAM SERVICE EXP.	(C) MANAGEMENT AND GENERAL	(D) FUNDRAISING EXPENSES
PROGRAM CONSULTING SERVICES	1,591,618.	1,169,909.	363,275.	58,434.
TOTALS	1,591,618.	1,169,909.	363,275.	58,434.

ATTACHMENT 6

FORM 990, PART X - PREPAID EXPENSES AND DEFERRED CHARGES

DESCRIPTION	ENDING BOOK VALUE
PREPAID EXPENSE AND DEFFERED C	16,478.
TOTALS	16,478.

ATTACHMENT 7

FORM 990, PART X - INVESTMENTS - PUBLICLY TRADED SECURITIES

DESCRIPTION	ENDING BOOK VALUE	COST OR FMV
PUBLICLY TRADED SEC.	495,124.	COST
TOTALS	495,124.	

[redacted]

Payment/Deposit Information Report

Taxpayer Name:

Tax Juris.	Payment Deposit	Amount	Financial Institution Name	Account Type	Routing Number	Account Number
NY 500	CHECK	25.				

FULVIO & ASSOCIATES, L.L.P.
CERTIFIED PUBLIC ACCOUNTANTS
5 W. 37th Street, 4th Fl.
NEW YORK, NY 10018

CENTER FOR EDUCATIONAL INNOVATION
Instructions for Filing
Form CHAR500
New York State Annual Filing for Charitable Organizations
For the year ended June 30, 2020

The original return should be signed (use full name) and dated on page 1 by two authorized officers of the organization, including the chief fiscal officer.

File the signed return as soon as possible with:

NYS Office of the AG, Charities Bureau Registration Section
28 Liberty Street
New York, NY 10005

A check or money order payable to "Department of Law" in the amount of $25 should be attached to the return. Be sure to include the federal EIN and "2019 Form CHAR500" on the check.

To document the timely filing of your tax return(s), we suggest that you obtain and retain proof of mailing. Proof of mailing can be accomplished by sending the tax return(s) by registered or certified mail (metered by the U.S. Postal Service) or through the use of an IRS approved delivery method provided by an IRS designated private delivery service.

CHAR500

NYS Annual Filing for Charitable Organizations
www.CharitiesNYS.com

Send with fee and attachments to:
NYS Office of the Attorney General
Charities Bureau Registration Section
28 Liberty Street
New York, NY 10005

2019
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1. General Information

For Fiscal Year Beginning (mm/dd/yyyy) 07 / 01 / **2019** and Ending (mm/dd/yyyy) 06 / 30 / 2020

Check if Applicable:
- [ ] Address Change
- [ ] Name Change
- [ ] Initial Filing
- [ ] Final Filing
- [X] Amended Filing
- [ ] Reg ID Pending

Name of Organization: CENTER FOR EDUCATIONAL INNOVATION

Mailing Address: 28 WEST 44TH STREET SUITE 801

City / State / Zip: NEW YORK, NY 10036

Website: THE-CEI.ORG

Employer Identification Number (EIN):

NY Regis [redacted]

Telephon [redacted]

Email: INFO@THE-CEI.ORG

Check your organization's registration category: [X] 7A only [ ] EPTL only [ ] DUAL (7A & EPTL) [ ] EXEMPT* Confirm your Registration Category in the Charities Registry at www.CharitiesNYS.com.

2. Certification

See instructions for certification requirements. Improper certification is a violation of law that may be subject to penalties. The certification requires two signatories.

We certify under penalties of perjury that we reviewed this report, including all attachments, and to the best of our knowledge and belief, they are true, correct and complete in accordance with the laws of the State of New York applicable to this report.

President or Authorized Officer: Sign [redacted] CHIEF EXE. OFFICER — int Name and Title — Date 9/30/2021

Chief Financial Officer or Treasurer: Sign [redacted] CFO — int Name and Title — Date 9/30/2021

3. Annual Reporting Exemption

Check the exemption(s) that apply to your filing. If your organization is claiming an exemption under one category (7A or EPTL only filers) or both categories (DUAL filers) that apply to your registration, complete only parts 1, 2, and 3, and submit the certified Char500. No fee, schedules, or additional attachments are required. If you cannot claim an exemption or are a DUAL filer that claims only one exemption, you must file applicable schedules and attachments and pay applicable fees.

- [ ] 3a. 7A filing exemption: Total contributions from NY State including residents, foundations, government agencies, etc. did not exceed $25,000 and the organization did not engage a professional fund raiser (PFR) or fund raising counsel (FRC) to solicit contributions during the fiscal year.

- [ ] 3b. EPTL filing exemption: Gross receipts did not exceed $25,000 and the market value of assets did not exceed $25,000 at any time during the the fiscal year.

4. Schedules and Attachments

See the following page for a checklist of schedules and attachments to complete your filing.

- [X] Yes [ ] No 4a. Did your organization use a professional fund raiser, fund raising counsel or commercial co-venturer for fund raising activity in NY State? If yes, complete Schedule 4a.
- [X] Yes [ ] No 4b. Did the organization receive government grants? If yes, complete Schedule 4b.

5. Fee

See the checklist on the next page to calculate your fee(s). Indicate fee(s) you are submitting here:	7A filing fee:	EPTL filing fee:	Total fee:	Make a single check or money order payable to:
	$ 25.	$	$ 25.	**"Department of Law"**

CHAR500 Annual Filing for Charitable Organizations (Updated January 2020)
*The "Exempt" category refers to an organization's NYS registration status. It does not refer to its IRS tax designation.

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CHAR500

Annual Filing Checklist

Simply submit the certified CHAR500 with no fee, schedule, or additional attachments IF:
- Your organization is registered as 7A only and you marked the 7A filing exemption in Part 3.
- Your organization is registered as EPTL only and you marked the EPTL filing exemption in Part 3.
- Your organization is registered as DUAL and you marked both the 7A and EPTL filing exemption in Part 3.

Checklist of Schedules and Attachments

Check the schedules you must submit with your CHAR500 as descr bed in Part 4:

[X] If you answered "yes" in Part 4a, submit Schedule 4a: Professional Fund Raisers (PFR), Fund Raising Counsel (FRC), Commercial Co-Venturers (CCV)

[X] If you answered "yes" in Part 4b, submit Schedule 4b: Government Grants

Check the financial attachments you must submit with your CHAR500:

[X] IRS Form 990, 990-EZ, or 990-PF, and 990-T if applicable

[X] All additional IRS Form 990 Schedules, including Schedule B (Schedule of Contr butors). Schedule B of public charities is exempt from disclosure and will not be available for public review.

[ ] Our organization was eligible for and filed an IRS 990-N e-postcard. Our revenue exceeded $25,000 and/or our assets exceeded $25,000 in the filing year. We have included an IRS Form 990-EZ for state purposes only.

If you are a 7A only or DUAL filer, submit the applicable independent Certified Public Accountant's Review or Audit Report:

[ ] Review Report if you received total revenue and support greater than $250,000 and up to $750,000.

[X] Audit Report if you received total revenue and support greater than $750,000

[ ] No Review Report or Audit Report is required because total revenue and support is less than $250,000

[ ] We are a DUAL filer and checked box 3a, no Review Report or Audit Report is required

Calculate Your Fee

For 7A and DUAL filers, calculate the 7A fee:

[ ] $0, if you checked the 7A exemption in Part 3a

[X] $25, if you did not check the 7A exemption in Part 3a

For EPTL and DUAL filers, calculate the EPTL fee:

[ ] $0, if you checked the EPTL exemption in Part 3b

[ ] $25, if the NET WORTH is less than $50,000

[ ] $50, if the NET WORTH is $50,000 or more but less than $250,000

[ ] $100, if the NET WORTH is $250,000 or more but less than $1,000,000

[ ] $250, if the NET WORTH is $1,000,000 or more but less than $10,000,000

[ ] $750, if the NET WORTH is $10,000,000 or more but less than $50,000,000

[ ] $1500, if the NET WORTH is $50,000,000 or more

Send Your Filing

Send your CHAR500, all schedules and attachments, and total fee to:

NYS Office of the Attorney General
Charities Bureau Registration Section
28 L berty Street
New York, NY 10005

Need Assistance?
Visit: www.CharitiesNYS.com
Call: (212) 416-8401
Email: Charities.Bureau@ag.ny.gov

Is my Registration Category 7A, EPTL, DUAL or EXEMPT?

Organizations are assigned a Registration Category upon registration with the NY Charities Bureau:

7A filers are registered to solicit contributions in New York under Article 7-A of the Executive Law ("7A")

EPTL filers are registered under the Estates, Powers & Trusts Law ("EPTL") because they hold assets and/or conduct activities for charitable purposes in NY.

DUAL filers are registered under both 7A and EPTL.

EXEMPT filers have registered with the NY Charities Bureau and meet conditions in **Schedule E - Registration Exemption for Charitable Organizations**. These organizations are not required to file annual financial reports but may do so voluntarily.

Confirm your Registration Category and learn more about NY law at www.CharitiesNYS.com.

Where do I find my organization's NET WORTH?

NET WORTH for fee purposes is calculated on:
- IRS From 990 Part I, line 22
- IRS Form 990 EZ Part I line 21
- IRS Form 990 PF, calculate the difference between Total Assets at Fair Market Value (Part II, line 16(c)) and Total Liabilities (Part II, line 23(b)).

CHAR500

Schedule 4a: Professional Fund Raisers, Fund Raising Counsels, Commercial Co-Venturers
www.CharitiesNYS.com

2019
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If you checked the box in question 4a in Part 4 on the CHAR500 Annual Filing for Charitable Organizations, complete this schedule for EACH Professional Fund Raiser (PFR), Fund Raising Counsel (FRC) or Commercial Co-Venturer (CCV) that the organization engaged for fund raising activity in NY State. The PFR or FRC should provide its NY Registration Number to you. Include this schedule with your certified CHAR500 NYS Annual Filing for Charitable Organizations and use additional pages if necessary.

Definitions

A **Professional Fund Raiser (PFR)**, in addition to other activities, conducts solicitation of contributions and/or handles the donations (Article 7A, 171-a.4).
A **Fund Raising Counsel (FRC)** does not solicit or handle contributions but limits activities to advising or assisting a charitable organization to perform such functions for itself (Article 7A, 171-a.9).
A **Commercial Co-Venturer (CCV)** is an individual or for-profit company that is regularly and primarily engaged in trade or commerce other than raising funds for a charitable organization and who advertises that the purchase or use of goods, services, entertainment or any other thing of value will benefit a charitable organization (Article 7A, 171-a.6).
Professional fund raising does not include activities by an organization's development staff, volunteers, or a grantwriter who has been hired solely to draft applications for funding from a government agency or tax exempt organization.

1. Organization Information

Name of Organization: CENTER FOR EDUCATIONAL INNOVATION

NY Registration Number: [redacted]

2. Professional Fund Raiser, Fund Raising Counsel, Commercial Co-Venturer Information

Fund Raising Professional type:

- [X] Professional Fund Raiser
- [ ] Fund Raising Counsel
- [ ] Commercial Co-Venturer

Name of FRP: BARBI ZAKIN EVENTS INC

NY Registration Number: [redacted]

Mailing Address: 370 EAST 76TH STREET, SUITE B503

Telephone:

City / State / Zip: NEW YORK, NY 10021

3. Contract Information

Contract Start Date:	Contract End Date:
03/15/2019	12/31/2019

4. Description of Services

Services provided by FRP: PROFESSIONAL FUNDRAISING SERVICES IN CONNECTION WITH CEI'S ANNUAL GALA

5. Description of Compensation

Compensation arrangement with FRP: PAID IN INSTALLMENTS THROUGH OUT 2019.

Amount Paid to FRP: 54,084.

6. Commercial Co-Venturer (CCV) Report

[ ] Yes [ ] No If services were provided by a CCV, did the CCV provide the charitable organization with the interim or closing report(s) required by Section 173(a) part 3 of the Executive Law Article 7A?

CHAR500

Schedule 4b: Government Grants
www.CharitiesNYS.com

2019
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If you checked the box in question 4b in Part 4, complete this schedule and list EACH government grant award by a domestic (federal, state or local) agency; interstate or intergovernmental agency (for example Port Authority of New York and New Jersey); and state or local authorities.
Use additional pages if necessary. Include this schedule with your certified CHAR500 NYS Annual Filing for Charitable Organizations.

1. Organization Information

Name of Organization:	NY Registration Number:
CENTER FOR EDUCATIONAL INNOVATION	[redacted]

2. Government Grants

Name of Government Agency	Amount of Grant
1. UNITED STATES DEPT OF EDUCATION	1. 458,897.
2. NEW YORK STATE EDUCATION DEPARTMENT	2. 559,951.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10.
11.	11.
12.	12.
13.	13.
14.	14.
15.	15.
Total Government Grants:	Total: 1,018,848.

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Form **990**

Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter social security numbers on this form as it may be made public.
▶ Information about Form 990 and its instructions is at www IRS gov/form990.

2018

Open to Public Inspection

A For the 2018 calendar year, or tax year beginning 07-01-2018 , and ending 06-30-2019

B Check if appl cable:
- ☐ Address change
- ☐ Name change
- ☐ In tial return
- ☐ Final return/terminated
- ☐ Amended return
- ☐ Appl cation pending

C Name of organization
Center for Educational Innovation

% AMMAR SULTAN
Doing business as

Number and street (or P.O. box if mail is not delivered to street address) | Room/suite
28 West 44th Street Su te 801

City or town, state or province, country, and ZIP or foreign postal code
New York, NY 10036

D Employer identification number [redacted]

E Telephone number [redacted]

G Gross receipts $ 6,343,042

F Name and address of principal officer:
MICHAEL KOHLHAGEN
28 WEST 44TH STREET SUITE 801
NEW YORK, NY 10036

H(a) Is this a group return for subordinates? ☐ Yes ☑ No

H(b) Are all subordinates included? ☐ Yes ☐ No
If "No," attach a list. (see instructions)

H(c) Group exemption number ▶

I Tax-exempt status: ☑ 501(c)(3) ☐ 501(c) ( ) ◀ (insert no.) ☐ 4947(a)(1) or ☐ 527

J Website: ▶ the-cei.org

K Form of organization: ☑ Corporat on ☐ Trust ☐ Association ☐ Other ▶

L Year of format on: 2000

M State of legal domicile: NY

Part I Summary

1 Briefly describe the organization's mission or most significant activities:
TO SUPPORT INITIATIVES THAT WILL PROVIDE A QUALITY EDUCATION TO CHILDREN IN NYC AND OTHER COMMUNITIES.

2 Check this box ▶ ☐ if the organization discontinued its operations or disposed of more than 25% of its net assets.

3	Number of voting members of the governing body (Part VI, line 1a)	**3**	13
4	Number of independent voting members of the governing body (Part VI, line 1b)	**4**	12
5	Total number of individuals employed in calendar year 2018 (Part V, line 2a)	**5**	74
6	Total number of volunteers (estimate if necessary)	**6**	13
7a	Total unrelated business revenue from Part VIII, column (C), line 12	**7a**	0
b	Net unrelated business taxable income from Form 990-T, line 34	**7b**	0

		Prior Year	Current Year
8	Contributions and grants (Part VIII, line 1h)	5,364,280	2,126,350
9	Program service revenue (Part VIII, line 2g)	1,920,372	2,230,787
10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	-10,269	4,581
11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	-86,797	-47,948
12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	7,187,586	4,313,770
13	Grants and similar amounts paid (Part IX, column (A), lines 1–3)	1,891,118	401,932
14	Benefits paid to or for members (Part IX, column (A), line 4)	0	0
15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	3,843,378	3,485,311
16a	Professional fundraising fees (Part IX, column (A), line 11e)	17,000	55,000
b	Total fundraising expenses (Part IX, column (D), line 25) ▶439,265		
17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	1,928,796	1,818,430
18	Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25)	7,680,292	5,760,673
19	Revenue less expenses. Subtract line 18 from line 12	-492,706	-1,446,903

		Beginning of Current Year	End of Year
20	Total assets (Part X, line 16)	4,191,747	2,568,173
21	Total liabilities (Part X, line 26)	1,097,360	902,087
22	Net assets or fund balances. Subtract line 21 from line 20	3,094,387	1,666,086

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here

Signature of off cer — Date: 2019-11-15

MICHAEL KOHLHAGEN CEO
Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
Aaron Shapiro	Aaron Shapiro			[redacted]

Firm's name ▶ BKD LLP — Firm's EIN ▶

Firm's address ▶ 1155 Avenue of the Amer cas 1200
New York, NY 10036

Phone no [redacted]

May the IRS discuss this return with the preparer shown above? (see instructions) ☑ Yes ☐ No

For Paperwork Reduction Act Notice, see the separate instructions. [redacted] Form **990** (2018)

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III . . . . . ☑

1 Briefly describe the organization's mission:

EFFECTIVE PUBLIC EDUCATION IS ESSENTIAL TO THE SUCCESS OF A DEMOCRATIC SOCIETY. THE MISSION OF CENTER FOR EDUCATIONAL INNOVATION (CEI) IS THREEFOLD: 1) ASSIST PUBLIC SCHOOLS IN NEW YORK CITY AND OTHER COMMUNITIES IN IMPROVING THE QUALITY OF PUBLIC EDUCATION. OUR PROFESSIONAL EXPERIENCE AND EXPERTISE HELP SCHOOLS TO CREATE MORE PRODUCTIVE ENVIRONMENTS IN WHICH STUDENTS THRIVE ACADEMICALLY, SOCIALLY AND EMOTIONALLY. WITH OUR SUPPORT, SCHOOLS DEVELOP BETTER LEADERSHIP, BETTER TEACHING AND BETTER SYSTEMS OF ACCOUNTABILITY; 2) BASED UPON CEI'S WORK WITH INDIVIDUAL SCHOOLS, ADVOCATE FOR POLICIES AND PRACTICES THAT WILL LEAD TO SUCCESSFUL SCHOOLS; 3) PROVIDE INFORMATION TO THE PUBLIC ABOUT THE IMPORTANCE OF QUALITY PUBLIC EDUCATION AND THE MEANS OF ACHIEVING IT. TO THOSE ENDS, CEI ASSISTS LARGE SCHOOLS TO RESTRUCTURE INTO SETS OF SMALLER LEARNING COMMUNITIES, WORKS WITH TEAMS TO CREATE AND DEVELOP CHARTER SCHOOLS, TRAINS PRINCIPALS IN EFFECTIVE LEADERSHIP SKILLS, AND FACILITATES COLLABORATION

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? . . . . . ☐ Yes ☑ No

If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? . . . . . ☐ Yes ☑ No

If "Yes," describe these changes on Schedule O.

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code:) (Expenses $ 700,958 including grants of $) (Revenue $ 2,230,787)

PARTNERSHIP FOR INNOVATION IN COMPENSATION FOR CHARTER SCHOOLS (TIF/PICCS)- THROUGH THE PICCS PROGRAM CEI HAS BEEN ABLE TO SUPPORT EDUCATORS AND SCHOOL LEADERS TO BECOME HIGHLY EFFECTIVE PROFESSIONALS IN THE FOLLOWING WAYS - FOSTER AUTHENTIC COLLABORATION AT ALL LEVELS OF THE SCHOOL THROUGH PROFESSIONAL LEARNING COMMUNITIES (PLCS) THAT USE DATA TO RESEARCH STUDENT LEARNING CHALLENGES AND CREATE SHARED ACTION STRATEGIES - SUPPORT TEACHER EFFECTIVENESS THROUGH OBSERVATIONS USING THE DANIELSON FRAMEWORK - SUPPORT PRINCIPAL EFFECTIVENESS THROUGH THE USE OF THE VANDERBILT ASSESSMENT OF LEADERSHIP IN EDUCATION (VAL-ED) - PROVIDE A COMPREHENSIVE EDUCATOR AND SCHOOL LEADER EVALUATION SYSTEM THAT INTEGRATES MEASURES OF PROFESSIONAL PRACTICE AND STUDENT OUTCOMES TO PROVIDE EDUCATORS WITH AN ANNUAL REVIEW TIED TO COMPENSATION - OFFER EXTENSIVE PROFESSIONAL DEVELOPMENT AND A STRUCTURE TO PARTICIPATE IN INSTRUCTIONAL ROUNDS ACROSS AND WITHIN SCHOOLS - ASSIST SCHOOLS IN CREATING A PERFORMANCE-BASED SALARY SCHEDULE AND TEACHER CAREER LADDER THAT ALLOWS EFFECTIVE TEACHERS TO ADVANCE THEIR CAREER WITHOUT LEAVING THE CLASSROOM - HONE THE INSTRUCTIONAL AND LEADERSHIP EXPERTISE NEEDED TO DRAMATICALLY IMPROVE STUDENT ACHIEVEMENT, REWARDING OUR MOST EFFECTIVE EDUCATORS, AND ACHIEVING HIGH LEVELS OF PERFORMANCE FOR ALL STUDENTS AND TEACHERS. PICCS IS FUNDED THROUGH GRANTS AWARDED TO CEI BY US DEPARTMENT OF EDUCATION (USDOE) THROUGH ITS TEACHER INCENTIVE FUND (TIF) LEGISLATIVE APPROPRIATION. CEI WAS AWARDED A SIX MONTH NO COST LIMITED EXTENSION WHICH ENDED ON DECEMBER 31ST, 2018.

4b (Code:) (Expenses $ 1,959,619 including grants of $ 3,102) (Revenue $)

PUBLIC SCHOOL PROFESSIONAL SERVICES - CUSTOMIZED SERVICES, EMBEDDED PROFESSIONAL LEARNING, COACHING, MENTORING, TECHNICAL ASSISTANCE AND PROFESSIONAL LEARNING FOR TEACHERS AND SCHOOL LEADERS TO FACILITATE THE TURNAROUND OF LOW-PERFORMING SCHOOLS.

4c (Code:) (Expenses $ 728,056 including grants of $ 260,139) (Revenue $)

PROJECT BOOST (BUILDING OPTIONS AND OPPORTUNITIES FOR STUDENTS)IS ONE OF CEI'S OLDEST PROGRAMS, WHICH TARGETS ELEMENTARY AND MIDDLE SCHOOL STUDENTS IN 5TH THROUGH 9TH GRADE WHO HAVE DEMONSTRATED ACADEMIC TALENTS BUT DO NOT HAVE THE FINANCIAL RESOURCES NECESSARY TO CULTIVATE AND ENRICH THEIR ACADEMIC QUALITY. THE OVERALL GOAL OF THE PROGRAM IS TO ASSIST AND TO INSPIRE PARTICIPATING STUDENTS IN GAINING ADMISSION TO THE HIGH-QUALITY HIGH SCHOOLS. CEI OFFERS A TRIANGLE OF SERVICES TO BUILD ACADEMIC, CULTURAL, SOCIAL AND SERVICE SKILLS NECESSARY FOR LONG-TERM STUDENT GROWTH, ACADEMIC ENRICHMENT, CULTURAL ENRICHMENT AND COMMUNITY SERVICE. OVER THE PAST TEN YEARS OF ITS OPERATION, PROJECT BOOST HAS GROWN TO INCLUDE A WIDE RANGE OF ACTIVITIES AND RESOURCES THROUGH PARTNERSHIPS WITH SOME OF NYC'S FINEST ACADEMIC, SOCIAL, AND CULTURAL INSTITUTIONS. PROJECT BOOST ALSO ENCOURAGES THE STUDENT TO TAKE FULL ADVANTAGE OF THE OPPORTUNITIES AFFORDED TO THEM, BUT ALSO EMPHASIZES THE NEED TO GIVE BACK TO THE COMMUNITIES. STUDENTS ARE TAUGHT THAT REGARDLESS OF THEIR SOCIO-ECONOMIC BACKGROUND, THEY CAN MAKE FUNDAMENTAL CONTRIBUTIONS TO SOCIETY BY GIVING OF THEMSELVES THROUGH SERVICE. IN ADDITION, THROUGH THE EARLY STAGES PROGRAM, PROJECT BOOST HAS PROVIDED FREE AND SIGNIFICANTLY REDUCED-COST THEATRE TICKETS TO UNDERSERVED SCHOOLS AND THEIR STUDENTS. THIS HAS AFFORDED THE OPPORTUNITY FOR EXPOSURE TO THE PERFORMING ARTS, WHICH INCLUDED ATTENDANCE AT NYC'S MOST RENOWNED PERFORMING ARTS VENUES, SUCH AS BROADWAY THEATRES, LINCOLN CENTER, AND CARNEGIE HALL, AND TO PROVIDE MULTIPLE OPPORTUNITIES FOR STUDENTS TO RESPOND TO THE THEATRE THROUGH WORKSHOPS, DISCUSSIONS, AND WRITING (SINCE ITS INCEPTION OVER 5,000 TICKETS HAVE BEEN MADE AVAILABLE TO STUDENTS). TO ACCOMPLISH THE GOALS OF PROJECT BOOST, THE PROGRAM PROVIDES FUNDING FOR CULTURAL ENRICHMENT EXPERIENCES, TEST PREPARATION, ACADEMIC GUIDANCE, COLLEGE VISITATIONS, AND COMMUNITY SERVICE OPPORTUNITIES.

(Code:) (Expenses $ 328,251 including grants of $) (Revenue $)

Educat on Through Arts

(Code:) (Expenses $ 203,356 including grants of $ 138,691) (Revenue $)

other programs

4d Other program services (Describe in Schedule O.)

(Expenses $ 531,607 including grants of $ 138,691) (Revenue $)

4e **Total program service expenses** ▶ 3,920,240

Part IV Checklist of Required Schedules

			Yes	No
1	Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? *If "Yes," complete Schedule A*	1	Yes	
2	Is the organization required to complete *Schedule B, Schedule of Contributors* (see instructions)?	2	Yes	
3	Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? *If "Yes," complete Schedule C, Part I*	3		No
4	**Section 501(c)(3) organizations.** Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? *If "Yes," complete Schedule C, Part II*	4	Yes	
5	Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? *If "Yes," complete Schedule C, Part III*	5		No
6	Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? *If "Yes," complete Schedule D, Part I*	6		No
7	Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? *If "Yes," complete Schedule D, Part II*	7		No
8	Did the organization maintain collections of works of art, historical treasures, or other similar assets? *If "Yes," complete Schedule D, Part III*	8		No
9	Did the organization report an amount in Part X, line 21 for escrow or custodial account liability; serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? *If "Yes," complete Schedule D, Part IV*	9		No
10	Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? *If "Yes," complete Schedule D, Part V*	10		No
11	If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.			
a	Did the organization report an amount for land, buildings, and equipment in Part X, line 10? *If "Yes," complete Schedule D, Part VI*	11a	Yes	
b	Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VII*	11b		No
c	Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VIII*	11c		No
d	Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part IX*	11d		No
e	Did the organization report an amount for other liabilities in Part X, line 25? *If "Yes," complete Schedule D, Part X*	11e	Yes	
f	Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? *If "Yes," complete Schedule D, Part X*	11f		No
12a	Did the organization obtain separate, independent audited financial statements for the tax year? *If "Yes," complete Schedule D, Parts XI and XII*	12a	Yes	
b	Was the organization included in consolidated, independent audited financial statements for the tax year? *If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional*	12b		No
13	Is the organization a school described in section 170(b)(1)(A)(ii)? *If "Yes," complete Schedule E*	13		No
14a	Did the organization maintain an office, employees, or agents outside of the United States?	14a		No
b	Did the organization have aggregate revenues or expenses of more than $10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at $100,000 or more? *If "Yes," complete Schedule F, Parts I and IV*	14b		No
15	Did the organization report on Part IX, column (A), line 3, more than $5,000 of grants or other assistance to or for any foreign organization? *If "Yes," complete Schedule F, Parts II and IV*	15		No
16	Did the organization report on Part IX, column (A), line 3, more than $5,000 of aggregate grants or other assistance to or for foreign individuals? *If "Yes," complete Schedule F, Parts III and IV*	16		No
17	Did the organization report a total of more than $15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? *If "Yes," complete Schedule G, Part I* (see instructions)	17	Yes	
18	Did the organization report more than $15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? *If "Yes," complete Schedule G, Part II*	18	Yes	
19	Did the organization report more than $15,000 of gross income from gaming activities on Part VIII, line 9a? *If "Yes," complete Schedule G, Part III*	19		No
20a	Did the organization operate one or more hospital facilities? *If "Yes," complete Schedule H*	20a		No
b	If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	20b		

Part IV Checklist of Required Schedules *(continued)*

21	Did the organization report more than $5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? *If "Yes," complete Schedule I, Parts I and II*	**21**	Yes	
22	Did the organization report more than $5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? *If "Yes," complete Schedule I, Parts I and III*	**22**		No
23	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? *If "Yes," complete Schedule J*	**23**	Yes	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than $100,000 as of the last day of the year, that was issued after December 31, 2002? *If "Yes," answer lines 24b through 24d and complete Schedule K If "No," go to line 25a*	**24a**		No
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? . . .	**24b**		
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	**24c**		
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	**24d**		
25a	**Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.** Did the organization engage in an excess benefit transaction with a disqualified person during the year? *If "Yes," complete Schedule L, Part I*	**25a**		No
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? *If "Yes," complete Schedule L, Part I*	**25b**		No
26	Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? *If "Yes," complete Schedule L, Part II*	**26**		No
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? *If "Yes," complete Schedule L, Part III*	**27**		No
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):			
a	A current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	**28a**		No
b	A family member of a current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	**28b**		No
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? *If "Yes," complete Schedule L, Part IV* . . .	**28c**		No
29	Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M* . .	**29**		No
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M*	**30**		No
31	Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I* .	**31**		No
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? *If "Yes," complete Schedule N, Part II*	**32**		No
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? *If "Yes," complete Schedule R, Part I*	**33**		No
34	Was the organization related to any tax-exempt or taxable entity? *If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1*	**34**		No
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	**35a**		No
b	If 'Yes' to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? *If "Yes," complete Schedule R, Part V, line 2* . . .	**35b**		
36	**Section 501(c)(3) organizations.** Did the organization make any transfers to an exempt non-charitable related organization? *If "Yes," complete Schedule R, Part V, line 2*	**36**		No
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? *If "Yes," complete Schedule R, Part VI*	**37**		No
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? **Note.** All Form 990 filers are required to complete Schedule O.	**38**	Yes	

Part V **Statements Regarding Other IRS Filings and Tax Compliance**

Check if Schedule O contains a response or note to any line in this Part V . . . . . ☐

				Yes	No
1a	Enter the number reported in Box 3 of Form 1096 Enter -0- if not applicable	1a	55		
b	Enter the number of Forms W-2G included in line 1a. *Enter -0-* if not applicable	1b	0		
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?		1c		
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	2a	74		
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? **Note.** If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)		2b	Yes	
3a	Did the organization have unrelated business gross income of $1,000 or more during the year?		3a		No
b	If "Yes," has it filed a Form 990-T for this year? *If "No" to line 3b, provide an explanation in Schedule O*		3b		
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?		4a		No
b	If "Yes," enter the name of the foreign country: ▶ _____ See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).				
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?		5a		No
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?		5b		No
c	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?		5c		
6a	Does the organization have annual gross receipts that are normally greater than $100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?		6a		No
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?		6b		
7	**Organizations that may receive deductible contributions under section 170(c).**				
a	Did the organization receive a payment in excess of $75 made partly as a contribution and partly for goods and services provided to the payor?		7a	Yes	
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?		7b	Yes	
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?		7c		No
d	If "Yes," indicate the number of Forms 8282 filed during the year	7d			
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		7e		No
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		7f		No
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?		7g		
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?		7h		
8	**Sponsoring organizations maintaining donor advised funds.** Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?		8		
9a	Did the sponsoring organization make any taxable distributions under section 4966?		9a		
b	Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?		9b		
10	**Section 501(c)(7) organizations.** Enter:				
a	Initiation fees and capital contributions included on Part VIII, line 12	10a			
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b			
11	**Section 501(c)(12) organizations.** Enter:				
a	Gross income from members or shareholders	11a			
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	11b			
12a	**Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041?		12a		
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year.	12b			
13	**Section 501(c)(29) qualified nonprofit health insurance issuers.**				
a	Is the organization licensed to issue qualified health plans in more than one state? **Note.** See the instructions for additional information the organization must report on Schedule O.		13a		
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	13b			
c	Enter the amount of reserves on hand	13c			
14a	Did the organization receive any payments for indoor tanning services during the tax year?		14a		No
b	If "Yes," has it filed a Form 720 to report these payments? *If "No," provide an explanation in Schedule O*		14b		

Part VI Governance, Management, and Disclosure

For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI . . . . . ☑

Section A. Governing Body and Management

				Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year	1a	13		
	If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O.				
b	Enter the number of voting members included in line 1a, above, who are independent	1b	12		
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	2			No
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person? .	3			No
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?	4			No
5	Did the organization become aware during the year of a significant diversion of the organization's assets? .	5			No
6	Did the organization have members or stockholders?	6			No
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?	7a			No
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?	7b			No
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:				
a	The governing body?	8a		Yes	
b	Each committee with authority to act on behalf of the governing body?	8b		Yes	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? *If "Yes," provide the names and addresses in Schedule O*	9			No

Section B. Policies (*This Section B requests information about policies not required by the Internal Revenue Code.*)

			Yes	No
10a	Did the organization have local chapters, branches, or affiliates?	10a		No
b	If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?	10b		
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	11a	Yes	
b	Describe in Schedule O the process, if any, used by the organization to review this Form 990.			
12a	Did the organization have a written conflict of interest policy? *If "No," go to line 13*	12a	Yes	
b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	12b	Yes	
c	Did the organization regularly and consistently monitor and enforce compliance with the policy? *If "Yes," describe in Schedule O how this was done*	12c	Yes	
13	Did the organization have a written whistleblower policy?	13	Yes	
14	Did the organization have a written document retention and destruction policy?	14	Yes	
15	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?			
a	The organization's CEO, Executive Director, or top management official	15a	Yes	
b	Other officers or key employees of the organization	15b		No
	If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).			
16a	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?	16a		No
b	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?	16b		

Section C. Disclosure

17 List the States with which a copy of this Form 990 is required to be filed ▶ NY

18 Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.

☐ Own website ☐ Another's website ☑ Upon request ☐ Other (explain in Schedule O)

19 Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.

20 State the name, address, and telephone number of the person who possesses the organization's books and records: ▶ AMMAR SULTAN 28 W 44THSTREET SUITE 801 NEW YORK,NY 10036 (212) 302-8800

Part VII Compensation of Officers, Directors,Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

Check if Schedule O contains a response or note to any line in this Part VII . . . . . ☐

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether indiv duals or organizations), regardless of amount of compensat on. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than $100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, or highest compensated employees who received more than $100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than $10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

☐ Check this box if ne ther the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
(1) SEYMOUR FLIEGEL PRESIDENT	40.0 0.0	X		X				39,583	0	0
(2) JUDY ROTH BERKOWITZ CHAIRPERSON	1.0 0.0	X		X				0	0	0
(3) Donald Cecil TREASURER	1.0 0.0	X		X				0	0	0
(4) DEAN RINGEL ESQ SECRETARY	1.0 0.0	X		X				0	0	0
(5) NORMAN S BENZAQUEN TRUSTEE	1.0 0.0	X						0	0	0
(6) ANTHONY COLES ESQ TRUSTEE	1.0 0.0	X						0	0	0
(7) MARY ELLEN FAHS TRUSTEE	1.0 0.0	X						0	0	0
(8) RUCHI HAZARAY Trustee	1.0 0.0	X						0	0	0
(9) ROBERT SANCHO TRUSTEE	1.0 0.0	X						0	0	0
(10) STEVE SUSSMAN TRUSTEE	1.0 0.0	X						0	0	0
(11) PAT DUFF TRUSTEE	1.0 0.0	X						0	0	0
(12) GLENN ABBOTT TRUSTEE	1.0 0.0	X						0	0	0
(13) GAIL BADILLO Trustee	1.0 0.0	X						0	0	0
(14) MICHAEL KOHLHAGEN CHIEF EXECUTIVE OFFICER	40.0 0.0			X				192,680	0	32,119
(15) MAE FONG PICCS SITE COORDINATOR	40.0 0.0					X		131,330	0	2,640
(16) CORY COTTO CHIEF OPERATING OFFICER	40.0 0.0					X		112,395	0	5,770
(17) EILEEN WITT HUMAN RESOURCES MANAGER	40.0 0.0					X		112,270	0	4,730

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
(18) ELIZABETH CARTER CLAWSON PICCS PROJECT DIRECTOR	40.0 0.0					X		102,917	0	0
(19) CARLOS MEDINA DIRECTOR OF INTERNATIONAL PROJ	40.0 0.0					X		100,850	0	0
(20) LOUIS BENEVENTO CFO	0.0 0.0						X	103,078	0	0

Part VII **Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees** *(continued)*

1b Sub-Total ▶			
c Total from continuation sheets to Part VII, Section A ▶			
d Total (add lines 1b and 1c) ▶	895,103	0	45,259

2 Total number of individuals (including but not limited to those listed above) who received more than $100,000 of reportable compensation from the organization ▶ 7

			Yes	No
3	Did the organization list any **former** officer, director or trustee, key employee, or highest compensated employee on line 1a? *If "Yes," complete Schedule J for such individual*	3	Yes	
4	For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than $150,000? *If "Yes," complete Schedule J for such individual*	4	Yes	
5	Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? *If "Yes," complete Schedule J for such person*	5		No

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than $100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of serv ces	(C) Compensation
GREAT JONES STEET, 153 E 57TH ST 3G-H NEW YORK, NY 10022	EDUCATION CONSULTING	118,721
DAVIDOFF HUTCHER CITRON LLP, 605 THIRD AVE NEW YORK, NY 10158	LOBBYING SERVICES	104,216

2 Total number of independent contractors (including but not limited to those listed above) who received more than $100,000 of compensation from the organization ▶ 2

Part VIII Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII . . . . . ☐

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
Contributions, Gifts, Grants and Other Similar Amounts	1a Federated campaigns	1a				
	b Membership dues	1b				
	c Fundraising events	1c	631,411			
	d Related organizations	1d				
	e Government grants (contributions)	1e	1,294,235			
	f All other contributions, gifts, grants, and similar amounts not included above	1f	200,704			
	g Noncash contributions included in lines 1a-1f: $					
	h **Total.** Add lines 1a-1f		2,126,350			
Program Service Revenue		Business Code				
	2a CONSULTING INCOME	611710	2,230,787	2,230,787		
	b					
	c					
	d					
	e					
	f All other program service revenue.					
	g **Total.** Add lines 2a–2f		2,230,787			
Other Revenue	3 Investment income (including dividends, interest, and similar amounts)		3,303			3,303
	4 Income from investment of tax-exempt bond proceeds		0			
	5 Royalties		0			
		(i) Real	(ii) Personal			
	6a Gross rents					
	b Less: rental expenses					
	c Rental income or (loss)	0	0			
	d Net rental income or (loss)		0			
		(i) Securities	(ii) Other			
	7a Gross amount from sales of assets other than inventory	1,890,547				
	b Less: cost or other basis and sales expenses	1,889,269				
	c Gain or (loss)	1,278				
	d Net gain or (loss)		1,278			1,278
	8a Gross income from fundraising events (not including $ 631,411 of contributions reported on line 1c). See Part IV, line 18	a 92,055				
	b Less: direct expenses	b 140,003				
	c Net income or (loss) from fundraising events		-47,948			-47,948
	9a Gross income from gaming activities. See Part IV, line 19	a 0				
	b Less: direct expenses	b 0				
	c Net income or (loss) from gaming activities		0			
	10a Gross sales of inventory, less returns and allowances	a 0				
	b Less: cost of goods sold	b 0				
	c Net income or (loss) from sales of inventory		0			
	Miscellaneous Revenue	Business Code				
	11a					
	b					
	c					
	d All other revenue					
	e **Total.** Add lines 11a–11d		0			
	12 **Total revenue.** See Instructions.		4,313,770	2,230,787		-43,367

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX . . . . . ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	401,932	401,932		
2 Grants and other assistance to individuals in the United States. See Part IV, line 22	0			
3 Grants and other assistance to governments, organizations, and individuals outside the United States. See Part IV, lines 15 and 16	0			
4 Benefits paid to or for members	0			
5 Compensation of current officers, directors, trustees, and key employees	264,724	189,728	72,799	2,197
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)	0			
7 Other salaries and wages	2,785,700	2,043,375	477,185	265,140
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	0			
9 Other employee benefits	211,769	134,966	63,922	12,881
10 Payroll taxes	223,118	144,547	66,554	12,017
11 Fees for services (non-employees):				
a Management	0			
b Legal	7,638		7,638	
c Accounting	45,968		45,968	
d Lobbying	220,286	220,286		
e Professional fundraising services. See Part IV, line 17	55,000			55,000
f Investment management fees	0			
g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)	771,619	314,872	385,436	71,311
12 Advertising and promotion	0			
13 Office expenses	94,658	33,922	46,762	13,974
14 Information technology	29,345	4,911	18,770	5,664
15 Royalties	0			
16 Occupancy	317,033	242,931	74,102	
17 Travel	73,110	36,499	36,050	561
18 Payments of travel or entertainment expenses for any federal, state, or local public officials	0			
19 Conferences, conventions, and meetings	153,578	128,302	25,276	
20 Interest	0			
21 Payments to affiliates	0			
22 Depreciation, depletion, and amortization	7,729		7,729	
23 Insurance	30,676		30,676	
24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a STUDENT ACTIVITIES	24,099	19,327	4,772	
b MISCELLANEOUS	42,691	4,642	37,529	520
c				
d				
e All other expenses				
25 **Total functional expenses.** Add lines 1 through 24e	5,760,673	3,920,240	1,401,168	439,265
26 **Joint costs.** Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here ▶ ☐ if following SOP 98-2 (ASC 958-720).				

Part X Balance Sheet

Check if Schedule O contains a response or note to any line in this Part IX . . . . . ☐

				(A) Beginning of year		(B) End of year
Assets	1	Cash–non-interest-bearing		259,441	1	408
	2	Savings and temporary cash investments		822,988	2	384,001
	3	Pledges and grants receivable, net		2,098,457	3	661,575
	4	Accounts receivable, net		367,095	4	968,804
	5	Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L		0	5	0
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) Complete Part II of Schedule L		0	6	0
	7	Notes and loans receivable, net		0	7	0
	8	Inventories for sale or use		0	8	0
	9	Prepaid expenses and deferred charges		26,818	9	27,600
	10a	Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a 102,814			
	b	Less: accumulated depreciation	10b 79,347	31,196	10c	23,467
	11	Investments—publicly traded securities		585,752	11	502,318
	12	Investments—other securities. See Part IV, line 11		0	12	0
	13	Investments—program-related. See Part IV, line 11		0	13	0
	14	Intangible assets		0	14	0
	15	Other assets. See Part IV, line 11		0	15	0
	16	**Total assets.** Add lines 1 through 15 (must equal line 34)		4,191,747	16	2,568,173
Liabilities	17	Accounts payable and accrued expenses		417,334	17	308,264
	18	Grants payable		0	18	0
	19	Deferred revenue		0	19	0
	20	Tax-exempt bond liabilities		0	20	0
	21	Escrow or custodial account liability. Complete Part IV of Schedule D		0	21	0
	22	Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L		0	22	0
	23	Secured mortgages and notes payable to unrelated third parties		0	23	0
	24	Unsecured notes and loans payable to unrelated third parties		0	24	0
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D		680,026	25	593,823
	26	**Total liabilities.** Add lines 17 through 25		1,097,360	26	902,087
Net Assets or Fund Balances		**Organizations that follow SFAS 117 (ASC 958), check here ▶ ☑ and complete lines 27 through 29, and lines 33 and 34.**				
	27	Unrestricted net assets		3,077,648	27	1,625,127
	28	Temporarily restricted net assets		16,739	28	40,959
	29	Permanently restricted net assets		0	29	0
		Organizations that do not follow SFAS 117 (ASC 958), check here ▶ ☐ and complete lines 30 through 34.				
	30	Capital stock or trust principal, or current funds			30	
	31	Paid-in or capital surplus, or land, building or equipment fund			31	
	32	Retained earnings, endowment, accumulated income, or other funds			32	
	33	Total net assets or fund balances		3,094,387	33	1,666,086
	34	Total liabilities and net assets/fund balances		4,191,747	34	2,568,173

Part XI Reconcilliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI . . . . . ☑

1	Total revenue (must equal Part VIII, column (A), line 12)	1	4,313,770
2	Total expenses (must equal Part IX, column (A), line 25)	2	5,760,673
3	Revenue less expenses. Subtract line 2 from line 1	3	-1,446,903
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A)) . .	4	3,094,387
5	Net unrealized gains (losses) on investments	5	5,255
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	13,347
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	1,666,086

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII . . . . . ☐

			Yes	No
1	Accounting method used to prepare the Form 990: ☐ Cash ☑ Accrual ☐ Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.			
2a	Were the organization's financial statements compiled or reviewed by an independent accountant?	2a		No
	If 'Yes,' check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both: ☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis			
b	Were the organization's financial statements audited by an independent accountant?	2b	Yes	
	If 'Yes,' check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both: ☑ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis			
c	If "Yes," to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?	2c	Yes	
	If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.			
3a	As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?	3a	Yes	
b	If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits.	3b	Yes	

Additional Data

Return to Form

Software ID:

Software Version:

Form 990, Special Condition Description:

Special Condition Description

efile Public Visual Render | ObjectId: 001 - Submission: 2015-01-16

SCHEDULE A (Form 990 or 990EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ **Attach to Form 990 or Form 990-EZ.**

▶ **Information about Schedule A (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.**

2018

Open to Public Inspection

Name of the organization
Center for Educat onal Innovat on

Employer identification number
[redacted]

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 11, check only one box.)

1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**

2 ☐ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E.)

3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**

4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state:

5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)

6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**

7 ☑ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)

8 ☐ A community trust described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)

9 ☐ An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See**section 509(a)(2).** (Complete Part III.)

10 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**

11 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2). See **section 509(a)(3).** Check the box in lines 11a through 11d that describes the type of supporting organization and complete lines 11e, 11f, and 11g.

a ☐ **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**

b ☐ **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**

c ☐ **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**

d ☐ **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**

e ☐ Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.

f Enter the number of supported organizations . . . . . .

g Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1- 9 above or IRC section (see instructions))	(iv) Is the organization listed in your governing document? Yes	(iv) No	(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
Total						

Part II **Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**
(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2018	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	19,829,127	8,870,486	6,274,659	5,364,280	2,126,350	42,464,902
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						0
3 The value of services or facilities furnished by a governmental unit to the organization without charge..						0
4 **Total.** Add lines 1 through 3	19,829,127	8,870,486	6,274,659	5,364,280	2,126,350	42,464,902
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f). .						0
6 **Public support.** Subtract line 5 from line 4.						42,464,902

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2018	(f) Total
7 Amounts from line 4. .	19,829,127	8,870,486	6,274,659	5,364,280	2,126,350	42,464,902
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . .	7,830	10,122	440	3,772	3,303	25,467
9 Net income from unrelated business activities, whether or not the business is regularly carried on. .						0
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.). .						0
11 **Total support** Add lines 7 through 10						42,490,369

12 Gross receipts from related activities, etc. (see instructions) 12 10,324,507

13 **First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** . . . . . ▶ ☐

Section C. Computation of Public Support Percentage

14 Public support percentage for 2018 (line 6, column (f) divided by line 11, column (f))	14	99.940 %
15 Public support percentage for 2013 Schedule A, Part II, line 14	15	99.750 %

16a **33 1/3% support test—2018.** If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ▶ ☑

b **33 1/3% support test—2013.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ▶ ☐

17a **10%-facts-and-circumstances test—2018.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . . ▶ ☐

b **10%-facts-and-circumstances test—2013.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . . ▶ ☐

18 **Private foundation.** If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions . . . . . ▶ ☐

Part III **Support Schedule for Organizations Described in Section 509(a)(2)**
(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2018	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513. .						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . .						
5 The value of services or facilities furnished by a governmental unit to the organization without charge. .						
6 **Total.** Add lines 1 through 5.						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons. . .						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year.						
c Add lines 7a and 7b. .						
8 **Public support** (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2018	(f) Total
9 Amounts from line 6. . .						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . .						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975.						
c Add lines 10a and 10b.						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on.						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . .						
13 **Total support.** (Add lines 9, 10c, 11, and 12.). .						

14 **First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here**. . . . . ▶☐

Section C. Computation of Public Support Percentage

15	Public support percentage for 2018 (line 8, column (f) divided by line 13, column (f))	15	
16	Public support percentage from 2013 Schedule A, Part III, line 15	16	

Section D. Computation of Investment Income Percentage

17	Investment income percentage for **2018** (line 10c, column (f) divided by line 13, column (f))	17	
18	Investment income percentage from **2013** Schedule A, Part III, line 17	18	

19a **33 1/3% support tests—2018.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ▶☐

b **33 1/3% support tests—2013.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ▶☐

20 **Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions . . . . . ▶☐

Part IV Supporting Organizations

(Complete only if you checked a box on line 11 of Part I. If you checked 11a of Part I, complete Sections A and B. If you checked 11b of Part I, complete Sections A and C. If you checked 11c of Part I, complete Sections A, D, and E. If you checked 11d of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

			Yes	No
1	Are all of the organization's supported organizations listed by name in the organization's governing documents? *If "No," describe in* ***Part VI*** *how the supported organizations are designated If designated by class or purpose, describe the designation If historic and continuing relationship, explain*	1		
2	Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? *If "Yes," explain in* ***Part VI*** *how the organization determined that the supported organization was described in section 509(a)(1) or (2)*	2		
3a	Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? *If "Yes," answer (b) and (c) below*	3a		
b	Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? *If "Yes," describe in* ***Part VI*** *when and how the organization made the determination*	3b		
c	Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? *If "Yes," explain in* ***Part VI*** *what controls the organization put in place to ensure such use.*	3c		
4a	Was any supported organization not organized in the United States ("foreign supported organization")? *If "Yes" and if you checked 11a or 11b in Part I, answer (b) and (c) below*	4a		
b	Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? *If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations*	4b		
c	Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? *If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes*	4c		
5a	Did the organization add, substitute, or remove any supported organizations during the tax year? *If "Yes," answer (b) and (c) below (if applicable) Also, provide detail in* ***Part VI,*** *including (i) the names and EIN numbers of the supported organizations added, substituted, or removed, (ii) the reasons for each such action, (iii) the authority under the organization's organizing document authorizing such action, and (iv) how the action was accomplished (such as by amendment to the organizing document)*	5a		
b	**Type I or Type II only.** Was any added or substituted supported organization part of a class already designated in the organization's organizing document?	5b		
c	**Substitutions only.** Was the substitution the result of an event beyond the organization's control?	5c		
6	Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (a) its supported organizations; (b) individuals that are part of the charitable class benefited by one or more of its supported organizations; or (c) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? *If "Yes," provide detail in* ***Part VI.***	6		
7	Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in IRC 4958(c)(3)(C)), a family member of a substantial contributor, or a 35-percent controlled entity with regard to a substantial contributor? *If "Yes," complete Part I of Schedule L (Form 990)*	7		
8	Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? *If "Yes," complete Part II of Schedule L (Form 990)*	8		
9a	Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? *If "Yes," provide detail in* ***Part VI.***	9a		
b	Did one or more disqualified persons (as defined in line 9(a)) hold a controlling interest in any entity in which the supporting organization had an interest? *If "Yes," provide detail in* ***Part VI.***	9b		
c	Did a disqualified person (as defined in line 9(a)) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? *If "Yes," provide detail in* ***Part VI.***	9c		
10a	Was the organization subject to the excess business holdings rules of IRC 4943 because of IRC 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? *If "Yes," answer b below*	10a		
b	Did the organization have any excess business holdings in the tax year? *(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings)*	10b		

Part IV Supporting Organizations (continued)

			Yes	No
11	Has the organization accepted a gift or contribution from any of the following persons?			
a	A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?	11a		
b	A family member of a person described in (a) above?	11b		
c	A 35% controlled entity of a person described in (a) or (b) above? *If "Yes" to a, b, or c, provide detail in Part VI*	11c		

Section B. Type I Supporting Organizations

			Yes	No
1	Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? *If "No," describe in **Part VI** how the supported organization(s) effectively operated, supervised, or controlled the organization's activities If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year*	1		
2	Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? *If "Yes," explain in **Part VI** how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised or controlled the supporting organization*	2		

Section C. Type II Supporting Organizations

			Yes	No
1	Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? *If "No," describe in **Part VI** how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s)*	1		

Section D. All Type III Supporting Organizations

			Yes	No
1	Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (1) a written notice describing the type and amount of support provided during the prior tax year, (2) a copy of the Form 990 that was most recently filed as of the date of notification, and (3) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?	1		
2	Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? *If "No," explain in **Part VI** how the organization maintained a close and continuous working relationship with the supported organization(s)*	2		
3	By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? *If "Yes," describe in **Part VI** the role the organization's supported organizations played in this regard*	3		

Section E. Type III Functionally-Integrated Supporting Organizations

1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year **(see instructions)**:

- a ☐ The organization satisfied the Activities Test. Complete **line 2** below.
- b ☐ The organization is the parent of each of its supported organizations. Complete **line 3** below.
- c ☐ The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions)

			Yes	No
2	Activities Test. **Answer (a) and (b) below.**			
a	Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? *If "Yes," then in **Part VI identify those supported organizations and explain** how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities*	2a		
b	Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? *If "Yes," explain in **Part VI** the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement*	2b		
3	Parent of Supported Organizations. **Answer (a) and (b) below.**			
a	Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? *Provide details in Part VI*	3a		
b	Did the organization exercise a substantial degree of direction over the policies, programs and activities of each of its supported organizations? *If "Yes," describe in Part VI the role played by the organization in this regard*	3b		

Part V – Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970. **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

Section A - Adjusted Net Income

			(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain	1		
2	Recoveries of prior-year distributions	2		
3	Other gross income (see instructions)	3		
4	Add lines 1 through 3	4		
5	Depreciation and depletion	5		
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6		
7	Other expenses (see instructions)	7		
8	**Adjusted Net Income** (subtract lines 5, 6 and 7 from line 4)	8		

Section B - Minimum Asset Amount

			(A) Prior Year	(B) Current Year
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):	1		
a	Average monthly value of securities	1a		
b	Average monthly cash balances	1b		
c	Fair market value of other non-exempt-use assets	1c		
d	**Total** (add lines 1a, 1b, and 1c)	1d		
e	**Discount** claimed for blockage or other factors (explain in detail in Part VI):			
2	Acquisition indebtedness applicable to non-exempt use assets	2		
3	Subtract line 2 from line 1d	3		
4	Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions).	4		
5	Net value of non-exempt-use assets (subtract line 4 from line 3)	5		
6	Multiply line 5 by .035	6		
7	Recoveries of prior-year distributions	7		
8	**Minimum Asset Amount** (add line 7 to line 6)	8		

Section C - Distributable Amount

				Current Year
1	Adjusted net income for prior year (from Section A, line 8, Column A)	1		
2	Enter 85% of line 1	2		
3	Minimum asset amount for prior year (from Section B, line 8, Column A)	3		
4	Enter greater of line 2 or line 3	4		
5	Income tax imposed in prior year	5		
6	**Distributable Amount.** Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions)	6		

7 ☐ Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions)

Section D - Distributions	Current Year
1 Amounts paid to supported organizations to accomplish exempt purposes	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	
4 Amounts paid to acquire exempt-use assets	
5 Qualified set-aside amounts (prior IRS approval required)	
6 Other distributions (describe in Part VI). See instructions	
7 **Total annual distributions.** Add lines 1 through 6.	
8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions	
9 Distributable amount for 2018 from Section C, line 6	
10 Line 8 amount divided by Line 9 amount	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2018	(iii) Distributable Amount for 2018
1 Distributable amount for 2018 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2018 (reasonable cause required--see instructions)			
3 Excess distributions carryover, if any, to 2018:			
a From 2009. X			
b From 2010. X			
c From 2011. X			
d From 2012. X			
e From 2013.			
f **Total** of lines 3a through e			
g Applied to underdistributions of prior years			
h Applied to 2018 distributable amount			
i Carryover from 2009 not applied (see instructions)			
j Remainder. Subtract lines 3g, 3h, and 3i from 3f.			
4 Distributions for 2018 from Section D, line 7: $			
a Applied to underdistributions of prior years			
b Applied to 2018 distributable amount			
c Remainder. Subtract lines 4a and 4b from 4.			
5 Remaining underdistributions for years prior to 2018, if any. Subtract lines 3g and 4a from line 2 (if amount greater than zero, see instructions)			
6 Remaining underdistributions for 2018. Subtract lines 3h and 4b from line 1 (if amount greater than zero, see instructions)			
7 **Excess distributions carryover to 2015.** Add lines 3j and 4c.			
8 Breakdown of line 7:			
a From 2010. X			
b From 2011. X			
c From 2012. X			
d From 2013.			
e From 2018.			

Part VI **Supplemental Information.**

Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b; Part V, line 1; Part V, Section B, line 1e; Part V Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions).

Facts And Circumstances Test

Return Reference	Explanation

Additional Data

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Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ Attach to Form 990, 990-EZ, or 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at www.irs.gov/form990.

2018

Name of the organization	Employer identification number
Center for Educational Innovation	13-4113613

Organization type (check one):

Filers of:	Section:
Form 990 or 990-EZ	☐ 501(c)( ) (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	☐ 527 political organization
Form 990-PF	☐ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule.**
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

☐ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling $5,000 or more (in money or other property) from any one contributor. Complete Parts I and II. See instructions for determining a contr butor's total contributions.

Special Rules

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** $5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contr butor, during the year, total contributions of more than $1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contr butor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than $1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling $5,000 or more during the year . . . . . ▶ $ _____

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization
Center for Educational Innovation

Employer identification number
13-4113613

Part I **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
RESTRICTED		$ RESTRICTED	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
-		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
-		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
-		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
-		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
-		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)

Name of organization	Employer identification number
Center for Educational Innovation	13-4113613

Part II Noncash Property (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No.from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	
(a) No.from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	
(a) No.from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	
(a) No.from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	
(a) No.from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	
(a) No.from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

Name of organization
Center for Educational Innovation

Employer identification number
13-4113613

Part III ***Exclusively*** **religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than $1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of $1,000 or less for the year. (Enter this information once. See instructions.)** ▶ $ _____

Use duplicate copies of Part III if additional space is needed.

(a) No.from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift Transferee's name, address, and ZIP 4	Relationship of transferor to transferee	

(a) No.from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift Transferee's name, address, and ZIP 4	Relationship of transferor to transferee	

(a) No.from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift Transferee's name, address, and ZIP 4	Relationship of transferor to transferee	

(a) No.from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift Transferee's name, address, and ZIP 4	Relationship of transferor to transferee	

Additional Data

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SCHEDULE C
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Political Campaign and Lobbying Activities

For Organizations Exempt From Income Tax Under section 501(c) and section 527
▶Complete if the organization is described below. ▶Attach to Form 990 or Form 990-EZ.
▶Information about Schedule C (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

2018
Open to Public Inspection

If the organization answered "Yes" to Form 990, Part IV, Line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then
- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

If the organization answered "Yes" to Form 990, Part IV, Line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then
- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

If the organization answered "Yes" to Form 990, Part IV, Line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then
- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

Name of the organization	Employer identification number
Center for Educat onal Innovat on	13-4113613

Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

1 Provide a description of the organization's direct and indirect political campaign activities in Part IV.
2 Political expenditures ▶ $
3 Volunteer hours

Part I-B Complete if the organization is exempt under section 501(c)(3).

1 Enter the amount of any excise tax incurred by the organization under section 4955 $
2 Enter the amount of any excise tax incurred by organization managers under section 4955 $
3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? ☐ Yes ☐ No
4a Was a correction made? ☐ Yes ☐ No
b If "Yes," describe in Part IV.

Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).

1 Enter the amount directly expended by the filing organization for section 527 exempt function activities $
2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities ▶ $
3 Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL, line 17b $
4 Did the filing organization file **Form 1120-POL** for this year? ☐ Yes ☐ No
5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV.

(a) Name	(b) Address	(c) EIN	(d) Amount paid from filing organization's funds. If none, enter -0-.	(e) Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-.

Part II-A **Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).**

A Check ▶ ☐ if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures).

B Check ▶ ☐ if the filing organization checked box A and "limited control" provisions apply.

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)	(a) Filing organization's totals	(b) Affiliated group totals
1a Total lobbying expenditures to influence public opinion (grass roots lobbying)		
b Total lobbying expenditures to influence a legislative body (direct lobbying)		
c Total lobbying expenditures (add lines 1a and 1b)		
d Other exempt purpose expenditures		
e Total exempt purpose expenditures (add lines 1c and 1d)		
f Lobbying nontaxable amount. Enter the amount from the following table in both columns.		

If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:
Not over $500,000	20% of the amount on line 1e.
Over $500,000 but not over $1,000,000	$100,000 plus 15% of the excess over $500,000.
Over $1,000,000 but not over $1,500,000	$175,000 plus 10% of the excess over $1,000,000.
Over $1,500,000 but not over $17,000,000	$225,000 plus 5% of the excess over $1,500,000.
Over $17,000,000	$1,000,000.

g Grassroots nontaxable amount (enter 25% of line 1f)		
h Subtract line 1g from line 1a. If zero or less, enter -0-.		
i Subtract line 1f from line 1c. If zero or less, enter -0-.		

j If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year? ..... ☐ **Yes** ☐ **No**

4-Year Averaging Period Under section 501(h)

(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the separate instructions for lines 2a through 2f.)

Lobbying Expenditures During 4-Year Averaging Period

Calendar year (or fiscal year beginning in)	(a) 2011	(b) 2012	(c) 2013	(d) 2018	(e) Total
2a Lobbying nontaxable amount					
b Lobbying ceiling amount (150% of line 2a, column(e))					
c Total lobbying expenditures					
d Grassroots nontaxable amount					
e Grassroots ceiling amount (150% of line 2d, column (e))					
f Grassroots lobbying expenditures					

Part II-B Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).

	For each "Yes" response to lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity	Yes	(a) No	(b) Amount
1	During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of:			
a	Volunteers?		No	
b	Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?		No	
c	Media advertisements?		No	
d	Mailings to members, legislators, or the public?		No	
e	Publications, or published or broadcast statements?		No	
f	Grants to other organizations for lobbying purposes?		No	
g	Direct contact with legislators, their staffs, government officials, or a legislative body?		No	
h	Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?		No	
i	Other activities?	Yes		220,286
j	Total. Add lines 1c through 1i			220,286
2a	Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?		No	
b	If "Yes," enter the amount of any tax incurred under section 4912			
c	If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
d	If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?			

Part III-A Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).

			Yes	No
1	Were substantially all (90% or more) dues received nondeductible by members?	1		
2	Did the organization make only in-house lobbying expenditures of $2,000 or less?	2		
3	Did the organization agree to carry over lobbying and political expenditures from the prior year?	3		

Part III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No" OR (b) Part III-A, line 3, is answered "Yes."

1	Dues, assessments and similar amounts from members	1	
2	Section 162(e) nondeductible lobbying and political expenditures **(do not include amounts of political expenses for which the section 527(f) tax was paid).**		
a	Current year	2a	
b	Carryover from last year	2b	
c	Total	2c	
3	Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues	3	
4	If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year?	4	
5	Taxable amount of lobbying and political expenditures (see instructions)	5	

Part IV Supplemental Information

Provide the descriptions required for Part I-A, line 1; Part I-B, line 4; Part I-C, line 5; Part II-A (affiliated group list); Part II-A, lines 1 and 2 (see instructions), and Part II-B, line 1. Also, complete this part for any additional information.

Return Reference	Explanation
PART II-B, LINE 1	CEI uses a law firm to meet on its behalf with New York State Assembly and Senate members to secure funding through Special Legislative Grants to support Project BOOST, which is a school-based program for NYC public school middle grade level students. cei does not use this firm to influence or change public opinion.

Additional Data

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SCHEDULE D (Form 990)

Supplemental Financial Statements

▶ Complete if the organization answered "Yes," on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.
▶ Attach to Form 990.
Information about Schedule D (Form 990) and its instructions is at www.irs.gov/form990.

Department of the Treasury
Internal Revenue Service

Open to Public Inspection

Name of the organization
Center for Educat onal Innovat on

Employer identification number
13-4113613

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.
Complete if the organization answered "Yes" to Form 990, Part IV, line 6.

		(a) Donor advised funds	(b) Funds and other accounts
1	Total number at end of year		
2	Aggregate value of contributions to (during year)		
3	Aggregate value of grants from (during year)		
4	Aggregate value at end of year		

5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? ☐ Yes ☐ No

6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? ☐ Yes ☐ No

Part II Conservation Easements. Complete if the organization answered "Yes" to Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).
- ☐ Preservation of land for public use (e.g., recreation or education)
- ☐ Preservation of an historically important land area
- ☐ Protection of natural habitat
- ☐ Preservation of a certified historic structure
- ☐ Preservation of open space

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

		Held at the End of the Year
a	Total number of conservation easements	2a
b	Total acreage restricted by conservation easements	2b
c	Number of conservation easements on a certified historic structure included in (a)	2c
d	Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register	2d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ _____

4 Number of states where property subject to conservation easement is located ▶ _____

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? ☐ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting, and enforcing conservation easements during the year ▶ _____

7 Amount of expenses incurred in monitoring, inspecting, and enforcing conservation easements during the year ▶ $ _____

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? ☐ Yes ☐ No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.
Complete if the organization answered "Yes" to Form 990, Part IV, line 8.

1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included in Form 990, Part VIII, line 1 ▶ $ _____

(ii) Assets included in Form 990, Part X ▶ $ _____

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items:

a Revenue included in Form 990, Part VIII, line 1 ▶ $ _____

b Assets included in Form 990, Part X ▶ $ _____

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets *(continued)*

3 Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):

a ☐ Public exhibition

b ☐ Scholarly research

c ☐ Preservation for future generations

d ☐ Loan or exchange programs

e ☐ Other .....

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5 During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection?. . . ☐ Yes ☐ No

Part IV Escrow and Custodial Arrangements.

Complete if the organization answered "Yes" to Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? . . . . . ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIII and complete the following table:

	Amount
c Beginning balance . .	1c
d Additions during the year	1d
e Distributions during the year	1e
f Ending balance	1f

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided in Part XIII . . . . . ☐

Part V Endowment Funds. Complete if the organization answered "Yes" to Form 990, Part IV, line 10.

	(a)Current year	(b)Prior year	(c)Two years back	(d)Three years back	(e)Four years back
1a Beginning of year balance					
b Contributions . . .					
c Net investment earnings, gains, and losses					
d Grants or scholarships . . .					
e Other expenditures for facilities and programs . . .					
f Administrative expenses					
g End of year balance					

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

a Board designated or quasi-endowment ▶ .....

b Permanent endowment ▶ .....

c Temporarily restricted endowment ▶ .....

The percentages in lines 2a, 2b, and 2c should equal 100%.

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

	Yes	No
(i) unrelated organizations . . . . . 3a(i)		
(ii) related organizations . . . . . 3a(ii)		
b If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R? 3b		

4 Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.

Complete if the organization answered 'Yes' to Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b)Cost or other basis (other)	(c)Accumulated depreciation	(d)Book value
1a Land . . .				
b Buildings				
c Leasehold improvements		20,012	10,251	9,761
d Equipment . . .		62,266	58,578	3,688
e Other . . .		20,536	10,518	10,018
Total. Add lines 1a through 1e. *(Column (d) must equal Form 990, Part X, column (B), line 10(c))* . . ▶				23,467

Part VII **Investments—Other Securities.** Complete if the organizat on answered 'Yes' to Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b)Book value	(c)Method of valuation : Cost or end-of-year market value
(1)Financial derivatives		
(2)Closely-held equity interests		
Other		
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 12.)* ▶		

Part VIII **Investments—Program Related.** Complete if the organization answered 'Yes' to Form 990, Part IV, line 11c. See Form 990, Part X, line 13

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
Total. *(Column (b) must equal Form 990, Part X, col.(B) line 13.)* ▶		

Part IX **Other Assets.** Complete if the organization answered 'Yes' to Form 990, Part IV, line 11d.See Form 990, Part X, line 15.

(a) Description	(b) Book value
Total. *(Column (b) must equal Form 990, Part X, col (B) line 15)* . . . . . ▶	

Part X **Other Liabilities.** Complete if the organization answered 'Yes' to Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
Federal income taxes	0
DEFERRED COMPENSATION PAYABLE	502,318
DEFERRED RENT	91,505
Total. *(Column (b) must equal Form 990, Part X, col.(B) line 25.)* ▶	593,823

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII ☐

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

Complete if the organization answered 'Yes' to Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements			1	4,319,025
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:				
a	Net unrealized gains (losses) on investments	2a	5,255		
b	Donated services and use of facilities	2b			
c	Recoveries of prior year grants	2c			
d	Other (Describe in Part XIII.)	2d			
e	Add lines **2a** through **2d**			2e	5,255
3	Subtract line **2e** from line **1**			3	4,313,770
4	Amounts included on Form 990, Part VIII, line 12, but not on line **1**:				
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a			
b	Other (Describe in Part XIII.)	4b			
c	Add lines **4a** and **4b**			4c	
5	Total revenue. Add lines **3** and **4c.** (This must equal Form 990, Part I, line 12.)			5	4,313,770

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered 'Yes' to Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements			1	5,760,673
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:				
a	Donated services and use of facilities	2a			
b	Prior year adjustments	2b			
c	Other losses	2c			
d	Other (Describe in Part XIII.)	2d			
e	Add lines **2a** through **2d**			2e	
3	Subtract line **2e** from line **1**			3	5,760,673
4	Amounts included on Form 990, Part IX, line 25, but not on line **1:**				
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a			
b	Other (Describe in Part XIII.)	4b			
c	Add lines **4a** and **4b**			4c	
5	Total expenses. Add lines **3** and **4c.** (This must equal Form 990, Part I, line 18.)			5	5,760,673

Part XIII Supplemental Information

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

Return Reference	Explanation	

Additional Data

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SCHEDULE G (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information Regarding Fundraising or Gaming Activities

Complete if the organization answered "Yes" to Form 990, Part IV, lines 17, 18, or 19, or if the organization entered more than $15,000 on Form 990-EZ, line 6a.

▶ **Attach to Form 990 or Form 990-EZ.**

▶ **Information about Schedule G (Form 990 or 990-EZ) and its instructions is at *www.irs.gov/form990.***

2018

Open to Public Inspection

Name of the organization
Center for Educational Innovation

Employer identification number
13-4113613

Part I **Fundraising Activities.** Complete if the organization answered "Yes" to Form 990, Part IV, line 17. Form 990-EZ filers are not required to complete this part.

1 Indicate whether the organization raised funds through any of the following activities. Check all that apply.

- **a** ☑ Mail solicitations
- **b** ☐ Internet and email solicitations
- **c** ☐ Phone solicitations
- **d** ☐ In-person solicitations
- **e** ☐ Solicitation of non-government grants
- **f** ☐ Solicitation of government grants
- **g** ☑ Special fundraising events

2a Did the organization have a written or oral agreement with any individual (including officers, directors, trustees or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services? ☑ **Yes** ☐ **No**

b If "Yes," list the ten highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least $5,000 by the organization.

	(i) Name and address of individual or entity (fundraiser)	**(ii)** Activity	**(iii)** Did fundraiser have custody or control of contributions? Yes	**(iii)** No	**(iv)** Gross receipts from activity	**(v)** Amount paid to (or retained by) fundraiser listed in col. **(i)**	**(vi)** Amount paid to (or retained by) organization
1	BARBIE ZAKIN EVENTS LLC 370 EAST 76TH STREET SUITE B503 NEW YORK, NY 10021	FUNDRAISING CONSULTING		No	723,466	55,000	668,466
2							
3							
4							
5							
6							
7							
8							
9							
10							
Total ▶					723,466	55,000	668,466

3 List all states in which the organization is registered or licensed to solicit contributions or has been notified it is exempt from registration or licensing.

NY

Part II **Fundraising Events.** Complete if the organization answered "Yes" to Form 990, Part IV, line 18, or reported more than $15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than $5,000.

		(a) Event #1 (event type)	(b) Event #2 (event type)	(c) Other events 0 (total number)	(d) Total events (add col. (a) through col. (c))
Revenue	1 Gross receipts	723,466			723,466
	2 Less: Contributions	631,411			631,411
	3 Gross income (line 1 minus line 2)	92,055			92,055
Direct Expenses	4 Cash prizes				
	5 Noncash prizes				
	6 Rent/facility costs	22,000			22,000
	7 Food and beverages	73,940			73,940
	8 Entertainment	31,613			31,613
	9 Other direct expenses	12,450			12,450
	10 Direct expense summary. Add lines 4 through 9 in column (d) ▶				140,003
	11 Net income summary. Subtract line 10 from line 3, column (d) ▶				-47,948

Part III **Gaming.** Complete if the organization answered "Yes" to Form 990, Part IV, line 19, or reported more than $15,000 on Form 990-EZ, line 6a.

		(a) Bingo	(b) Pull tabs/Instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col.(a) through col.(c))
Revenue	1 Gross revenue				
Direct Expenses	2 Cash prizes				
	3 Noncash prizes				
	4 Rent/facility costs				
	5 Other direct expenses	12,450			12,450
	6 Volunteer labor	☐ Yes % ☐ No	☐ Yes % ☐ No	☐ Yes % ☐ No	
	7 Direct expense summary. Add lines 2 through 5 in column (d) ▶				
	8 Net gaming income summary. Subtract line 7 from line 1, column (d) ▶				

9 Enter the state(s) in which the organization conducts gaming activities:

a Is the organization licensed to conduct gaming activities in each of these states? ☐ Yes ☐ No

b If "No," explain:

10a Were any of the organization's gaming licenses revoked, suspended or terminated during the tax year? ☐ Yes ☐ No

b If "Yes," explain:

11 Does the organization conduct gaming activities with nonmembers? . . . . . ☐ Yes ☐ No

12 Is the organization a grantor, beneficiary or trustee of a trust or a member of a partnership or other entity formed to administer charitable gaming? . . . . . ☐ Yes ☐ No

13 Indicate the percentage of gaming activity conducted in:

a	The organization's facility	13a	%
b	An outside facility	13b	%

14 Enter the name and address of the person who prepares the organization's gaming/special events books and records:

Name ▶ ----------

Address ▶ ----------

15a Does the organization have a contract with a third party from whom the organization receives gaming revenue? . . . . . ☐ Yes ☐ No

b If "Yes," enter the amount of gaming revenue received by the organization ▶ $ _____ and the amount of gaming revenue retained by the third party ▶ $ _____.

c If "Yes," enter name and address of the third party:

Name ▶ ----------

Address ▶ ----------

16 Gaming manager information:

Name ▶ ----------

Gaming manager compensation ▶ $ ----------

Description of services provided ▶ ----------

☐ Director/officer ☐ Employee ☐ Independent contractor

17 Mandatory distributions:

a Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license? . . . . . ☐ Yes ☐ No

b Enter the amount of distributions required under state law distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ▶ $

Part IV **Supplemental Information.** Provide the explanations required by Part I, line 2b, columns (iii) and (v), and Part III, lines 9, 9b, 10b, 15b, 15c, 16, and 17b, as applicable. Also complete this part to provide any additional information (see instructions).

Return Reference	Explanation

Schedule G (Form 990 or 990-EZ) 2018

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Schedule I (Form 990)

Department of the Treasury
Internal Revenue Serv ce

Grants and Other Assistance to Organizations, Governments and Individuals in the United States

Complete if the organization answered "Yes," to Form 990, Part IV, line 21 or 22.
▶ **Attach to Form 990.**
▶ **Information about Schedule I (Form 990) and its instructions is at www.irs.gov/form990.**

2018

Open to Public Inspection

Name of the organizat on
Center for Educational Innovation

Employer identification number
13-4113613

Part I General Information on Grants and Assistance

1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . . . ☑ Yes ☐ No

2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

Part II Grants and Other Assistance to Domestic Organizations and Domestic Governments.

Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than $5,000. Part II can be duplicated if additional space is needed.

(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
(1) Federick Douglas Academy [redacted]	31-1722263	501(c)(3)	125,000				AFTER SCHOOL Programs
(2) MANHATTEN CENTER FOR SCIENCE [redacted]	13-6400434		25,000				AFTER SCHOOL Programs
(2)							
(3)							
(4)							
(5)							
(6)							
(7)							
(8)							
(9)							
(10)							
(11)							
(12)							

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table . . . . . ▶ 1

3 Enter total number of other organizations listed in the line 1 table . . . . . ▶ 1

Part III **Grants and Other Assistance to Domestic Individuals.** Complete if the organization answered "Yes" to Form 990, Part IV, line 22. Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of non-cash assistance
(1)					
(2)					
(3)					
(4)					
(5)					
(6)					
(7)					

Part IV **Supplemental Information.** Provide the information required in Part I, line 2, Part III, column (b), and any other additional information.

Return Reference	Explanation
Part I Description of Procedure for Monitoring Use of Funds	CEI requires from sub-grant recipients certification of compliance with programmatic and fiscal grant terms and conditions. Fiscal procedures are developed for each grant and provided to the sub recipient, including documentation to support all disbursements. CEI also conducts site visits to monitor and assess compliance.

Additional Data

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Schedule J (Form 990)

Department of the Treasury
Internal Revenue Service

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 23.
▶ Attach to Form 990.
▶ Information about Schedule J (Form 990) and its instructions is at www.irs.gov/form990.

2018

Open to Public Inspection

Name of the organization
Center for Educat onal Innovat on

Employer identification number
13-4113613

Part I Questions Regarding Compensation

			Yes	No
1a	Check the appropiate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.			
	☐ First-class or charter travel	☐ Housing allowance or residence for personal use		
	☐ Travel for companions	☐ Payments for business use of personal residence		
	☐ Tax idemnification and gross-up payments	☐ Health or social club dues or initiation fees		
	☐ Discretionary spending account	☐ Personal services (e.g., maid, chauffeur, chef)		
b	If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain	1b		
2	Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including the CEO/Executive Director, regarding the items checked in line 1a?	2		
3	Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.			
	☑ Compensation committee	☐ Written employment contract		
	☐ Independent compensation consultant	☑ Compensation survey or study		
	☑ Form 990 of other organizations	☑ Approval by the board or compensation committee		
4	During the year, did any person listed in Form 990, Part VII, Section A, line 1a with respect to the filing organization or a related organization:			
a	Receive a severance payment or change-of-control payment?	4a		No
b	Participate in, or receive payment from, a supplemental nonqualified retirement plan?	4b	Yes	
c	Participate in, or receive payment from, an equity-based compensation arrangement?	4c		No
	If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.			
	Only 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.			
5	For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:			
a	The organization?	5a		No
b	Any related organization?	5b		No
	If "Yes," to line 5a or 5b, describe in Part III.			
6	For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:			
a	The organization?	6a		No
b	Any related organization?	6b		No
	If "Yes," to line 6a or 6b, describe in Part III.			
7	For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III	7		No
8	Were any amounts reported in Form 990, Part VII, paid or accured pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III	8		No
9	If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?	9		

Part II **Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees.** Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported in Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii). Do not list any individuals that are not listed on Form 990, Part VII.

Note. The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column(B) reported as deferred in prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensat on	(iii) Other reportable compensation				
1MICHAEL KOHLHAGENCHIEF EXECUTIVE OFFICER	(i)	192,680				32,119	224,799	
	(ii)							
2LOUIS BENEVENTOCFO	(i)			103,078			103,078	
	(ii)							

Part III Supplemental Information

Provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II.
Also complete this part for any additional information.

Return Reference	Explanation
Part I, line 7b	Louis Benevento received $103,078 from a 457(b) plan.

Additional Data

Return to Form

Software ID:

Software Version:

efile Public Visual Render | ObjectId: 001 - Submission: 2015-01-16

SCHEDULE O
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.
▶ Attach to Form 990 or 990-EZ.
▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

[redacted]

2018

Open to Public Inspection

Name of the organization
Center for Educat onal Innovation

Employer identification number

[redacted]

Return Reference	Explanation
FORM 990, PART VI, SECTION B, LINE 11B	A DRAFT OF IRS FORM 990 WAS DISCUSSED AND REVIEWED WITH THE BOARD OF TRUSTEES' FINANCE/AUDIT COMMITTEE. SUBSEQUENTLY IT WAS PROVIDED TO THE FULL BOARD OF TRUSTEES FOR REVIEW, DISCUSSION, AND NOTATION OF PROPOSED CHANGES. THE BUSINESS OFFICE IS RESPONSIBLE FOR THE PREPARATION OF FORM 990, AND PRESENTED THE DOCUMENT TO BOTH THE FINANCE/AUDIT AND ADMINISTRATIVE COMMITTEE AND BOARD OF TRUSTEES. THE INDEPENDENT ACCOUNTING FIRM OF BKD ALSO PRESENTED AT THE FINANCE/AUDIT AND ADMINISTRATIVE COMMITTEE AND BOARD MEETINGS AND RESPONDED TO QUESTIONS RELATED TO THE INFORMATION PRESENTED IN THE IRS FORM 990. A FINAL COPY WAS DISTRIBUTED TO ALL MEMBERS OF THE BOARD OF TRUSTEES.
FORM 990, PART VI, SECTION B, LINE 12C	ON AN ANNUAL BASIS, ANY CONFLICT OF INTEREST CONCERNS ARE REVIEWED AND RESOLVED ALL BOARD MEMBERS, OFFICERS, KEY EMPLOYEES, AND PROGRAM DIRECTORS ARE REQUIRED TO COMPLETE, AND SIGN, A DISCLOSURE STATEMENT, WHICH IS REVIEWED BY THE PRESIDENT AND CEO. ALL REAL/POTENTIAL CONFLICTS WILL BE ADDRESSED ON A CASE-BY-CASE BASIS WITH THE MEMBER IN CONFLICT EXCUSED FROM VOTING. THERE WERE NO SITUATIONS OF THIS NATURE FOR THE 2019 FISCAL YEAR.
FORM 990, PART VI, SECTION B, LINE 15A	COMPENSATION OF CEI'S CEO IS BASED UPON A COMPENSATION REPORT. THIS WAS LAST PREPARED AND PRESENTED FOR REVIEW IN FISCAL YEAR 2018.
FORM 990, PART VI, SECTION C, LINE 19	THESE DOCUMENTS ARE AVAILABLE UPON REQUEST.
FORM 990, PART XI, LINE 9	CEI FOUNDATION/FUND CONTRIBUTIONS: 13,347
FORM 990 PART IX LINE 11G	DESCRIPTION:CONSULTING SERVICES TOTAL FEES:771619

Additional Data

Return to Form

Software ID:

Software Version:

Attachment J: Authorization to do Business in New York State

Attachment K: Not-for-Profit Status

Please find CEI's Authorization to do Business in New York State and Not-for-Profit Status documentation attached.

GEORGE SHEBITZ & ASSOCIATES, P.C.
ATTORNEYS-AT-LAW
1370 AVENUE OF THE AMERICAS
NEW YORK CITY, NEW YORK 10019
TEL: (212) 307-0909
FAX: (212) 586-9683—NOT FOR SERVICE

GEORGE SHEBITZ

NAHAL MOTAMED*
JULIA R. COHEN†

FREDERICK J. BERMAN
AARON WEITZ
OF COUNSEL

*(ALSO ADMITTED IN MA)
†(ALSO ADMITTED IN DC)

GEORGETOWN OFFICE
3105 SOUTH STREET
WASHINGTON, D.C. 20007
(202) 965-3652

RIVERVIEW
251 NORTH BROADWAY
NYACK-ON-HUDSON, NY 1096
(914) 358-1585

October 19, 1998

Harold Lefkowitz
1474 East 18th Street
Brooklyn, New York 11230

Re: Center for Educational Innovation

Dear Mr. Lefkowitz:

As you requested, enclosed please find a certified copy of the Certificate of Incorporation and a certified copy of the Amended Certificate of Incorporation as well as the State Education Department consents. It is my understanding that these certificates are necessary for your application for tax-exempt certificates. If we can be of further assistance, please do not hesitate to contact us.

Hoping all is well with you and yours.

Sincerely

[redacted]

Julia R. Cohen

JRC:tab
cc: Seymour Fliegel
Enclosures

F 950711400502

The University of the State of New York

Education Department

STATE OF NEW YORK :
: ss.:
COUNTY OF ALBANY :

Pursuant to the provisions of section 216 of the Education Law and section 404, subdivision (d) of the Not-for-Profit Corporation Law, consent is hereby given to the filing of the annexed certificate of incorporation of CENTER FOR EDUCATIONAL INNOVATION INC., as a not-for-profit corporation.

This consent to filing, however, shall not be construed as approval by the Board of Regents, the Commissioner of Education or the State Education Department of the purposes or objects of such corporation, nor shall it be construed as giving the officers or agents of such corporation the right to use the name of the Board of Regents, the Commissioner of Education, the University of the State of New York or the State Education Department in its publications or advertising matter.

This consent to filing is granted with the understandings and upon the conditions set forth on the reverse side of this form.

IN WITNESS WHEREOF this instrument is executed and the seal of the State Education Department is affixed this 11th day of July, 1995.

Thomas Sobol
Commissioner of Education

By: [redacted]

Richard L. Nabozny
Senior Attorney

This consent to filing is granted with the understanding that nothing contained in the annexed corporate document shall be construed as authorizing the corporation to engage in the practice of law, except as provided by subdivision 7 of section 495 of the Judiciary Law, or of any of the professions designated in Title VIII of the Education Law, or to conduct a school for any such profession, or to hold itself out to the public as offering professional services.

This consent to filing is granted with the further understanding that nothing contained in the annexed corporate document shall be construed as authorizing the corporation to operate a nursery school, kindergarten, elementary school, secondary school, institution of higher education, cable television facility, educational television station pursuant to section 236 of the Education Law, library, museum, or historical society, or to maintain an historic site.

This consent to filing shall not be deemed to be or to take the place of registration for the operation of a business school in accordance with the provisions of section 5001 of the Education Law, nor shall it be deemed to be, or to take the place of, a license granted by the Board of Regents for the operation of a private school pursuant to the provisions of section 5001 of the Education Law, a license granted by the Commissioner of Motor Vehicles pursuant to the provisions of section 394 of the Vehicle and Traffic Law, a license as an employment agency granted pursuant to section 172 of the General Business Law or any other license, certificate, registration, or approval required by law.

[redacted]

SERVICO 35

CERTIFICATE OF INCORPORATION

OF

CENTER FOR EDUCATIONAL INNOVATION INC.

Under Section 402 of the Not-for-Profit Corporation Law

IT IS HEREBY CERTIFIED THAT:

(1) The name of the corporation is:

CENTER FOR EDUCATIONAL INNOVATION INC.

(2) The corporation is a corporation as defined in subparagraph (a)(5) of Section 102: the corporation is a Type B Corporation.

(3) The purpose or purposes for which this corporation is formed are as follows:

To support innovative small schools, support school choice, restructure existing schools and districts, to help individuals and groups create schools which are focused, autonomous and accountable, to bring resources of the private sector, individuals and foundations to support schools and youth programs, to change the New York City schools into a successful system for all its children, to educate the general public about school return and to interface with universities in teacher preparation and research.

To do any other act or thing incidental to or connected with the foregoing purposes or in the advancement thereof, but not for the pecuniary profit or financial gain of its members, directors, or officers.

Nothing herein shall authorize this Corporation, directly or indirectly, to engage in or include among its purposes any of the activities mentioned in Not-for-Profit Corporation Law Section 404 (b) through (v).

In furtherance of its corporate purposes, the Corporation shall have all general powers enumerated in Section 202 of the Not-for-Profit Corporation Law, together with the powers to solicit grants and contributions for corporate purposes.

(4) Notwithstanding any other provision of these articles, the corporation is organized exclusively for one or more of the purposes as specified in Section 501 (c) (3) of the Internal Revenue Code of 1986, and shall not carry on any activities not permitted to be carried on by a corporation exempt from Federal income tax under Internal Revenue Code Section 501 (c) (3) or corresponding provisions of any subsequent Federal tax laws.

3

No part of the net earnings of the corporation shall inure to the benefit of any member, trustee, director, officer of the corporation, or any private individual (except that reasonable compensation may be paid for services rendered to or for the corporation), and no member, trustee, director, officer of the corporation or any private individual shall be entitled to share in the distribution of any of the corporate assets on dissolution of the corporation.

No substantial part of the activities of the corporation shall be carrying on propaganda, or otherwise attempting to influence legislation (except as otherwise provided by Internal Revenue Code Section 501 (h)) or participating in or intervening in (including the publication or distribution of statements), any political campaign on behalf of any candidate for public office.

In the event of dissolution, all of the remaining assets and property of the corporation, shall, after necessary expenses thereof, be distributed to another organization exempt under Internal Revenue Code Section 501 (c) (3), or corresponding provisions of any subsequent Federal tax laws, or to the Federal Government, or state or local government for a public purpose, subject to the approval of a Justice of the Supreme Court of the State of New York.

In any taxable year in which the corporation is a private foundation as described in Internal Revenue Code Section 509 (a), the corporation shall distribute its income for said period at such time and manner as not to subject it to tax under Internal Revenue Code Section 4942, and the corporation shall not (A) engage in any act of self-dealing as defined in Internal Revenue Code Section 4941 (d), retain any excess business holdings as defined in Internal Revenue Code Section 4943 (c), (B) make any investments in such manner as to subject the corporation to tax under Internal Revenue Code Section 4944, or (C) make any taxable expenditures as defined in Internal Revenue Code Section 4945 (d) or corresponding provisions of any subsequent Federal tax laws.

Nothing contained in this certificate shall authorize or empower the corporation to perform or engage in any act or practice prohibited by General Business Law, Section 340 or any other antimonopoly statute of the State of New York.

(5) The office of the corporation is to be located in the County of New York.

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(6) The initial directors of the corporation until the first annual meeting are as follows:

Seymour Fliegel, 166-40 Powells Cove Blvd., Whitestone, NY 11357
Sonia Fliegel, 166-40 Powells Cove Blvd., Whitestone, NY 11357
Reginald Landeau, 831 Baldwin Drive, Westbury, NY 11590
Ruby Landeau, 831 Baldwin Drive, Westbury, NY 11590
Carlos Medina, 5700 Arlington Avenue, Riverdale, NY 10471
Coleman Genn, 64 Prospect Avenue, Hewlett, NY 11557
Leslie Moore, 333 East 79th Street, New York, NY 10021

(7) The duration of the corporation is perpetual.

(8) The Secretary of State is designated as agent of the corporation upon whom process against it may be served. The post office address to which the Secretary of State shall mail a copy of any process against the corporation served upon him is: 52 Vanderbilt Avenue, New York, NY 10017.

IN WITNESS WHEREOF, I hereunto sign my name and affirm that the statements made herein are true under the penalties of perjury.

Dated: June 30, 1995

Scott J. Schuster, Incorporator
283 Washington Avenue
Albany, New York 12206

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F 950714000502

SERVICO 35

CERTIFICATE OF INCORPORATION

OF

CENTER FOR EDUCATIONAL INNOVATION INC.

Under Section 402 of the Not-for-Profit Corporation Law

STATE OF NEW YORK
DEPARTMENT OF STATE
FILED JUL 14 1995
TAX $ 5AC
BY: New York

FILER:

GEORGE SHEBITZ & ASSOC. P.C.

1370 AVENUE OF THE AMERICAS

NEW YORK, NY 10019

BILLED

950714000549

F98070700064?

The University of the State of New York

Education Department

STATE OF NEW YORK:
: ss.:
COUNTY OF ALBANY :

In accordance with the provisions of section 804 of the Not-for-Profit Corporation Law, consent is hereby given to the change of purposes of CENTER FOR EDUCATIONAL INNOVATION INC., contained in the annexed certificate of amendment of the certificate of incorporation.

This consent to filing, however, shall not be construed as approval by the Board of Regents, the Commissioner of Education or the State Education Department of the purposes or objects of such corporation, nor shall it be construed as giving the officers or agents of such corporation the right to use the name of the Board of Regents, the Commissioner of Education, the University of the State of New York or the State Education Department in its publications or advertising matter.

This consent to filing is granted with the understandings and upon the conditions set forth on the reverse side of this form.

IN WITNESS WHEREOF this instrument is executed and the seal of the State Education Department is affixed this 16th day of June, 1998.

Richard P. Mills
Commissioner of Education

By:

Richard L. Nabozny
Senior Attorney

This consent to filing is granted with the understanding that nothing contained in the annexed corporate document shall be construed as authorizing the corporation to engage in the practice of law, except as provided by subdivision 7 of section 495 of the Judiciary Law, or of any of the professions designated in Title VIII of the Education Law, or to conduct a school for any such profession, or to hold itself out to the public as offering professional services.

This consent to filing is granted with the further understanding that nothing contained in the annexed corporate document shall be construed as authorizing the corporation to operate a nursery school, kindergarten, elementary school, secondary school, institution of higher education, cable television facility, educational television station pursuant to section 236 of the Education Law, library, museum, or historical society, or to maintain an historic site.

This consent to filing shall not be deemed to be or to take the place of registration for the operation of a business school in accordance with the provisions of section 5001 of the Education Law, nor shall it be deemed to be, or to take the place of, a license granted by the Board of Regents for the operation of a private school pursuant to the provisions of section 5001 of the Education Law, a license granted by the Commissioner of Motor Vehicles pursuant to the provisions of section 394 of the Vehicle and Traffic Law, a license as an employment agency granted pursuant to section 172 of the General Business Law, or any other license, certificate, registration, or approval required by law.

ORIGINAL

F98070700d649

SERVICO 35

CERTIFICATE OF AMENDMENT
OF THE
CERTIFICATE OF INCORPORATION

OF

CENTER FOR EDUCATIONAL INNOVATION INC.

Under Section 803 of the Not-for-Profit Corporation Law

The undersigned, being the President and Secretary, respectively of the above mentioned corporation, hereby certify:

1. The name of the corporation is:
CENTER FOR EDUCATIONAL INNOVATION INC.

2. Its certificate of incorporation was filed by the Department of State on the July 14, 1995, under the Not-For-Profit Corporation Law.

3. The corporation is a corporation as defined in subparagraph (a)(5) of Section 102 of the Not-for-Profit Corporation Law, and is a Type B Corporation as defined in section 201 of that law. Upon filing of this certificate of amendment, the corporation shall be a Type B Corporation as defined in Section 201 of the Not-for-Profit Corporation Law.

4. The Secretary of State is designated as the agent of the corporation upon whom process against the corporation may be served, and the address to which the Secretary of State shall mail a copy of any process against the corporation served upon him is 52 Vanderbilt Avenue, New York, NY 10017.

5. The certificate of incorporation is hereby amended as follows:

To amend the purposes in paragraph 3, and the IRS provisions in paragraph 4. Said paragraphs shall be amended to read as follows:

3). The corporation is organized exclusively for charitable, educational, religious or scientific purposes, within the meaning of section 501(c) (3) of the Internal Revenue Code (or corresponding section of any future Federal Tax Code.)

To support innovative small schools, support school choice, restructure existing schools and districts, to help individuals and groups create schools which are focused, autonomous and accountable, to bring resources of the private sector, individuals and foundations to support schools and youth programs, to change the New York City Schools into a successful system for all its children, to educate the general public about school return and to interface with universities in teacher preparation and research.

3

Nothing herein shall authorize this Corporation, directly or indirectly, to engage in or include among its purposes any of the activities mentioned in Not-for-Profit Corporation Law Section 404 (b) through (v).

In furtherance of its exclusively charitable corporate purposes, the Corporation shall have all general powers enumerated in Section 202 of the Not-for-Profit Corporation Law, together with the powers to solicit grants and contributions for corporate purposes consistent with Section 501(c)(3) of the Internal Revenue Code.

(4) Notwithstanding any other provision of these articles, the corporation/organization shall not carry on any other activities not permitted to be carried on (a) by a corporation/organization exempt from Federal Income tax under Section 501(c)(3) of the Internal Revenue Code (or corresponding section of any future federal tax code) or (b) by a corporation/organization, contributions to which are deductible under Section 170(c)(2) of the Internal Revenue Code (or corresponding section of any future Federal tax code.)

No part of the net earnings of the corporation/organization shall inure to the benefit of, or be distributable to its members, trustees, directors, officers or other private persons, except that the corporation/organization shall be authorized and empowered to pay reasonable compensation for services rendered and to make payments and distributions in furtherance of Section 501(c)(3) purposes. No substantial part of the activities of the corporation of the corporation/organization shall be the carrying on of propaganda, or otherwise attempting to influence legislation, and the corporation/organization shall not participate in, or intervene in (including the publishing or distribution of statements) any political campaign on behalf of or in opposition to any candidate for public office.

In the event of dissolution, all of the remaining assets and property of the corporation, shall, after necessary expenses thereof, be distributed to another organization exempt under Internal Revenue Code Section 501 (c) (3), or corresponding provisions of any subsequent Federal tax laws, or to the Federal Government, or state or local government for a public purpose, subject to the approval of a Justice of the Supreme Court of the State of New York.

Nothing contained in this certificate shall authorize or empower the corporation to perform or engage in any act or practice prohibited by General Business Law, Section 340 or any other anti-monopoly statute of the State of New York.

6. The above amendments to the certificate of incorporation were authorized by a majority vote of the members entitled to vote thereon at a meeting.

IN WITNESS WHEREOF, this certificate has been subscribed by the undersigned who affirm that the statements made herein are true under penalties of perjury.

DATED: 6/18/98

Seymour Fliegel

SEYMOUR FLIEGEL
President

[redacted]

HAROLD LEFKOWITZ
Secretary

5

STATE OF NEW YORK

SUPREME COURT, COUNTY OF NEW YORK

IN THE MATTER OF THE APPLICATION FOR THE APPROVAL

OF

CERTIFICATE OF AMENDMENT

OF THE CERTIFICATE OF INCORPORATION

OF

CENTER FOR EDUCATIONAL INNOVATION INC.

Pursuant to the Not-For-Profit Corporation Law

FILED

I, _____, a Justice of the Supreme Court of the FIRST Judicial District, do hereby approve the foregoing Certificate of Amendment to the Certificate of Incorporation of CENTER FOR EDUCATIONAL INNOVATION INC., and consent that the same be filed.

THE UNDERSIGNED HAS NO OBJECTION TO THE GRANTING OF JUDICIAL APPROVAL HEREON AND WAIVES STATUTORY NOTICE
DENNIS C. VACCO, ATTORNEY GEN.
STATE OF NEW YORK
by Laura Wenzel
Assistant

[redacted]
Justice of the Supreme Court

FILED

May 20, 1996

SERVICO 35

CERTIFICATE OF AMENDMENT

OF THE

CERTIFICATE OF INCORPORATION

OF

CENTER FOR EDUCATIONAL INNOVATION INC.

Under Section 803 of the Not-For-Profit Corporation Law

[redacted]

RECEIVED
JUL 11 8 41 '98

STATE OF NEW YORK
DEPARTMENT OF STATE
FILED JUL 07 1998
TAX $
BY:

FILER:

GEORGE SHAPIRO & ASSOCIATES, P.C.

1370 AVENUE OF THE AMERICAS

NEW YORK NY 10019

SERVICO 35

[redacted]

The University of the State of New York

Education Department

PUBLIC EDUCATION ASSOCIATION
AND
CENTER FOR EDUCATIONAL INNOVATION INC.

ORDER OF CONSOLIDATION

This Instrument Witnesseth That the Board of Regents for and on behalf of the Education Department of the State of New York at their meeting of February 8, 2000,

The Public Education Association, located in the city, county, and state of New York, was incorporated by action of the Board of Regents under an absolute charter in the first instance on April 6, 1899, which absolute charter was amended by Regents action on July 31, 1953, April 23, 1971 and May 28, 1976.

The Center for Educational Innovation Inc., located in the city, county, and state of New York, was incorporated under §402 of the Not-For-Profit Corporation Law (NPCL) on July 14, 1995, pursuant to consent of the Commissioner of Education dated July 11, 1995 and filed a certificate of amendment under §803 of the NPCL on July 7, 1998, pursuant to consent of the Commissioner dated June 16, 1998.

The board of trustees of the Public Education Association and the board of directors of the Center for Educational Innovation Inc. have petitioned the Board of Regents, pursuant to Education Law §223, for an order consolidating the said corporations under one name, to wit, Center for Educational Innovation-Public Education Association, in accordance with an agreement of consolidation annexed to the petition, with power to carry on and conduct the educational activities heretofore carried on and conducted by said petitioners, and it was

Voted, that

1. In pursuance of the authority contained in Education Law §223, the Public Education Association and the Center for Educational Innovation Inc. be and hereby are consolidated under the name Center for Educational Innovation-Public Education Association.

2. The principal office of the consolidated corporation shall be located at 28 West 44th Street, New York, New York 10036.

3. The surviving corporation will continue to administer the educational operations and purposes of the constituent corporations in the same manner as they presently exist, and the purposes of the consolidated corporation, including but not limited to the activities for which the Public Education Association was originally chartered, are:

   a. to support and foster public education in the city of New York including support of innovative small schools, school choice, and the restructuring of existing schools and districts;
   b. to help individuals and groups create schools that are focused, autonomous and accountable;
   c. to bring resources of the private sector, individuals and foundations to support schools and youth programs in order to change the New York City schools into a successful system for all its children;
   d. to educate the general public about school reform and to interact with universities in teacher preparation and research;
   e. to publish and disseminate information to enable parents to make informed choices about schools;
   f. to furnish advice and assistance to parents who seek help;
   g. to actively encourage parental involvement to protect the interests of children in public schools;
   h. to publish information about the performance of the public schools; and
   i. to do any other lawful act or thing incidental to or connected with the foregoing purposes or in the advancement thereof.

4. The separate existence of the constituent corporations hereby ceases, and the consolidated corporation is hereby vested with all the rights, privileges, immunities, powers and authority possessed by or granted by law to each of the constituent corporations. All assets and liabilities of the respective predecessor corporations are hereby assets and liabilities of the consolidated corporation. All property, real, personal and mixed and all debts to each of the corporations on whatever account are hereby attached to the consolidated corporation and may be enforced against it to the same extent as if the debts, liabilities and duties had been incurred or contracted by it.

5. Judy Roth Berkowitz, Donald Cecil, Mary Ellen Fahs, Greg Feldman, Nathan Glazer, Sherry Jacobs, Anton J. Klein, Steven B. Klinsky, Arthur B. Kramer, Frank J. Macchiarola, Dean Ringel, Alan S. Rosenberg, Denise Saul, Raymond Smart, Ann Rubenstein Tisch and Bruce Williams constitute the first board of trustees, to serve until the first annual meeting of the consolidated corporation. The board has power to adopt bylaws, including therein provisions fixing the method of election and the term of office of trustees, and has power by vote of two-thirds of all the members of the board of trustees to change the number of trustees to be not more than twenty-five nor less than five.

6. The corporation hereby created shall be a nonstock corporation organized and operated exclusively for educational purposes, and no part of its net earnings or net income shall inure to the benefit of any individual; no officer, member or employee of the corporation shall receive or be entitled to receive any pecuniary profit from the operation thereof, except reasonable compensation for services.

7. Notwithstanding any other provision of these articles the corporation shall not carry on any other activities not permitted to be carried on (a) by a corporation exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law) or (b) by a corporation, contributions to which are deductible under section 170(c)(2) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law).

8. No substantial part of the activities of the corporation shall be devoted to carrying on propaganda, or otherwise attempting to influence legislation (except to the extent authorized by Internal Revenue Code section 501(h) as amended, or the corresponding provision of any future United States Internal Revenue Law, during any fiscal year or years in which the corporation has chosen to utilize the benefits authorized by the statutory provision), and the corporation shall not participate in or intervene (including the publishing or distribution of statements) in any political campaign on behalf of any candidate for public office.

9. In the event of dissolution, all of the remaining assets and property of the consolidated corporation shall, after necessary expenses thereof, be distributed to such organizations as shall qualify under section 501(c)(3) of the Internal Revenue Code of 1986 (or the corresponding provision of any future United States Internal Revenue Law) or to another organization to be used in such manner as in the judgment of a Justice of the Supreme Court of the State of New York will best accomplish the general purposes for which this consolidated corporation was formed.

10. The Commissioner of Education is designated as the representative of the corporation upon whom process in any action or proceeding against it may be served.

11. The consolidation herein shall take effect immediately.

12. The consolidated corporation will operate under the absolute charter in the first instance hereby granted to it as the Center for Educational Innovation-Public Education Association.

Granted, February 8, 2000, by the Board of Regents of The University of the State of New York, for and on behalf of the State Education Department, and executed under the seal of said University and recorded as Number 22,875.

Chancellor

President of the University and
Commissioner of Education

DEPARTMENT OF THE TREASURY
INTERNAL REVENUE SERVICE
HOLTSVILLE NY 00501

MAY 10 REC'D

DATE OF THIS NOTICE: 05-03-2000
NUMBER OF THIS NOTICE: CP 575 F
EMPLOYER IDENTIFICATION NUMBER: 13-4113613
FORM: SS-4
1925527007 0

FOR ASSISTANCE CALL US AT:
1-800-829-1040

CENTER FOR EDUCATIONAL INNOVATION-
% STEPHEN KAHN
28 W 44TH ST STE 914
NEW YORK NY 10039

OR WRITE TO THE ADDRESS
SHOWN AT THE TOP LEFT.

IF YOU WRITE, ATTACH THE
STUB OF THIS NOTICE.

WE ASSIGNED YOU AN EMPLOYER IDENTIFICATION NUMBER (EIN)

Thank you for your Form SS-4, Application for Employer Identification Number (EIN). We assigned you EIN 13-4113613. This EIN will identify your business account, tax returns, and documents, even if you have no employees. Please keep this notice in your permanent records.

Use your complete name and EIN as shown above on all federal tax forms, payments, and related correspondence. If you use any variation in your name or EIN, it may cause a delay in processing, incorrect information in your account, or cause you to be assigned more than one EIN.

Please use the label IRS provided when filing tax documents. If that isn't possible, you should use your EIN and complete name and address as shown below to identify your account and to avoid delays in processing.

CENTER FOR EDUCATIONAL INNOVATION-
PUBLIC EDUCATION ASSOCIATION
[redacted]

If this information isn't correct, please correct it using page 2 of this notice. Return it to us at the address shown so we can correct your account.

If you want to apply to receive a ruling or a determination letter recognizing your organization as tax exempt, and have not already done so, you should file Form 1023/1024, Application for Recognition of Exemption, with the IRS Ohio Key District Office, Publication 557, Tax Exempt Status for Your Organization, is available at most IRS offices and has details on how you can apply.

Thank you for your cooperation.

MAR - 6 RECD

DEPARTMENT OF THE TREASURY

INTERNAL REVENUE SERVICE
P. O. BOX 2508
CINCINNATI, OH 45201

Date FEB 28 2001

CENTER FOR EDUCATIONAL INNOVATION-
PUBLIC EDUCATION ASSOCIATION
[redacted]

Employer Identification Number:
[redacted]
DLN:
17053353030040
Contact Person:
THOMAS K SHU
ID# [redacted]
Contact Telephone Number:
[redacted]
Accounting Period Ending:
December 31
Form 990 Required:
Yes
Addendum Applies:
No

Dear Applicant:

Based on information supplied, and assuming your operations will be as stated in your application for recognition of exemption, we have determined you are exempt from federal income tax under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3).

We have further determined that you are not a private foundation within the meaning of section 509(a) of the Code, because you are an organization described in sections 509(a)(1) and 170(b)(1)(A)(vi).

If your sources of support, or your purposes, character, or method of operation change, please let us know so we can consider the effect of the change on your exempt status and foundation status. In the case of an amendment to your organizational document or bylaws, please send us a copy of the amended document or bylaws. Also, you should inform us of all changes in your name or address.

As of January 1, 1984, you are liable for taxes under the Federal Insurance Contributions Act (social security taxes) on remuneration of $100 or more you pay to each of your employees during a calendar year. You are not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Since you are not a private foundation, you are not subject to the excise taxes under Chapter 42 of the Code. However, if you are involved in an excess benefit transaction, that transaction might be subject to the excise taxes of section 4958. Additionally, you are not automatically exempt from other federal excise taxes. If you have any questions about excise, employment, or other federal taxes, please contact your key district office.

Grantors and contributors may rely on this determination unless the Internal Revenue Service publishes notice to the contrary. However, if you lose your section 509(a)(1) status, a grantor or contributor may not rely on this determination if he or she was in part responsible for, or was aware of, the act or failure to act, or the substantial or material change on the

part of the organization that resulted in your loss of such status, or if he or she acquired knowledge that the Internal Revenue Service had given notice that you would no longer be classified as a section 509(a)(1) organization.

Donors may deduct contributions to you as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for federal estate and gift tax purposes if they meet the applicable provisions of Code sections 2055, 2106, and 2522.

Contribution deductions are allowable to donors only to the extent that their contributions are gifts, with no consideration received. Ticket purchases and similar payments in conjunction with fundraising events may not necessarily qualify as deductible contributions, depending on the circumstances. See Revenue Ruling 67-246, published in Cumulative Bulletin 1967-2, on page 104, which sets forth guidelines regarding the deductibility, as charitable contributions, of payments made by taxpayers for admission to or other participation in fundraising activities for charity.

In the heading of this letter we have indicated whether you must file Form 990, Return of Organization Exempt From Income Tax. If Yes is indicated, you are required to file Form 990 only if your gross receipts each year are normally more than $25,000. However, if you receive a Form 990 package in the mail, please file the return even if you do not exceed the gross receipts test. If you are not required to file, simply attach the label provided, check the box in the heading to indicate that your annual gross receipts are normally $25,000 or less, and sign the return.

If a return is required, it must be filed by the 15th day of the fifth month after the end of your annual accounting period. A penalty of $20 a day is charged when a return is filed late, unless there is reasonable cause for the delay. However, the maximum penalty charged cannot exceed $10,000 or 5 percent of your gross receipts for the year, whichever is less. For organizations with gross receipts exceeding $1,000,000 in any year, the penalty is $100 per day per return, unless there is reasonable cause for the delay. The maximum penalty for an organization with gross receipts exceeding $1,000,000 shall not exceed $50,000. This penalty may also be charged if a return is not complete, so be sure your return is complete before you file it.

You are required to make your annual information return, Form 990 or Form 990-EZ, available for public inspection for three years after the later of the due date of the return or the date the return is filed. You are also required to make available for public inspection your exemption application, any supporting documents, and your exemption letter. Copies of these documents are also required to be provided to any individual upon written or in person request without charge other than reasonable fees for copying and postage. You may fulfill this requirement by placing these documents on the Internet. Penalties may be imposed for failure to comply with these requirements. Additional information is available in Publication 557, Tax-Exempt Status for Your Organization, or you may call our toll free number shown above.

You are not required to file federal income tax returns unless you are subject to the tax on unrelated business income under section 511 of the Code. If you are subject to this tax, you must file an income tax return on Form 990-T, Exempt Organization Business Income Tax Return. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You need an employer identification number even if you have no employees. If an employer identification number was not entered on your application, a number will be assigned to you and you will be advised of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

If we have indicated in the heading of this letter that an addendum applies, the enclosed addendum is an integral part of this letter.

Because this letter could help resolve any questions about your exempt status and foundation status, you should keep it in your permanent records.

We have sent a copy of this letter to your representative as indicated in your power of attorney.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Sincerely yours,

[redacted]

Steven T. Miller
Director, Exempt Organizations

New York State
Department of
Taxation and Finance

Exempt Organization Certificate

ST-119
(9/98)

The organization named below is exempt from payment of the New York State and local sales and use tax.

The number shown on this certificate must be entered on any Form ST-119.1, *Exempt Organization Certification*, presented to a vendor. If this certificate is lost or destroyed, you may obtain a replacement by notifying the Exempt Organizations Unit.

This certificate will remain in effect unless it is revoked or cancelled. Misuse of the authority granted under this certificate will result in the revocation of exempt status and subject the organization to substantial civil and criminal penalties.

CENTER FOR EDUCATIONAL INNOVATION -
PUBLIC EDUCATION ASSOCIATION
28 WEST 44TH STREET SUITE 914
NEW YORK, NY 10036

Certificate number
EX [redacted]

Date issued
March 26, 2001

This certificate may not be altered, changed, lent, or transferred to another organization or person.

Exhibit II

BY-LAWS

OF

CENTER FOR EDUCATIONAL INNOVATION-PUBLIC

EDUCATION ASSOCIATION

ARTICLE I

NAME AND OFFICES

SECTION 1. Name. The name of this Corporation is "Center for Educational Innovation-Public Education Association" (herein sometimes referred to as "CEI-PEA" or "the Corporation").

SECTION 2. Offices. The Principal office of CEI-PEA shall be in the county of New York, City of New York. CEI-PEA may also have offices at such other places as the Board of Directors may from time appoint or the purposes of CEI-PEA may require.

ARTICLE II

MEMBERS

CEI-PEA shall have no members.

ARTICLE III

BOARD OF DIRECTORS

SECTION 1. Powers and Number. The Board of Directors shall have general power to control and manage the affairs and property of the Corporation in accordance with the purposes and limitations set forth in the Certificate of Incorporation. The number of directors constituting the entire Board shall be no fewer than eight and no more than twenty-four. Within the foregoing limits, the number may be increased or decreased by vote of the Board of Directors and shall be fixed from time to time by the Board of Directors. Until determined otherwise by the Board of Directors, the number of directors shall be sixteen.

SECTION 2. Election and Term of Office. The initial directors shall be the persons named in the Certificate of Incorporation. New directors shall be elected at the first meeting of the Board of Directors, and at each subsequent annual meeting, by a majority of the directors then in office. Each director shall serve for a term of one year and until his or her successor shall have been elected and qualified, or until his or her death, resignation or removal.

SECTION 3. Removal. Any director may be removed with or without cause, by a vote of majority of the directors then in office, at any special meeting of the board called for that purpose.

SECTION 4. Resignation. Any director may resign from office at any time by delivering a resignation in writing to any officer, and the acceptance of the resignation, unless required by its terms, shall not be necessary to make the resignation effective.

SECTION 5. Vacancies and Newly Created Directorships. Any newly created

directorships and any vacancies on the Board of Directors arising at any time and from any cause may be filled at any meeting of the Board of Directors by a majority of the directors present at each meeting and each director so elected shall serve until his or her successor shall have been elected or qualified.

SECTION 6. Place and Time of Meetings. The annual meeting of the Board shall be held at a time and place fixed by the Board. The time and place for holding regular meetings shall be fixed by the Board. A special meeting may be called at any time by the Chairman or any other officer or by written demand of any two directors at any time and place specified by the person calling the meeting.

SECTION 7. Notice of Meetings. At least two days' notice of the time and place of each regular or annual meeting of the Board shall be given and, in the case of special meetings, such notice shall state the purpose for which such special meeting is called.

SECTION 8. Quorum and Voting. At all meetings of the Board of Directors, a majority of the entire Board of Directors, shall constitute a quorum for the transaction of business. Except as otherwise provided by law or these By-Laws, at any meeting of the Board of Directors at which a quorum is present, the vote of a majority of the directors present at the time of the vote shall be the act of the Board.

SECTION 9. Committees of the Board. The Board may establish and appoint an executive and other standing committees. Each committee so appointed shall, to the extent

provided in the resolution establishing it, have all the authority of the Board except as to the following matters:

1. the filling of vacancies on the Board;

2. the amendment or repeal of the By-Laws or the adoption of new By-Laws;

3. the amendment or repeal of any resolutions of the Board which by its terms shall not be so amendable or repealable; or

4. the amendment of the Certificate of Incorporation

Special committees may be appointed by the Chairman with the consent of the Board and shall have only the powers specifically delegated to them by the Board.

SECTION 10. PEA Advisory Board. The Board shall establish and appoint a committee, called the PEA Advisory Board, consisting of up to 20 members who need not be Directors of the Corporation and who shall oversee and advise CEI-PEA regarding the programs, services and activities that were formerly conducted under the auspices of Public Education Association, prior to the consolidation of Public Education Association and Center for Educational Innovation into a single entity. Until determined otherwise by the Board of Directors, the members of the PEA Advisory Board shall be those trustees of Public Education Association who are not elected to the Board of Directors of CEI-PEA at the time of its formation.

SECTION 11. Conference Calls. Any one or more members of the Board or any committee thereof may participate in a meeting of the Board or such committee by means of a conference telephone or similar communications equipment allowing all persons participating in

the meeting to hear each other at the same time. Participation by such means shall constitute presence in person at a meeting.

SECTION 12. Action by the Board. Any action required or permitted to be taken by the Board or by any committee thereof may be taken without a meeting if all members of the Board or the committee consent in writing to the adoption of a resolution authorizing the action. The resolution and the written consents shall be filed with the minutes of the proceedings of the Board or committee.

ARTICLE IV

OFFICERS, EMPLOYEES AND AGENTS

SECTION 1. Officers. The Officers of CEI-PEA shall be a Chair of the Board, a President, a Secretary, a Treasurer, and such other officers, including one or more Vice Presidents, as the Board of Directors may from time to time elect. The Chair and President shall be members of the Board of Directors. The other officers may, but need not be, members of the Board of Directors. Any two or more offices may be held by the same person, except the offices of Chair, President and Secretary.

SECTION 2. Election, Term of Office and Removal. The officers of CEI-PEA shall be elected for a one year term at the annual meeting of the Board of Directors immediately following the election of directors, and each shall continue in office until his or her successor shall have been elected and qualified, or until his or her death, resignation or removal. Any Officer of the Corporation may be removed, with or without cause, by a vote of a majority of the

entire Board.

SECTION 3. Other Agents and Employees. The Board of Directors may from time to time appoint such agents and employees as it shall deem necessary, each of whom shall hold office during the pleasure of the Board of Directors and shall have such authority, perform such duties and receive such reasonable compensation, if any, as the Board of Directors may from time to time determine.

SECTION 4. Vacancies. Any vacancy in any office may be filled by the Board of Directors. Any officer so elected shall hold office until the next annual meeting of the Board of Directors and the election and qualification of his or her successor.

SECTION 5. Chair of the Board: Powers and Duties. The Chair of the Board shall preside at all meetings of the Board of Directors and shall generally supervise the affairs of the Corporation. He or she shall have the power to sign alone, unless the Board of Directors shall specifically require an additional signature, in the name of the Corporation, all contracts authorized either generally or specifically by the Board of Directors. The Chair of the Board shall also have such other powers and perform such other duties as the Board of Directors may from time to time prescribe. The Chair of the Board will also serve as the Chief Executive Officer of the Corporation.

SECTION 6. President: Powers and Duties. The President shall have responsibility for the day-to-day operations of the Corporation and shall have the power to sign alone, unless the Board of Directors shall specifically require an additional signature, in the name of the

Corporation, all contracts authorized either generally or specifically by the Board of Directors. In the absence or inability of the Chair of the Board to act, the President shall perform all the duties and may exercise all of the powers of the Chair of the Board. The President shall also have such other powers and perform such other duties as the Board of Directors may from time to time prescribe.

SECTION 7. Vice President: Powers and Duties. A Vice President shall have such powers and perform such duties as the Board of Directors may from time to time prescribe.

SECTION 8. Secretary: Powers and Duties of the Secretary. The Secretary shall keep the minutes of all meetings of the Board of Directors in books to be kept for that purpose, serve or cause to be served all notices of the Corporation and perform all duties incident to the office of Secretary and such other duties as from time to time may be assigned to him or her by the Board of Directors, the Chair of the Board or the President.

SECTION 9. Treasurer: Powers and Duties. The Treasurer shall keep or cause to be kept full and accurate accounts for the Corporation and shall perform all duties incident to the position of Treasurer, subject to the control of the Board of Directors, the Chair of the Board or the President.

ARTICLE V

CONTRACTS, CHECKS, BANK ACCOUNTS AND INVESTMENTS

SECTION 1. Checks, Notes and Contracts. The Board of Directors is authorized to select the banks or depositories it deems proper for the funds of the Corporation. The Board of Directors shall determine who shall be authorized from time to time on the Corporation's behalf to sign checks, drafts or other orders for the payment of money, acceptance, notes or other evidence or indebtedness, to enter into contracts or to execute and deliver other documents and instrument.

SECTION 2. Investments. The funds of the Corporation may be retained in whole or in part in cash or be invested and reinvested from time to time in such property, real, personal or otherwise, including stocks, bonds or other securities, as the Board of Directors, or an agent appointed for such purpose by the Board of Directors, may deem desirable.

ARTICLE VI

MISCELLANEOUS

SECTION 1. Books. There shall be kept at the office of the Corporation correct books of account of the activities and transactions of the Corporation, including a minute book which shall contain a copy of the Certificate of Incorporation, a copy of these By-Laws, and all minutes of meeting of the Board of Directors.

SECTION 2. Fiscal Year. The fiscal year of the Corporation shall be determined by the Board of Directors.

SECTION 3. Amendments. These By-Laws may be amended at any meeting of the Board of Directors called for such purpose.

SECTION 4. Indemnification.

To the fullest extent permitted by the laws of the State of New York:

(a) The Corporation shall indemnify any person (and his or her heirs, executors, or administrators) who was or is a party or is threatened to be made a party to any threatened, pending, or completed action, suit, or proceeding (brought in the right of the Corporation or otherwise), whether civil, criminal, administrative, or investigative, and whether formal or informal, including appeals, by reason of the fact that he or she is or was an officer, director, employee, or agent of the Corporation, or is or was serving at the request of the Corporation as a member, director, officer, partner, trustee, employee, or agent of another corporation, partnership, joint venture, trust, or other enterprise, for and against all expenses (including attorneys' fees), judgments, fines, and amounts paid in settlement actually and reasonably incurred by such person or such heirs, executors, or administrators in connection with such action, suit, or proceeding, including appeals.

(b) The Corporation shall pay expenses as incurred in defending any action, suit, or proceeding described in subsection (a) of this Article in advance of the final disposition of such action, suit, or proceeding, including appeals.

(c) The Corporation may purchase and maintain insurance on behalf of any person described in subsection (a) of this Article against any liability asserted against him or her, whether or not the Corporation would have the power to indemnify him or her against such liability under the provisions of this Article or otherwise.

(d) The provisions of this Article shall be applicable to all actions, claims, suits, or proceedings made or commenced after the adoption hereof, whether arising from acts or omissions to act occurring before or after its adoption. The provisions of this Article shall be deemed to be a contract between the Corporation and each member, director, officer, employee, or agent who serves in such capacity at any time while this Article and the relevant provisions of the laws of the State of New York and other applicable law, if any, are in effect, and any repeal or modification thereof shall not affect any rights or obligations then existing with respect to any state of facts or any action, suit, or proceeding then or theretofore existing, or any action, suit, or proceeding thereafter brought or threatened based in whole or in part on any such state of facts. If any provision of this Article shall be found to be invalid or limited in application by reason of any law or regulation, it shall not affect the validity of the remaining provisions hereof. The rights of indemnification provided in this Article shall neither be exclusive of, nor be deemed in limitation of, any rights to which any such director, officer, employee, or agent may otherwise be entitled or permitted by contract, the Certificate of Incorporation, vote of directors, or otherwise, or as a matter of law, both as to actions in his or her official capacity and actions in any other capacity while holding such office, it being the policy of the Corporation that indemnification of the specified individuals shall be made to the fullest extent permitted by law.

(e) For purposes of this Article, references to "other enterprises" shall include employee benefit plans; references to "fines" shall include any excise taxes assessed on a person with respect to an employee benefit plan; and references to "serving at the request

of the corporation" shall include any service as an officer, director, employee, or agent of the Corporation which imposes duties on, or involves services by, such member, director, officer, employee, or agent with respect to an employee benefit plan, its participants, or beneficiaries.

Attachment L: Client List

Current Charter Schools

Management Contracts:

Collegiate Academy for Mathematics and Personal Awareness Charter School, NY, NY
Summit Academy Charter School, NY, NY

Contract Schools:

Cardinal McCloskey Charter School, NY
Charter School for Educational Excellence, Yonkers, NY
Dr. Richard Izquierdo Charter School, NY, NY
JVL Wildcat Charter School, NY, NY

Former Management Contracts:

Urban Choice Charter School, Rochester, NY

Attachment M: Litigation

Not applicable.

Attachment 8a: Hiring and Personnel Policies and Procedures

1. **Job descriptions, including qualifications and responsibilities, used in the hiring of school administrators, teachers, and other school employees**

Principal

The Principal is the instructional leader of the school. The Principal supervises and evaluates all instructional and program staff, including Subject Area Teachers, Department Leaders, the Directors of ELL Instruction, and Special Education. The Principal ensures that the educational program is meeting the goals of the charter through coordinating the educational programs, professional development, curriculum design, and staff accountability. The Principal will review at-risk student data on a bi-weekly basis. This will inform student-level data-driven conversations, coaching and professional development provided to teachers.

Qualifications:

- Minimum 5 years experience in urban education, at least 3 of which have been in a supervisory role, with knowledge of leadership principles and practices gained through work experience and formal education
- Masters Degree in Education
- A thorough understanding of instructional practice including those related to delivery of instruction, development of curriculum and assessment of student performance
- A demonstrated ability to use data to analyze and improve performance
- Exceptional speaking and writing skills
- Exceptional interpersonal skills, effective communication and motivational skills
- Demonstrated ability to create a positive school culture
- Ability to impart a sense of urgency and relentlessness to instructors and all pedagogical and program staff

Specific Responsibilities:

- Ensures high academic outcomes as identified in RCTECS' charter
- Responsible for the curriculum, all instructional materials and implementation
- Sets academic vision for the school and ensures that all staff are mission-aligned
- Leads staff and teachers in the development and on-going improvement of an academic program tailored to the needs of the school's students
- Makes hiring recommendations to the Superintendent, and leads hiring process for instructional and programming staff
- Aids teachers in implementing effective instruction; monitors student achievement
- Trains, supervises and evaluates all instructional staff and teachers, providing recommendations to the Superintendent on recruitment, retention, hiring and firing decisions.
- Works with staff to create professional development plans
- Fosters collegiality and collaborative decision making among staff
- Oversees development and maintenance of school culture, including discipline system
- Plans all staff professional development
- Works with Special Education Coordinator to make sure identified students receive designated services

Assistant Principal

Reporting to the Principal, the Assistant Principal will support the Principal in carrying out RCTECS' mission. The Assistant Principal will lead on RCTECS' approach to Social-Emotional Learning and will work to promote a healthy, mission-aligned school culture.
Qualifications:

- A Master's degree in Education Administration, Adult Education, ESOL, Bilingual Education or related field, and a minimum of 5 years professional experience in adult education, with a minimum of three years teaching experience, or the appropriate combination of education and experience
- Experience working with and/or an understanding of issues related to adult education and the challenges faced by a diverse immigrant population required
- Strong understanding of best practices in adult education, curriculum and assessment development and instruction, as well as national standards and initiatives in adult education (i.e., Next Gen Learning Standards, NYSLS)
- Ability to create a safe and compassionate learning environment through leading excellence in teaching and learning
- Effective mediation skills with sensitivity to cross-cultural issues to resolve conflicts;
- Strong reasoning and problem-solving abilities
- Demonstrated proficiency in student success in distance learning environments
- High Proficiency in Microsoft Suite, Google Suite and common educational applications
- Commitment to RCTECS' mission

Specific Responsibilities:

- Provide oversight of all instructional departments, including systems and quality control of lesson plan submissions, scopes and sequences, Regents supports and analysis of benchmark data.
- Support academic culture initiatives, including office hours, and extracurricular offerings.
- Support teachers and monitor performance across all instructional departments.
- Build relationships with all students
- Take a lead on or play a major supporting role in all school-wide administrative initiatives at RCTECS.
- Strategize and create plans support plans for struggling teachers.
- Utilize teacher and student performance data to support academically at risk students. This will include coordinating aspects of advisory conferences.
- Coordinate positive and productive partnerships between co-teachers and guide teachers with effective planning time.
- Create a positive academic culture within the school. This includes academic awards and celebration, positive student check-ins, and positive family communication.
- Conduct and coordinate all testing.
- Analyze all testing data to guide teachers with instructional decisions and adjustments.
- Communicate regularly with parents about both positive and negative interactions with students.
- Own RCTECS' SEL approach
- Promotes a healthy, mission-aligned school culture.

Instructional Coach

The Instructional Coach will cultivate the development of teachers who are well-positioned to provide students with strong experiential learning, SEL and academic growth through ongoing

coaching and observation. Instructional coaches are out-of-classroom support for teachers to go in and do modeling work. RCTECS' instructional coaches are non-evaluative and work to cultivate a safe, supportive environment for professional development. The Instructional Coach will report to the Principal.

Qualifications

- A Bachelors degree (Masters degree preferred)
- 3 years of experience as a teacher of record in an urban elementary school setting
- 1 year of teacher leadership in an urban elementary school setting: grade level chair, department chair, instructional coach, etc
- Proven track record of success with student outcomes
- Commitment to serving historically underserved communities knowing that your work is part of a larger ecosystem committed to change

Specific Responsibilities:

- Provide coachees with curriculum and planning support using NYSLS.
- Support coachees in all aspects of curriculum design, planning, instruction, and execution.
- Collaborate with and communicate progress of coachees to Principal and Assistant Principal.
- "Owns" the performance of students taught by coachee.
- Develop coaching content
- Provide 1:1 teacher training
- Provide intensive development support as a teacher incentive

Director of Operations

The Director of Operations is charged with providing leadership in managing the business operations and fundraising/ development efforts for RCTECS. The Director of Operations is responsible for tasks related to finance, procurement, and service contracts, in addition to creating, implementing and driving forward a development plan for RCTECS to meet their fundraising targets. Financial management responsibilities include directly managing the school budget including expenditures, collection of funds, deposits, recording keeping, and any other relevant financial information. The Director of Operations assists the Principal with all projects and activities that create a successful school environment. The Director of Operations will manage a small operations staff and report directly to the Principal.

Qualifications:

- At least 3 years of operations management experience in a fast-paced, entrepreneurial environment
- Minimum 2 years work experience in data management or similar environment
- Prior experience working in schools and/or urban communities
- Experience with project-management and developing a long-term strategic plan
- Excellent organizational, planning and implementation skills
- Excellent communication skills, both verbal and written, and strong interpersonal skills with students, parents, colleagues, and community members
- Proficiency in Google Platform, Microsoft Excel, PowerPoint, Word and Outlook
- Passionately dedicated to school's mission
- Develops and maintains positive communications and working relationships with

students, parents, and co-workers by being collaborative and maintaining a pleasant work attitude
- Ability to maintain a calm and professional demeanor in the face of competing demands and external pressures
- Acute attention to detail coupled with the ability to think and act strategically
- Strong time management skills; ability to manage multiple tasks simultaneously and meet tight deadlines
- Demonstrated resourcefulness in setting priorities and guiding investment in people and systems
- Comfort level with financial oversight and budgetary tracking to support strategic growth
- Willingness to do whatever it takes to create and maintain an orderly, effective school organization
- Experience managing cross-functional teams to develop and implement systems and processes to increase the effectiveness and efficiency of a growing organization
- Has the ability to manage multiple tasks and meet tight deadlines
- Openness to feedback
- Working knowledge of the charter school movement and culture

Specific Responsibilities:
- Maintains system to address facility needs
- Manages all classroom spaces, including set-up and break-down at beginning and end of year, respectively
- Oversees school environment to ensure that it is ready and safe for students on a daily basis
- Works closely with the finance team to ensure development of and adherence to annual budget.
- Ensure Operations team maintains a warm “customer service” atmosphere, welcoming to teachers, families, and visitors.
- Oversees all standardized testing at school.
- Oversees all scheduling and programming of classes, manage all academic data, generate report cards.
- Works closely with the Principal and Data Coordinator to organize and analyze academic data.
- Manages contracted services.
- Manages school meals
- Ensures compliance with Department of Health standards
- Oversees handling of all Human Resources administration, including all paperwork for new hires and exit interviews and paperwork for terminations
- Selects and manages relationships with vendors/brokers and manages enrollment of health plans and retirement plans for all staff
- Selects and manages relationships with vendors/brokers for school-wide insurance policies per approval by the Principal
- Manages all compliance responsibilities including Titles I-V, teacher certification and fingerprinting, safety, fire drill coordinator, health, software compliance, COBRA letters, student lottery, annual Sexual Harassment seminar, and any legal issues
- Manages compliance related to By-Laws and charter renewal

Operations Manager
The role of the Operations Manager is an integral part of RCTECS' success. The Operations Manager will report to and work closely with the Director of Operations and Leadership Team to ensure optimal systems and procedures are implemented across the organization. In addition to maintaining the school's administrative systems and routines, the Operations Manager functions as the primary contact person for all of the school's constituents. In this role, the Operations Manager must be able to communicate effectively with students, teachers, families, trustees, donors, and visitors.
Qualifications:

- Minimum of 2 or 3-year office experience
- Bachelor Degree required
- Experience working in schools and/or urban communities preferred
- Strong written, grammatical, presentation, and verbal communication skills
- Excellent follow-through, attention to detail and accuracy, ability to meet deadlines, multi-task and the ability to prioritize projects
- Possesses a positive attitude
- Thorough knowledge of QuickBooks
- Knowledge of accounting principles and practices, finance principles, financial reporting
- Knowledge of local, state and federal laws regarding finances and taxation
- Technical accounting skills preferred
- Proficiency in relevant accounting software
- Experience working with at-risk student population in some capacity preferred
- Demonstrated ability in utilizing office equipment and software such as Microsoft Office Suite (Word, Excel, PowerPoint and Outlook).
- Proven ability to work collaboratively and flexibly with a diverse team of teachers and administrators
- Champions change, supports school leader in trying to apply new ideas and methods; actively motivates and encourages others to adapt to change
- Develops and maintains positive communications and working relationships with students, parents, and co-workers by being collaborative and maintaining a pleasant work attitude
- Openness to feedback
- Working knowledge of the charter school movement and culture

Specific Responsibilities include management of student information/records, facilities, finance support, technology/IT support, food service and special projects.

Data Coordinator
The Data Coordinator is an integral part of RCTECS' success as they will track and monitor growth trends, areas for improvement and keep tabs on student-level data. The Data Coordinator reports to the Director of Operations and will also work closely with the Office Manager, Operations Manager, and Director of Operations to ensure the school is in alignment with its mission and teaching philosophy.
Qualifications:

- Minimum of 3 years' experience working in a data management capacity within education
- Experience of managing and developing data systems

- Understanding and knowledge of effective data management strategies
- Experience of producing accurate data for reporting and assessment
- Experience of forming and maintaining network relationships
- Information gathering and analysis
- Creating and maintaining data capture and data entry templates
- Demonstrated ability in utilizing office equipment and software such as Microsoft Office Suite (Word, Powerpoint, Excel, and Outlook);
- Evidence of verbal and written communication skills as well as self-motivation and initiative;
- Ability to keep up to date on relevant policies and procedures in line with the duties identified in the job description
- High level computer skills
- Ability to be self-motivated, flexible and well organized to manage, at times, unpredictable and variable workloads
- Ability to interact positively with all members of the school community including supervisors, teachers, colleagues, students, and parents
- Enthusiasm, self-motivation and good communication skills;
- Willingness to learn new skills and participate in professional development activities.
- Proven ability to work collaboratively and flexibly with a diverse team of teachers and administrator;
- Develop and maintain positive communications and working relationships with students, parents, and co-workers by being collaborative and maintaining a pleasant work attitude;
- Openness to feedback; and
- Working knowledge of the charter school movement and culture

Specific Responsibilities:

- Collect and maintain grade-level, student-level and teacher-level culture data.
- Track student growth trends in all subjects.
- Track student growth trends for English Language Learners.
- Attendance and other data from the NYC Department of Education.
- Generate reports and represent data to track trends and progress throughout the academic school year.
- Design and maintain platform to systematize data warehouse of academic data for transcript and graduation auditing purposes.
- Create and maintain dashboards that inform student and teacher performance.
- Coordinate logistics for administration of all assessments.
- Collaborate with Principal, Assistant Principals, and Director of Operations on core operational systems, such as managing teacher coverages of classes in the event of absences and supporting with course programming and scheduling.
- Support Operations department with all tasks related to data and reporting.
- Organize scheduling for key remediation sessions and distributing to advisors.
- Track attendance data in order to flag student trends and communicate to stakeholders for possible student interventions.

Parent Coordinator

RCTECS' parent coordinator will maintain an open door approach for parents to connect with the school and remain appraised on schoolwide news, events and their students' progress.

Qualifications:

- Two or more years of experience in a school, camp, after-school program, or youth services organization
- Excellent written and oral communication skills; ability to articulate the schools mission, vision, core values, strengths, policies and procedures in public settings
- Excellent interpersonal skills
- Demonstrated success working with diverse families
- Proficiency in Google Suite Apps
- Experience using electronic communication platforms such as Swift Reach, Remind, and MailChimp, and desktop publishing and design software
- Commitment to build school, family and community partnerships that support improved student outcomes

Specific Responsibilities:

- Keeps regular hours of access and availability
- Coordinates parent-facing workshops
- Develops relationships with all RCTECS families
- Serves as the first point of contact for families
- Serves as the key point of contact for outside partners
- Owns parent-facing events
- Coordinates parent involvement in school activities
- Leads Parent Teacher Association
- Coordinates parent advocacy efforts
- Builds relationships with key community stakeholders
- Serves as a liaison to Spanish speaking parents
- Supervises hallway traffic
- Supports Operations team as needed
- Ensure safety of students during school arrival and dismissal

Office Manager

The role of the Office Manager is an integral part of RCTECS' success and understands and promotes the school's mission, vision, objectives, and policies both within and outside the immediate school community. The Office Manager will report to and work closely with the Director of Operations and Leadership Team to ensure optimal systems and procedures are implemented across the organization.

Qualifications:

- Minimum of 2 or 3 year office experience
- Experience working in schools and/or urban communities preferred
- Strong written, grammatical, presentation, and verbal communication skills
- Demonstrated ability in utilizing office equipment and software such as Microsoft Office Suite (Word, Powerpoint, Excel, and Outlook).
- Proven ability to work collaboratively and flexibly with a diverse team of teachers and administrators
- Passionately dedicated to school's mission
- Develops and maintains positive communications and working relationships with students, parents, and co-workers by being collaborative and maintaining a pleasant work attitude

- Has the ability to manage multiple tasks and meet tight deadlines
- Openness to feedback
- Working knowledge of the charter school movement and culture

Specific Responsibilities:

- Work closely to provide executive level support to the leadership team.
- Handle staff requests through responsiveness, follow-up and escalation, when needed.
- Work proactively to oversee all administrative office needs and special projects.
- Maintain master calendar of school events
- Oversee office key distribution, replacement and tracking.
- Open, sort, date, and disseminate incoming mail.
- Greet office visitors and answer all incoming office calls.
- Handle large mailings utilizing various tools, such as UPS, FedEx and mail merge.
- Assist in coordinating all logistics related to student events, such as school assemblies, field trips, and after-school activities
- Maintain daily student attendance records using the school database system and alert families of student absences on a daily basis
- Support ongoing student needs (reports of sickness, dress code issues, etc.) by maintaining consistent contact with families
- Assist with the management of student records and work to maintain updated and accurate files
- Manage the stock and sale of student supplies (such as calculators, pens, pencils, notebooks, and replacement planners)
- Maintain inventory of all school supplies, from copy paper to professional development materials to client supplies and work closely with the Director of Operations to place supply orders

ELA, Math, Science, Computer Science, Social Studies, Art/Music, PE Teachers

RCTECS' ELA teachers will promote the school's mission through implementation of UDL and through experiential learning. The ELA teachers report to the Principal.

Qualifications:

- Bachelors degree
- Excellent verbal and written communication skills
- Teaching certification in subject area and grades taught

Specific Responsibilties:

- Design and teach five sections each day (two periods daily of prep time). Utilize Universal Design for Learning method of planning and instruction to reach all learners.
- Build relationships with all students.
- Hold two sessions of "office hours" per week, either before or after school.
- Attend, participate in, and facilitate team meetings and professional development opportunities, as well as common planning times.
- Communicate regularly with parents about both positive and negative interactions with students, making a minimum of two positive contacts (phone, email, or text message) with parents per week.

Special Education Teachers/Academic Intervention Services

Special Education Teachers at RCTECS are essential to creating an inclusive school environment for all students. Our Special Education teachers will work closely with general education teachers to collaborate on student success and will build relationships with the families of students with disabilities. The Special Education/AIS teachers report to the Principal.
Qualifications:

- Licensure in Special Education, or plans to obtain licensure in Special Education
- Extensive knowledge of best practices in classroom management and instructional strategies
- Must have working knowledge of federal and local special education laws
- Demonstrates ability to use data to assess student learning, with evidence of growth
- Ability to adapt to students' needs

Specific Responsibilities:

- Provide instructional support for RCTECS' Students with Disabilities. This may be through provision of Special Education Teacher Support Services (SETSS), Collaborative Team Teaching (CTT), or Self-Contained setting. Must be comfortable in all settings, able to adapt instruction to the needs and IEPs of students.
- Build relationships with all students.
- Attend, participate in, and facilitate team meetings and professional development opportunities, as well as common planning times.
- Ensure that all students with disabilities receive appropriate testing accommodations during all assessments, including when taking Regents Exams.
- When required, attends IEP meetings with the CSE and coordinates participation of other school personnel, parents and students.
- Ensures that IEPs are updated and submitted in a timely fashion.
- Communicates regularly with parents about both positive and negative interactions with students, making a minimum of two positive contacts (phone, email, or text message) with parents per week.

ELL Teachers

ELL teachers at RCTECS are essential to creating an inclusive school environment for all students. Our ELL teachers will work closely with general education teachers to collaborate on student success and will build relationships with the families of students with disabilities. The ELL teachers report to the Principal.
Qualifications:

- Bachelors degree
- Excellent verbal and written communication skills
- Successful completion of the Praxis II Exam or possess degree in education or subject area taught

Specific Responsibilities

- Teach and provide services to all of RCTECS' English Language Learners, both through co-teaching and through sheltered instruction pull-out, five periods per day.
- Lead or assist with administration of NYSESLAT and all other assessments, including those that may be necessary to identify ELL students.
- Assist subject-area teachers with adapting lessons to needs of ELL students, and provide ongoing training on best practices for reaching ELL students.
- Build relationships with all students.

- Attend, participate in, and facilitate team meetings and professional development opportunities, as well as common planning times.
- Communicate regularly with parents about both positive and negative interactions with students, making a minimum of two positive contacts (phone, email, or text message) with parents per week.

Social Workers/Counselors

RCTECS' Social Workers and counselors will promote a healthy school culture through counseling services, observations, behavior analyses, and the development of behavior plans. Social Workers will rely heavily on restorative practices to ensure a healthy school climate. Social workers will report directly to the Principal.

Qualifications:

- Master's degree in Psychology
- NYS Teacher School Psychologist certification
- 3+ years' experience as a Psychologist
- A passion for RCTECS' mission
- Strong organizational skills; extremely careful attention to detail and follow-through.
- Strong analytical and problem-solving skills.
- Strong communication and negotiating skills.
- Ability to work well in a team.
- Exceptional ability to bridge and enhance cooperative working relationships.
- Ability to create, monitor, and maintain systems that enhance organizational efficiency.
- Ability to thrive in a fast-paced, entrepreneurial environment; flexible, able to work autonomously as well as take direction as needed.
- Knowledge of state and federal laws and regulations regarding Special Education and English Language Learner service

Specific Responsibilities:

- Provide "at-risk" counseling for students referred by staff or self-referred, for those students whose behavior, school progress, or mental or physical impairment indicates a need for assistance
- Conduct student observations and/or Functional Behavior Analyses for students who have persistent behavioral issues
- Provide mandated counseling services pursuant to students' IEPs
- Develop behavior plans for those students who require such plans
- Coordinate external services for those who require
- Develop and review service plans in consultation with students, their families, and school staff, and perform follow-up assessing the quantity and quality of service provided
- Support school staff in addressing issues such as suspected child abuse and neglect. Training school staff in their role as mandated reporters; act as school liaison with Administration for Children's Services
- Maintain case history records and prepare reports
- Train staff on compliance with the Dignity for All Students Act
- Address emergency situations impacting students, such as leading group counseling sessions that provide support in areas such as grief, stress, or chemical dependency
- Arrange for medical, psychiatric, and other tests that may disclose causes of difficulties and indicate remedial measures

- Interview students individually, in families, or in groups and assessing their circumstances, capabilities and problems, to determine what services are required to meet their needs
- The Social Workers will engage in use of restorative practices and crisis management to further RCTECS' mission of a preparing students with the skills needed for their lives outside of school.

College/Career Counselor

The College/Career counselor is essential to preparing students for life outside of school, whether in a specific trade or in postsecondary education. The College/Career counselor will work closely with teachers, students and their families and will report to the Principal.

Qualifications:

- Master's degree in school counseling or related field
- 3+ years' experience as a School Guidance Counselor
- New York State Counselor Certification preferred
- A passion for RCTECS' mission
- Must have strong organizational and communication skills, verbal and written
- Ability to work with parents, students, faculty, support staff, external government representatives, as well as school community groups
- Understanding of different student maturity levels
- Ability to help students gain awareness of their interests and abilities and to help them manage their behavior and thinking processes
- Understanding of test construction and ability to interpret educational test data
- Knowledge of grade test targets
- Ability to evaluate student transcripts

Specific Responsibilities:

- Meets regularly with all RCTECS students and communicates with their families beginning in 11th grade to develop college and/or career options as part of post-secondary plan.
- Schedules and coordinates college trips (including possibly overnight trip for 11th graders).
- Schedules and coordinates visits from college admissions officers to campus.
- Creates school profile for distribution; collaborates with Data Manager to develop college counseling page on RCTECS' website.
- Advises on course selection and its consequences in the college selection process.
- Build relationships with all students. Lead, participate in, and facilitate team meetings and professional development opportunities, as well as common planning times. Communicate regularly with parents about both positive and negative interactions with students, making a minimum of two positive contacts (phone, email, or text message) with parents per week.
- Coordinates RCTECS' SAT prep program and helps students register for SATs.
- Develops relationships and network of college admissions officers through attendance at national and regional conferences.
- Participates in sponsored college tours.

Custodian

The Custodian will maintain the building and grounds to ensure the school is in a clean and orderly condition. The Custodian will report to the Director of Operations.
Qualifications

- High School Diploma or equivalent
- Bilingual (English/Spanish) preferable
- Minimum of six months to 1 year of related experience and/or training is highly desirable
- Ability to read and comprehend simple instructions, short correspondence, and memos
- Ability to present information in one-on-one situations to customers, clients, and other employees of the school

Specific Responsibilities:

- Maintain all classrooms, restrooms, and offices on all floors
- Take out the trash, mop and vacuum the floors daily, buff floors once a month and for special events, and/or any other requests regarding cleaning
- Maintain the main school kitchen and staff lounge by cleaning all areas, mopping, taking out trash, cleaning out refrigerator once a week, before school breaks, holidays, and vacations
- Take all the trash to the dumpsters located outside the building
- Make sure the water fountains are clean, working properly
- Maintain the elevator by cleaning the walls and floors
- Notify management concerning need for major repairs or additions to lighting, heating, elevator, and ventilation equipment
- Maintain exterior grounds around the building and parking area of litter and debris.
- Dust all light fixtures and equipment in high places.
- Clean windows, spot clean doors and walls daily.

Security
The RCTECS school Security Officer will ensure appropriate school access and safety for staff, students and family members. The Security Officer will report to the Director of Operations.
Qualifications

- Graduation from high school OR GED a minimum of 2 years of experience in security (school experience is preferable). Police experience or higher education may be substituted.
- Preferably 5-8 years of school security officer work experience
- Satisfactory criminal background check, satisfactory drug test results.

Specific Responsibilities

- Opens and unlocks the building, grounds, and parking lots, preparing the facility to receive staff and students.
- Secures and locks the building and facility at the end of the day, ensuring that all gates and doors are secure, and that the building alarm system is activated.
- Conduct and observe searches of all personal property entering the building, including briefcases, computer bags, pocketbooks and purses, student's book bags, backpacks, and lunch boxes.
- Staffs various posts in order to provide the appropriate security presence and coverage, ensuring personnel safety, physical security, and asset protection.
- Perform security walk-through of the school, in accordance with the assigned daily schedule, and as directed.

- Prepare a formal Incident Report for submission to the Head of Security, when required, or directed.

2. Hiring processes for administrators, teachers, and other staff members

All RCTECS positions will be posted publicly and will include a job description with a job description and minimum requirements. All postings will include the following wording*: "As an equal opportunity employer,* RCTECS New York *hires without consideration to race, religion, creed, color, national origin, age, gender, sexual orientation, marital status, veteran status or disability."* All applicant's resumes and cover letters will be reviewed to ensure that they meet minimum requirements and experience. All candidates will be asked to provide references, which will be checked and will be required to provide FBI clearances upon hire. RCTECS' hiring process will include the following phases for all staff, including the areas of finance, human resources, and communication:

- Submission of Resume and Cover letter: All prospective employees will submit their resume and a cover letter specifically tailored to the available position they are applying for at RCTECS.
- Interview: RCTECS' interviews will help the RCTECS designee(s) determine whether a candidate: a) possesses the necessary skills to be a productive member of the School's staff; and b) will fit into RCTECS' unique culture and environment. RCTECS will utilize an interview protocol that includes a list of interview questions and a rubric containing objective criteria. The RCTECS designee(s) may elect to pre-screen candidates with a telephone interview to discover whether the candidate has the knowledge and experience required and can work in a manner consistent with RCTECH instructional philosophy and culture.
- Demonstration Lesson: Teaching candidates who are invited to continue in the process will be asked to conduct one or more demonstration lesson(s). Time will be reserved between lessons, if applicable, for the candidate to debrief with RCTECS' leadership and receive feedback.
- Checking References: RCTECS will call references provided by the employee, which must include a former employer.

Qualifications: Teacher and staff selection will be based on strong academic preparation, professional competence, intellectual rigor, emotional maturity, enthusiastic professional attitude, knowledge of instructional practices, and ability to contribute to the furtherance of RCTECS' educational goals. Attention will be paid, among other factors, to the candidate's academic records and to his or her previous relevant experience. Successful candidates for teaching and staff positions must demonstrate that they are willing and able to support the educational and developmental needs of a diverse student population. RCTECS' staff must fulfill their individual responsibilities and work in concert with the other staff. Successful candidates will demonstrate a commitment to continuous improvement and learning through professional development.

RCTECS will recruit teachers who are excited to work in a high-performing urban high school where a premium is put on instruction. RCTECS' teachers will be highly qualified.

3. Evaluation processes for administrators, teachers, and other staff members

RCTECS has intentional systems in place to set expectations for teacher performance and monitor and maintain organizational and instructional quality, including a formal process for teacher evaluation geared toward improving instructional practice.
Through RCTECS" instructional coaching model, teachers receive frequent, consistent, non-evaluative feedback through weekly informal observations from the Assistant Principals and the Principal. This formative data guides improvement of teachers' instructional and planning practices leading up to three formal evaluations by the Principal each school year, one at the conclusion of each trimester. Each formal observation entails 1) a pre-observation conference in which the teacher discusses his or her growth goals and how it will be demonstrated within the formal observation, 2) a formal classroom observation, 3) a post-observation reflection and self-assessment by the teacher, 4) the Principal's summative evaluation, and 5) a post-observation conference in which the Principal and teacher discuss evaluation scores and next steps.
Individual student-level and class-level assessment data from internal and external sources is utilized to evaluate teacher performance. In addition to the monitoring student data through the school's student information system on an ongoing basis, summative data from interim benchmark assessments and mock Regents exams provides additional data points for teacher evaluation. RCTECS complies with reporting procedures of the NYSED's Teacher-Student Data Linkage initiative, which uses student Regents exam scores to link student growth data to individual teachers. The Principal utilizes the data to celebrate student performance and encourage the sharing of best practices for effective teachers and take swift action to mobilize instructional coaching support for teachers in which data indicates lack of sufficient student growth. In the event that student data indicates regression of learning in an individual teacher's class, despite the above supports, the Principal will immediately place the teacher on an improvement plan and notify the teacher that next steps may include a recommendation for termination. Ultimately, teachers' annual renewal of their position will largely be based on performance on the three formal evaluations and student end-of-year exam or Regents exam results.

4. Complaint process for staff

If any employee believes that he or she has been subjected to any type of harassment or has information regarding an incident of harassment, the employee has the right to file a complaint with Rochester CTE Charter School. This may be done in writing or orally.
Employees may file a complaint by contacting RCTECS 's Principal or their supervisor. If the employee does not feel comfortable reporting the complaint to any of the persons named above, he or she may report the complaint directly to RCTECS 's Principal. Employees are expected to report immediately any information concerning harassment to any of the persons named above. When RCTECS becomes aware that any types of harassment might exist, it is obligated by law to take prompt remedial and appropriate action, whether or not the victim wants RCTECS to do so. Accordingly, all claims will be promptly investigated and held in confidence to the maximum extent practicable.

In accordance with Education Law § 2855(4), if after presentation of such a complaint to the Board of Trustees, the individual or group believes that the Board has not adequately addressed the complaint, that individual or group may present the complaint to the School's charter entity, the State University of New York Board of Trustees through the New York State Education

Department (NYSED), which shall investigate and respond appropriately. The NYSED Charter Schools Office can be contacted at:

NYSED Charter Schools Office
Phone: 518-474-3852
NYSED Charter Schools Office
89 Washington Avenue
Albany, New York 12234

If, after presentation of the complaint to NYSED, the individual or group determines that it has not adequately addressed the complaint, they may present the complaint to the Board of Regents through the State Education Department, which shall investigate and respond. The NYSED Board of Trustees and the Board of Regents shall have power and the duty to issue appropriate remedial orders to the Board of Trustees of the Charter School under their jurisdiction to effectuate the provisions applicable under Education Law.

Attachment 11: Pre-Opening Plan

Activity	Start Date	End Date	Responsibility	Notes
Management				
File for incorporation and 501(c)(3) status for school and state tax exemptions status	Begin filling out paperwork before charter is approved; submission upon approval of charter	See Notes	CEI, Principal, Board, Legal counsel	RTECS is aware that the IRS may take several months to review the application for tax-exemption and award 501(c)(3) status. In the meantime, CEI can serve as RCTECS's fiscal sponsor if needed.
Identify additional areas of need for Board and recruit Board members	Ongoing	Ongoing	Board, CEI, Principal	CEI will provide training on best practices, including board self-evaluation tool, nominating committee practices, policies and board tracking documents to support the prioritization of candidates and a recruitment process and nominating process
Elect Board officers, ratify By-Laws, establish committees and membership	At first Board meeting	At first Board meeting	Board	The first Board meeting will take place within one month of authorization.
Officially Hire Principal	Upon Approval	January 2023	Board	The Principal will begin part-time or full-time fall 2022 or as late as January 1, 2023.
Further develop, refine, and adopt by Board action, school's policies including but not limited to Fiscal, Discipline, Personnel, Grievance, Whistleblower, Medications Administration Plan, Health Services Plan, Tech Plan, School Safety Plan, FERPA, FOIL, Open Meetings Law, Code of Ethics, and distribute to relevant stakeholders and publicize on school's website	Upon charter approval	Nov 2022	Board, CEI, Principal, counsel	Legal counsel and other professional consultants as appropriate will vet all these policies. Policies may be adopted at different times. Fiscal policy will be in place by end of January 2023.
Set consistent Board meeting schedules, create calendar, create board meeting packet template to be distributed 1 week prior to meetings	Upon charter approval	Nov 2022	Board, CEI, Principal, counsel	CEI will provide training on best practices, including setting board meeting calendars with topics to be discussed and pre-read practices and models.

Attachment 11: Pre-Opening Plan

Financial				
Research and apply for categorical and competitive public funding. Research and apply for philanthropic funding. Build support for RTECS individual and foundation support.	Underway	Ongoing	Board, CEI, Principal	RTECS's budget for pre-opening and Year 1 conservatively assumes only categorical funding, such as CSP. CEI will set a fundraising strategy in cooperation with the Board and conduct fundraising activities on behalf of the School.
Develop and approve final first year budget based on known revenue streams and expenses. Make hiring adjustments as needed, for example, additional Special Education staff, should the percentage of special education students enrolled since the lottery be higher than anticipated.	April 2023	June 2023	Board, CEI, Principal	
Apply for Consolidated Title I funds	July 2023	August 2023	Board, CEI	
Operations				
Establish checking account with financial institution	Upon approval of charter	January 2023	Board Treasurer	
Develop and finalize employee benefit package	Upon approval of charter	February 2023	Board, CEI, Principal	
Contract with financial planning service to audit systems and budget	January 2023	March 2023	Board Treasurer, CEI	
Establish all relevant financial systems, payroll, billing, other disbursements as per internal controls policy	January 2023	March 2023	Board Treasurer, CEI or outside contractor	
Student/family outreach and marketing via ads, newspapers, social media and local fairs.	January 2023	April 2023	Principal, CEI	CEI will warket and advocate for the School, including by developing digital and other materials associated with the School's branding, and promoting the School for the purposes of increasing student enrollment, fundraising, recruiting staff and for public relation

Attachment 11: Pre-Opening Plan

Host student recruitment information sessions	January 2023	April 2023	Principal, Operations Manager	
Finalize organizational chart and job descriptions	January 2023	April 2023	Board, CEI, Principal	
Design interview process for personnel hiring	January 2023	April 2023	Board, CEI, Principal	CEI will provide recruitment and screening efforts of teachers, administrators and other personnel for the School by using reasonable efforts to build a pool of qualified applicants through advertising, networking and other methods
Design, develop and obtain Staff Handbook approval	January 2023	May 2023	Board, CEI, Principal	
Recruit and hire all administrative, support, and instructional staff for first year of operations	January 2023	June 2023	Principal, CEI	RTECS will have signed hiring letters with all required administrative, support, and instructional staff by July 1, 2023. By that point all necessary background checks and fingerprinting will be completed and certifications, where required, will be confirmed.
Design, translate and make student enrollment form available to the public	January 2023	March 2023	CEI, Operations Manager	CEI will design and implement (along with the School's Leadership Team), student recruitment and enrollment procedures
Build out Student Information System	January 2023	June 2023	Principal, CEI, Operations Manager	CEI will facilitate the School's purchase and procurement of information technology ("IT") equipment and services
Purchase and accept delivery of all necessary furniture, equipment, and technology necessary for school operations	February 2023	July 2023	Principal, CEI, Operations Manager	CEI will manage the acquisition of materials, supplies, and equipment for use at the School
Secure facility	Ongoing	June 2023	Principal, CEI, Board	
Pass final inspection and secure certificate of occupancy	Ongoing	June 2023	Principal, Operations Manager	
Obtain property insurance, as required by lease	Ongoing	June 2023	Principal, CEI Board	

Conduct student lottery, generate acceptance list and waitlist	April 2023	April 2023	Principal, Operations Manager	
Send out acceptance packages to students/families, continue to enroll students or take names off the waitlist as necessary. Paperwork contains student registration form, emergency contact form, Home Language Survey, FRPL form, Student Release form for test data, Media Release Forms, Medical Forms, Records Release Form from previous schools, School Calendar, Discipline Policy, and other necessary paperwork.	April 2023	Ongoing	Principal, Operations Manager	This will start with completion of lottery and continuing through the school year as families decline acceptance or withdraw their child from school.
Request and secure student records from sending schools, including IEPs where appropriate	April 2023	Ongoing	Principal, Operations Manager	This will be ongoing, as students may be accepted off the waitlist.
Arrange accounts for phone and internet connectivity	June 2023	July 2023	Principal, Operations Manager	CEI will facilitate the School's purchase and procurement of information technology ("IT") equipment and services
Communicate with district on transportation and food	May 2023	August 2023	Principal, Operations Manager	
Arrange for AED/CPR training of staff	July 2023	August 2023	Principal, Operations Manager	
Create class rosters and disseminate to teachers, students and families	July 2023	August 2023	Principal	
Technology				
Issue RFP for technology	February 2023	July 2023	CEI, Operations Manager	CEI will provide or arrange for a third-party provider to provide technology-related services to the School
Finalize plans for purchasing technology	February 2023	July 2023	Principal, CEI, Operations Manager	
Purchase computers for students and teachers	February 2023	July 2023	Principal, CEI, Operations Manager	
Instructional				

Planning for first year academic program, development of assessment protocol and curriculum models for core subjects	January 2023	July 2023	Principal, Instructional Coach	
Site visits and analysis of "best practice" school models	January 2023	July 2023	Principal, Instructional Coach, CEI	
Finalize daily schedule, discipline policy and school calendar	March 2023	July 2023	Principal, Instructional Coach, CEI	
Develop agenda and engage appropriate consultants or guests for summer PD and develop PD for first year	March 2023	July 2023	Principal, Instructional Coach, CEI	
Finalize Special Education policies and procedures, including record keeping process, pre-referral and referral process	July 2023	August 2023	Principal, SPED Instructor	
Consult with the district administrator in charge of SPED services	January 2023	July 2023	Principal, SPED Instructor	
Define service requirement for all SPED students	April 2023	August 2023	Principal, SPED Instructor, CEI	
Food Services				
Issue RFP for Food Services	January 2023	February 2023	Principal, CEI, Operations Manager	
Determine food services arrangement	March 2023	May 2023	Principal, CEI, Operations Manager	
Select vendor and draft and sign contract	March 2023	May 2023	Principal, CEI, Operations Manager	
Complete FRL forms	September 2023	October 2023	Operations Manager	
Health & Safety				
Identify nurse resources and first-aid plan	March 2023	May 2023	Principal, CEI, Operations Manager	
Acquire medical forms	March 2023	May 2023	Principal, CEI, Operations Manager	
Undergo health and fire building inspection	May 2023	June 2023	Principal, CEI, Operations Manager	
Develop fire drill policy, schedule, route and school safety plan	June 2023	August 2023	Principal, CEI, Operations Manager	

Transportation				
Determine transportation needs	May 2023	June 2023	Principal, CEI, Operations Manager	
Work with district to arrange student transportation	May 2023	August 2023	Principal, CEI, Operations Manager	
Parent and Community Partnerships				
Identify and codify community partnership opportunities	May 2023	August 2023	Principal, CEI, Operations Manager, Parent Coordinator	
Secure legal review and Board approval of family handbook	May 2023	August 2023	Board, Principal, CEI, Operations Manager, Parent Coordinator, counsel	
Print and distribute handbook at Family Orientation	July 2023	August 2023	Principal, Operations Manager, Parent Coordinator	
Devise performance measures for each strategic alliance	June 2023	August 2023	Principal, CEI, Parent Coordinator	

Attachment 12: Dissolution Plan

In the event of closure or dissolution of RCTECS, the Board shall work closely with the School leader, school leadership team and CEI to manage the dissolution process in accordance with the plan presented here**.** The proposed plan fully accepts and complies with the recommendations of the NYSED Closing Procedures Guide and Checklist for New York State Charter Schools Authorized by the Board of Regents and complies with the requirements of:

- Maintenance of Location and Communication: NY Education Law §220(5)
- Transfer of Student Records: NY Education Law § 2851(2)(t); Charter Agreement; NY Education Law §219(4)
- Inventory: NY Education Law §220(1)
- Disposition of Property: NY Education Law §220

The School's dissolution plan adheres to the full recommendation of NYSED Closing Procedures Guide and Checklist for New York State Charter Schools Authorized by the Board of Regents (updated February 2020) including:

1. Immediate tasks (Immediately and up to one week following the final action to close the School):

- A transition team dedicated to ensuring the smooth transition will be formed to complete urgent tasks immediately. This team will be populated by NYSED staff, and board and staff members of RCTECS and CEI.
- The transition team will prioritize notification of the public and school community, convening meetings with families and staff, and clarifying communication protocols and expectations through the completion of the closing process. This collaboration will encourage families to take advantage of available transitional services.
- Parents and faculty will receive a detailed transition letter.
- External state and local agencies will receive notifications.

2. Ongoing activities (Through completion of the closure process): The transition team will ensure instruction continues through closure, provide support for families seeking placement options, and ensure appropriate use of dissolution funds.

3. Pre-closure tasks (Within 45 days): RCTECS will notify creditors, debtors, contractors, management company and vendors of closing.

4. Post-closure tasks (Within one week to 120 days after the last day of instruction):

- All required financial reporting (including a closeout audit)
- Transfer of student records
- Parent notification of final report cards
- Formal document records transfer
- The RCTECS board chair will be responsible for the disposition of records, including (but not limited to) financial documents, contracts, assets, and grants.
- The Principal will be accountable for ensuring that student records are up-to-date and complete and that all records are transferred appropriately.
- RCTECS and CEI will maintain all school records, including financial and attendance records, should reflect the timelines outlined in the NYSED Closing Procedures Guide and Checklist for New York State Charter Schools Authorized by the Board of Regents.
- RCTECS understands that the NYSED Charter School Office may notify the School of any outstanding liabilities owed to the state, including overpayment of apportionments and/or unpaid revolving fund loans or grants.

The School's budget outlined in ***Attachment 9*** establishes an escrow account of no less than $100,000 ($20,000 per academic year for the first 5 years of operation) to pay for legal and audit expenses that would be associated with dissolution should it occur.

Attachment 13: Plan to Address English Language Learners

Identification/Programs

1. **Who will administer and oversee the supervision of ELLs programs and faculty?**

The Principal of RCTECS will supervise ELL faculty. The ELL Lead Teacher will oversee ELL programming. The ELL Lead teacher and ELL teacher(s) aligned with all faculty will administer ELL programming. The School has selected a sheltered immersion ELL program. Instructional strategies and sample teacher assessment tools follow at the end of this document.

2. **Explain the ELLs identification and placement process at your school.**

Students will be assessed using the NSESLAT and NYSITELL testing. These formats include an assessment in all four domains of listening, speaking, reading and writing. There are currently five levels: entering, emerging, transitioning, expanding and commanding.

3. **Who will oversee your school's ELLs Identification Process?**

The Principal of RCTECS will oversee the ELL identification process along with the ELL Lead Teacher. Through its partnership with CEI, RCTECS will be supported by ENL experts. The existing CEI team includes an ENL consultant who holds a Ph.D. in language, literacy and learning with a specialization in second language acquisition, multicultural diversity and bilingual education.

4. **Describe the programs that will be available to the ELLs population in your school (e.g., transitional bilingual education, one-way or two-way dual language).**

Copious academic studies describe the characteristics and attributes of the different ESL Program Models. Research shows that bilingual instructional models with a focus on native language proficiency are more beneficial to students learning English than other instructional models (Collier, 2009). Students who receive instruction in their native language engage more regularly and successfully in cross-linguistic transfer (Dressler, Carlo, Snow, and White, 2011). However, research also shows that a variety of ESL Program Models can be effective based on the needs of the students. Shkurina suggests that program selection and implementation must take into consideration practical considerations such as curriculum and resources to meet the needs of students (2018). Furthermore, Sugarman states that school districts should consider students' characteristics, needs, and teacher capacity in the selection of ESL Program Models (2018). According to Wright, all effective programs for ELLs have three essential components: English as a second language instruction, content-based instruction, and bilingual strategies (Wright, 2019).

The RCTECS school has selected ESL Class Period and Sheltered Content Instruction as the program models to provide ELLs with high-quality and academically rigorous content instruction.

RCTECS is committed to developing academic language skills and preparing students for College and Careers. To address these needs, the school will provide Sheltered Content-Based Instruction in conjunction with the ESL Class Period. The focus of Sheltered Content Instruction is to connect language instruction and content and teach grade-level content that is comprehensible to ELL students while developing their academic language skills. That is, grade-level content such as math, science, and social studies will be more accessible to ELLs (Echeverria & Graves, 2015). In addition, the model provides learning opportunities for collaboration and cooperation better obtain proficiency in English.

5. **Describe the Identification, evaluation and placement for ELLs who may be SWDs or who enter with an IEP.**

Students will be assessed in both languages to see if there is cognitive impediment or a linguistic one to determine which program best fits their needs (ENL services of bilingual education)

6. **Describe how your school will ensure that ELLs will meet or exceed the academic standards as set forth in your proposed charter application.**

Students will get the required allotted time according to their levels, either 60, 90 or 180 minutes of ENL instruction on a weekly basis to ensure progress and mastery of all four domains as indicated above.

RCTECS will:

- Make connections and welcome families.
- Monitor English Learner achievement in the content areas and development of English.
- Set goals and objectives to monitor progress.
- Provide professional development and support to teachers.
- Develop collaboration teams between core teachers and ESL teachers.
- Allocate resources such as financial, human capital and instructional to address gap areas.

7. **Explain the instructional strategies, methods, and materials to be used in both English and the Home Language to move ELLs toward English proficiency and content area mastery.**

Teachers will use both English and the Home Language to move ELLs toward English proficiency and content area mastery when appropriate. Teachers will use a variety of strategies and techniques to make sure students are engaged and active participants. Strategies include:

- Cognitive Learning Strategies to mentally manipulate information and apply specific steps to a task.
- Metacognitive Learning Strategies to monitor their thinking and develop self-awareness and reflection.
- Language Learning Strategies to enhance speaking and comprehension of the English language.

Language input: The students immersed in L2 possess language functions such as fluency and grammar that are not native like. This is why formal instruction in L2 is crucial at the beginning stages of L2 acquisition. Comprehensible input is obtained by incorporating the following: (Larsen-Freeman & Tedick, 2016)

- Speech patterns that are slower
- Speech patterns that are simplified
- Speech patterns that are repetitive
- Speech patterns that are expanded
- Use TPR (explained above) and language production that are highly contextualized
- Check for understanding
- Check for confirmation
- Scaffold dialogue in order to negotiate meaning
- Interpretations of role, intent and sequence should be limited where and when possible

Integrate the following sheltered techniques:

- Enhance the visual and auditory connection by including pictures, charts, graphs and realize

- Model the use of language by letting students make connections between what is being taught and their prior knowledge
- Let students become the facilitators (practice oracy/oral language development)
- Use alternative forms of assessment, besides multiple-choice formats. Portfolios are a wonderful way for students to see their progress, and teachers can check for understanding.

8. **Explain how instruction and materials will be differentiated to support various ELLs subpopulations. (Students with Interrupted Formal Education, Long Term ELLs, Newcomers, ELLs with Disabilities, Former ELLs)**

A trained teacher with a master's degree in TESOL is crucial for the programs to be successful. These teachers are trained in areas of grammar, phonetics/ phonology, semantics, pragmatics, morphology, etc. They also understand word order and the structure of the English language, they can aid newcomers with culture shock, language stress, homesickness and acculturation aspects of adjustment to a new culture, language and values.)

Academic language has many definitions (Bailey & Butler, 2002; Scarcella, 2003). Chamot and O'Malley define it as follows: "The language that is used by teachers and students for the purposes of acquiring new knowledge and skills … imparting new information, describing abstract ideas, and developing students conceptual understanding" (p. 40).

Academic language varies depending on the subject. The production of the tasks asks students to show competency in a variety of language functions. Below is a list of some examples:

- To argue for or against a point of view in a persuasive way
- Compare, analyze and contrast
- Offer an argument in a logical way
- Analyze differing points of view
- Evaluate factual information
- Justify a prediction (for example, the metamorphosis of a butterfly), synthesize and interpret information
- Hypothesize
- Debate a different point of view
- Evaluate alternative points of view and factual information
- Justify a prediction, as in a science experiment on the metamorphosis of a butterfly
- Synthesize and integrate information
- Hypothesizes about the causal relationship between events
- Follow or give complex directions
- Justify one's point of view or to debate different points of view

9. **Describe how the Home Language will be used to support advanced literacy across the content areas.**

Ofelia Garcia's "translanguaging" will be used in the classroom to allow students to transition into content areas taught in a language they have yet to master.

It takes time to reflect authenticity of assessment, and it should be based on the classroom and outside-of-class activities like field trips. This is a joint activity that both teachers and students work on to show academic progress while learning the new language. In the portfolios, the students can select samples of their projects to show growth and learning throughout the year. They can have access as they observe the measurable growth while developing ownership of their projects and use rubrics to assess their knowledge of the four domains of L1 and L2. The

items mentioned below can be displayed in their respective portfolios: (Freeman, Freeman & Mercuri, 2004)

- Narratives in both their L1 and L2
- Reading logs that show proficiency levels in their comprehension
- A videotape/audiotape that reflcts their input and output in both L1 and L2
- Dialogue journal conferences between the teachers and the student to show progress as they are acquiring L2.
- Provide samples of good-better-best work as well as unacceptable or mediocre work so that everyone involved has an idea of how their projects will be assessed and evaluated.

10. How will the school ensure that materials for ELLs are high-quality, culturally appropriate and research-based?

The school will rely on CEI to ensure materials are culturally and linguistically appropriate, age appropriate and engaging for the students.

11. Explain how the school will deliver instruction that is rigorous and research-based, including all language domains (reading, writing, listening, and speaking).

Students need exposure to language that takes into account the use of cognates, idiomatic expressions and language in context. It is crucial to make visual and auditory connections so students can develop a base where they come out of the silent period at their own pace without unnecessary pressure or unrealistic demands. August et al (2014) reviewed research on effective instruction and noticed that more attention was focused on reading skills, and that the latest research with ELLs shows how the strategies mentioned below have proven to be advantageous. These work well for all L2 learners, not just ELLs.

Rigorous and research-based, including all language domains (reading, writing, listening, and speaking), will be developed by CEI for the School and will include:

- Phonological awareness, phonics, vocabulary, oral reading, fluency reading comprehension and writing
- Frequent use of repetition with a variety on pitch, tone, intonation and pronunciation
- The use of TPR (total physical response) to act out verbs.
- The use of pictures, mages or other visual aides that illustrate the meaning of words in a variety of contexts
- The interaction of the book between the teacher and the students should enhance understanding
- Teachers need to preview the material before showing it to the students and ask questions about it.

12. Explain the process that your school will use to provide translated materials and/or interpretation services to parents/guardians of ELLs who request them.

The school will provide interpretation/translation services from experts who have had the proper training to do so. An example is knowing that in the English language, days of the week and months of the year are all capitalized but not in the Spanish language.

13. Elaborate on the intervention and support services that will be available to ELLs in both English and the Home Language.

The psychologist/social worker will not only have degrees in mental health but also be knowledgeable of nuances of Latino culture which vary from country to country and region to region. The School will seek a dual language social worker.

14. **Describe how the social emotional needs of students in each ELLs subpopulation (Students with Interrupted Formal Education, Long Term ELLs, Newcomers, ELLs with Disabilities, Former ELLs) be addressed by the school.**

The psychologist/ social worker needs to have a degree in mental health and also be fluent in the four domains of language acquisition of listening, speaking, reading and writing to deal with students, and their families as well. The expert also needs to be familiar with the student's and family's cultural and linguistic backgrounds. The School will seek a dual language social worker.

15. **Explain how the school will engage parents/guardians of ELLs families in order to share and receive information about their children's progress and language development.**

Parents will be invited to parent workshops offered in their home languages at least once a month where workshops on topics such as home/work/life balance are discussed together with topics such as bullying.

16. **Describe professional learning opportunities your teachers will receive that build their capacity to support ELLs.**

Teachers will have monthly on-site professional development workshops on strategies and techniques to use in the classroom. Lesson plans with content and linguistic objectives will be developed and used. Teachers will have on site coaching and modeling as well.

17. **How will the school scout, attract and retain quality ESOL and Bilingual pedagogues?**

There should be a clear and concise plan for hiring, preparing and assigning teachers to subject areas and/or grade levels. The language allocation plan should clearly describe the type of teachers who are needed at each level and what language they need to be able to teach. It is not enough to have proficiency in only social language if you are teaching and discussing abstract academic subjects. CEI will ensure that the following skills and characteristics are evident when helping the Principal select staff for an ENL and/or Dual language program (Freeman, Freeman & Mercuri, 2004)

- A full understanding of what it means to maintain fidelity and commitment to the program
- Proficiency in all four domains of listening, speaking, reading and writing in the language of instruction
- Ability to work in cross-cultural settings
- Willingness to collaborate and team teach
- Willingness to find or develop resources
- Willingness to accept co-teaching in the classroom

The school will hold interviews where teachers will be assessed in all four domains of listening, speaking, reading and writing in the Home Language to make sure that they are bilingual, biliterate and bicultural. Teachers will also have the opportunity to do a demo lesson as well.

18. **Explain how administrators will program formal, consistent collaboration time to communicate and collaborate around supporting ELLs.**

Administrators need to provide sufficient time every day with prep time, grade meetings with teachers and their fellow colleagues, and formal and informal observations and analysis of student work samples to measure progress. Teachers will participate in 6 professional development days during the school year and 11 summer professional development days. The

Principal will schedule some of this time for formal, consistent collaboration time to communicate and collaborate around supporting ELLs.

19. How will the school establish systems and structures that allow teachers to communicate information about ELLs needs?

Teachers will participate in 6 professional development days during the school year and 11 summer professional development days. The Principal will schedule some of this time for formal, consistent collaboration time to communicate information about ELL needs.

20. In addition to the NYSESLAT, describe the assessments and data that teachers will use in both English and the Home language to plan for instruction to ensure the unique educational needs of ELLs are being met.

Since students have a variety of levels in all four domains in both L1 and L2, differentiation of instruction is crucial in order to accommodate the needs of the students.

- Homophones cause confusion; therefore, teachers need to provide explicit instruction that clarifies vocabulary and concepts. All types of visual aids should be used and the use of TPR helps to build the meaning of words. As per Baker et al (2014), academic vocabulary words need to be taught "intensively across several days using a variety of instructional activities" (p. 3).
- Rather than using a decoding approach, a better impact on reading comprehension can be obtained by emphasizing meaning. This develops background knowledge where the teacher offers a teacher made definition of key vocabulary and uses the new terms in sentences. This is accomplished by providing extra details to the stories and more questions for the students to answer throughout the reading process.
- With writing, teachers need to model how to revise a piece. By using the keyboard instead of paper and pencil, students can improve the quality of their writing.
- Baker et al (2014) also recommend that teachers provide "regular, structured opportunities to develop written language skills" (p. 3).

CEI will develop assessments and data that teachers will use in both English and the Home language to plan for instruction to ensure the unique educational needs of ELLs are being met.

21. If applicable to the grade levels served in the proposed application, describe your plan to monitor and provide guidance and support for students to meet or exceed State graduation requirements.

For students in the dual language program, there is a seal of biliteracy that they can obtain upon graduation. This seal shows up on their diploma and transcript and allows them to bypass the language requirements once they enter college. Bilingualism provides better academic and cognitive benefits (Hakuta, 1986). Bilingual or multilingual people have more experience with the interpretation and analysis of language compared to monolingual people Developing a high level of bilingualism allows students to become "linguists" and this provides the opportunity to compare and contrast the structure of L1, grammar and vocabulary to that of L2 (Bialystok & Hakuta, 1994; Lambert, 1984). Data (questionnaires, on-site professional development sessions that take place after school or even on Saturday mornings, co-teaching strategies, lesson plans and curriculum development for classes taught both in English and Spanish) will provide feedback to help strengthen the program**.**

22. Describe how the school will continuously use data to identify, monitor, and respond to ELLs needs.

The data from the NYSESLAT scores will determine what level the students are placed in, this helps monitor progress and the time allotted in each week for services such as push in or pull out for ELLs.