

## **Application Summary:**

Charter School Name: Great Oaks Charter School

Applicants: Benjamin B. Carson, Alia Smith, Kate Hayes, Dr. Joseph P. McDonald, Susan Mustokoff Akselrad, Robert Ludlum, Michael Duffy

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Contact Number: 501-258-7831

District of Location: New York City Community School District 2

Opening Date: August 26, 2013

Proposed Charter Term: July 1, 2013 – June 30, 2018

Proposed Partner Organization: Great Oaks Foundation

Projected Enrollment and Grade Span during Charter Term: 396 students in grades 6-10

Projected Maximum Enrollment and Grade Span: 462 students in grades 6-12

Mission Statement: The mission of the Great Oaks Charter School is to prepare our students to succeed in college. We believe that all students can succeed in an atmosphere of high expectations, caring relationships and high doses of individual attention.

## **Mission Statement and Objectives**

The mission of the Great Oaks Charter School is to prepare our students to **succeed in college**. We believe that all students can succeed in an atmosphere of high expectations, caring relationships and lots of individual attention.

Our objectives are derived from our mission of college success. In order to ensure that our graduating seniors leave us academically prepared to be successful college freshman, we will enact a rigorous curriculum that includes AP courses and real college course for all students. Because college success requires not just academic preparation but also courage, perseverance and discipline, we'll cultivate those traits in our students.

The proposed Great Oaks Charter School materially furthers several objectives of the New York State Charter Schools Act. Principally, it is our mission to improve student learning and to provide increased learning opportunities for all students, including those students who are at-risk of academic failure. In addition, through our innovative model that stresses intensive one-on-one tutoring for all students through our Great Oaks Tutor Corps, we hope to demonstrate new teaching methods and create new professional opportunities for educators. Finally, the creation of a new charter middle/high school in New York City's Community School District 2 will further the Act's objective of providing expanded choices to families.

## Key Design Elements

Whether a student is ready to succeed in college and beyond depends on more than satisfying the requirements for high school graduation. College success requires higher-order thinking skills, a passion for reading and discovery, deep mastery of content and character traits like courage, perseverance and respect. Our approach will ensure that all of our students leave Great Oaks Charter School with the tools they need to graduate from a competitive college or university.

We will accomplish our mission by leveraging key aspects of other high-performing charter middle and high schools, most notably the MATCH school in Boston. The Great Oaks Charter School will distinguish itself through several key aspects:

- **Small school**
- **Excellent teachers.**
- **High dosage tutoring.**
- **More time on task.**
- **High expectations.**

## Community to Be Served

Great Oaks Charter School intends to locate in Community School District 2, specifically in the Lower Manhattan area. The need for a new secondary school in Lower Manhattan is driven by the dearth of quality options in the community.

For one, there simply aren't enough public school seats. Mayor Bloomberg recently said that downtown has added more people over the previous 10 years than Atlanta, Dallas and Philadelphia combined and that "there are now more people living in Lower Manhattan than at any time since 1920." At the same time, school construction has been hobbled by the high cost of construction in Manhattan— particularly below Chambers Street. Elementary schools currently suffer from overcrowding, with secondary programs sure to follow as students age up through the grade levels.

Beyond sheer population growth, a significant portion of CSD 2 students are not being well-served by their current schools. On the 2011 8<sup>th</sup> grade New York State exams, Black and Hispanic students in CSD 2 schools were about half as likely to score on grade level as their White and Asian neighbors. By high school, the gaps have grown even larger – Black and Hispanic students who graduated in 2010 were one-fifth as likely to meet New York State's definition of college readiness. Overall, barely one-quarter of Community School District 2 students met the Regents' Aspirational Performance Measures in the 2010 graduating class, indicating a pervasive need for higher-quality public school choices that will prepare CSD 2 students for college success.

By creating high-quality secondary seats in a district bereft of public school choice (there is currently one other charter middle school in the entire district), Great Oaks will empower parents to choose not to attend a failing school. Through our commitment to seeking private space, we will be part of the solution to the district's shortage of high-quality seats.

**CERTIFICATION AND ASSURANCES STATEMENT**

Proposed Charter School Name Great Oaks Charter School  
 Proposed School Location (District) New York City - Community School District 2

I hereby certify that the founding 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 founding 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 founding 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."<sup>7</sup>

The applicant(s) also make(s) the following assurances pursuant to Section 5203(b)(3) of Elementary and Secondary Education Act (ESEA) and the Consolidated Appropriations Act, 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<sup>8</sup>
- 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 under this subpart;<sup>9</sup> 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.<sup>10</sup>

Signature of Applicants:	
Date:	February 25, 2012
Print/Type Name:	Benjamin B. Carson

<sup>7</sup> N.Y. Education Law § 2854(2)(a)  
<sup>8</sup> ESEA § 5203(b)(3)(J)  
<sup>9</sup> ESEA § 5203(b)(3)(K)  
<sup>10</sup> ESEA § 5203(b)(3)(N)

## Great Oaks Charter School - Application to New York State Board of Regents

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## **I. Mission, Key Design Elements, Enrollment and Community**

### **A. Mission Statement and Objectives**

The mission of the Great Oaks Charter School is to prepare our students to **succeed in college**. We believe that all students can succeed in an atmosphere of high expectations, caring relationships and lots of individual attention.

Our objectives are derived from our mission of college success. In order to ensure that our graduating seniors leave us academically prepared to be successful college freshman, we will enact a rigorous curriculum that includes AP courses and real college course for all students. Because college success requires not just academic preparation but also courage, perseverance and discipline, we'll cultivate those traits in our students.

The proposed Great Oaks Charter School materially furthers several objectives of the New York State Charter Schools Act. Principally, it is our mission to improve student learning and to provide increased learning opportunities for all students, including those students who are at-risk of academic failure. In addition, through our innovative model that stresses intensive one-on-one tutoring for all students through our Great Oaks Tutor Corps, we hope to demonstrate new teaching methods and create new professional opportunities for educators. Finally, the creation of a new charter middle/high school in New York City's Community School District 2 will further the Act's objective of providing expanded choices to families.

### **B. Key Design Elements**

Whether a student is ready to succeed in college and beyond depends on more than satisfying the requirements for high school graduation. College success requires higher-order thinking skills, a passion for reading and discovery, deep mastery of content and character traits like courage, perseverance and respect. Our approach will ensure that all of our students leave Great Oaks Charter School with the tools they need to graduate from a competitive college or university.

We will accomplish our mission by leveraging key aspects of other high-performing charter middle and high schools, most notably the MATCH school in Boston. The Great Oaks Charter School will distinguish itself through several key aspects:

- **Small school.** With 66 students per cohort and a maximum enrollment of 462 students in grades 6-12 (split between middle school and high school programs), we will maintain a close-knit community, where every student feels known and cared about. Small schools have been shown to be effective at increasing student achievement in the middle and high school grades, as measured by Advanced Placement courses, graduation rates and college

matriculation.<sup>1</sup> Small schools have also been shown to have lower incidences of aggressive behavior, substance abuse and gang participation, particularly among low-income and minority students.<sup>2</sup>

- **Excellent teachers.** Passionate, relentlessly hard-working teachers will focus on providing rigorous, college-preparatory instruction while connecting with each student as an individual. Teachers will be freed from administrative burdens so they can do what they do best: Engage students and deliver outstanding lessons.
- **High dosage tutoring.** Via the Great Oaks Tutor Corps, every student receives two hours of tutoring every day. Tutors develop students' academic skills and study habits and build strong relationships that increase student and family engagement with the school's mission and core values.
- **More time on task.** The Great Oaks Charter School day starts at 7:45 a.m. and runs until 4:45 p.m. Students at-risk of falling behind will attend Saturday School.
- **High Expectations.** We have high academic expectations for all members of the Great Oaks community. Unlike most traditional public schools, students must earn a 70% to pass each class. All students are required to take Advanced Placement courses during their junior and senior years and all students will enroll in a real college course during their senior year, during our second charter term.

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<sup>1</sup> Cotton, Kathleen. *New Small Learning Communities: Findings from Recent Literature*. Portland: Northwest Regional Educational Laboratory, 2001.

<sup>2</sup> National Center for Education Statistics. *Violence and Discipline Problems in U.S. Public Schools: 1996-97*. Washington, DC: National Center for Education Statistics, 1998.

## C. Enrollment, Recruitment and Retention

### Enrollment

<b>Projected Enrollment Table Over the Charter Term</b>					
<b>Grades</b>	<b>2013-2014</b>	<b>2014-2015</b>	<b>2015-2016</b>	<b>2017-2018</b>	<b>2018-19</b>
<b>6<sup>th</sup></b>	66	66	66	66	66
<b>7<sup>th</sup></b>		66	66	66	66
<b>8<sup>th</sup></b>			66	66	66
<b>9<sup>th</sup></b>				66	66
<b>10<sup>th</sup></b>					66
<b>Totals</b>	66	132	198	264	330

We intend to open the Great Oaks Charter School in the 2013-14 school year with 66 students in 6<sup>th</sup> Grade. The school will expand upwards by one grade each year until it reaches a full-scale enrollment of 462 students in grades 6-12. We chose a cohort size of 66 students in order to maintain a small overall school size. It is critical that students feel as though their teachers and school leadership are invested in their success – something better accomplished in a small school. We chose to begin with a single cohort of 6<sup>th</sup> grade students because 6<sup>th</sup> grade is a natural articulation point between elementary and middle school in New York City and because starting with a single grade would allow for a more effective startup year.

As a public school, Great Oaks will strive to ensure that all CSD 2 families are aware of this new option that is available to them. Our recruitment efforts will stress our belief that all students can succeed in an atmosphere of high expectations and individual attention, and we will ensure that families know that charter schools are public schools, open to all students and free of charge.

Specific activities that we will undertake to publicize our school and recruit new students will include:

- Direct outreach to district and charter K-5 programs in Community School District 2 to inform guidance counselors, principals and teachers about Great Oaks as an option for their rising fifth-graders
- Vanguard direct mailings (via NYCDOE) to rising fifth grade families in the ZIP codes surrounding the school, informing families about Great Oaks
- Handing out literature in front of high-traffic areas in the neighborhoods surrounding the school – supermarkets, subway stations, community events
- Engaging local media outlets, especially newspapers in languages other than English, to provide free or low-cost advertising about the school

The mission of the Great Oaks Charter School is to prepare our students to succeed in college. Implicit in our mission is retaining the students who enroll through graduation and go on to college. In any school, circumstances will arise that may cause students to leave, but to the extent that it is within our control, Great Oaks will strive to retain all students who enter until they graduate.

In order to be successful at retaining students, particularly students who enter the school at-risk of academic failure, we've learned from other No Excuses schools that Great Oaks will need to be very effective at communicating with families and forecasting any behavioral or academic problems so that parents are not caught off guard when a student may be held back or suspended (circumstances that often lead to parents withdrawing from school). We will send home weekly progress reports and at the end of each trimester, any student who is in danger of failing a course will have a mandatory parent-teacher conference. By taking proactive steps to engage families in their students' progress every step of the way, we can avoid the kind of unpleasant surprises that drive a great deal of student attrition at No Excuses charter schools.

We estimate that there will be sufficient interest in the Great Oaks Charter School to allow us to reach our targeted enrollment for several reasons. First, population growth in Lower Manhattan has created an overcrowding crisis in the primary schools that, as students age, will put middle school seats in high demand. Second, we believe a college-preparatory 6-12 school with high doses of tutoring integrated directly into the school day will have a broad appeal for parents. Finally, charter schools in New York City have been extraordinarily popular with parents, resulting in (according to the NYC Charter School Center) – more than 64,000 applicants vying for less than 13,000 available charter seats. With that level of city-wide demand, we anticipate a high level of interest in our program.

We have assessed community and family support for our proposed school via meetings with elected officials, hosting parent open house meetings in the community, informal conversations among parents in the district, distributing literature outside of local district schools and reviewing news coverage of education in Lower Manhattan. The consistent message we've

received through these assessments is that the population increase downtown necessitates new seats and that the Great Oaks model of intensive individual attention in service of college preparation resonates with families.

Recruiting at-risk populations – specifically, English Language Learners, students with disabilities and students who receive free and reduced-price lunch – will require extra attention and effort to engage those families who may not typically be as proactive in seeking out new school options or who may be uncertain of their eligibility for a charter school.

There are several other specific activities we can undertake to ensure that at-risk students are fully represented at the school:

- Engaging special education focused advocate groups (such as Advocates for Children) to leverage their networks of families and social workers
- Simplifying the student application to ensure that the document is easy to understand and complete and doesn't request information that could discourage applicants
- Performing in-person outreach and working with local community leaders at the NYCHA public housing locations in lower CSD 2 (Alfred E. Smith, Robert Fulton) to ensure widespread awareness of Great Oaks
- Translating all application and publicity materials into the dominant languages of the area (at the least Spanish, Cantonese and Mandarin)

The school's application process will be designed to minimize barriers to entry for potential applicants. Families will be able to apply to Great Oaks via mail-in application, in-person by visiting the school (once operational) or through an online application. The application will be as simple as possible, asking only the minimal required information to enter a student in the lottery – name, address, grade, parent/guardian information, and sibling information for lottery preference. The application will not ask about a family's native language or income level nor will we solicit information about a student's special education status, prior achievement or any other data not strictly necessary to enter a student in the lottery and follow up with his or her family after the drawing.

The school will collect applications for new students beginning in January of the preceding school year. The deadline for new student applications each year will be no earlier than April 1<sup>st</sup> and no later than April 15<sup>th</sup>. On the first Saturday after the application deadline, Great Oaks will hold a public lottery to select students for the coming year.

The selection groups for enrolling new students each year will be as follows, in order of their selection:

1. Siblings of enrolled students

2. Students who reside in Community School District 2
3. All applicants who reside outside of Community School District 2

On the lottery date, we will fill vacant seats in the upcoming school year by admitting students from each selection group above in order. If there are more seats available on a grade level than there are students in a selection group, all students in that group will be selected. If there are more students who have applied within a selection group than there are vacant seats, a random drawing (using a computer program) will be conducted to admit students and to set the order of the waiting list.

All applications will be either admitted or placed on a waitlist. Parents will be notified immediately of their admissions status following the lottery. Students who are admitted will have to respond within two weeks with their acceptance or rejection of the offer in order to allow for timely notification of students on the waiting list.

Throughout the spring and summer preceding their enrollment, we will engage new families through school visits, calls from school leadership and open house days. Beginning four weeks before school starts, families will be asked to come into school to complete enrollment paperwork and conduct placement assessments to help the school determine their strengths and areas for needed improvement.

#### **D. Community to Be Served**

Great Oaks Charter School intends to locate in Community School District 2, specifically in the Lower Manhattan area. In doing so, Great Oaks anticipates drawing a reflective sample of the lower half of CSD 2. In the 61 charter and traditional public schools operating in 2010 in the Zip codes approximately corresponding to the area below 34<sup>th</sup> Street, an average of 67% of students qualified for free and reduced lunch, 11.5% of students were classified as Limited English Proficient. In those schools, 22% of students were black, 37% were Hispanic, 21% were Asian and 18.5% were white.

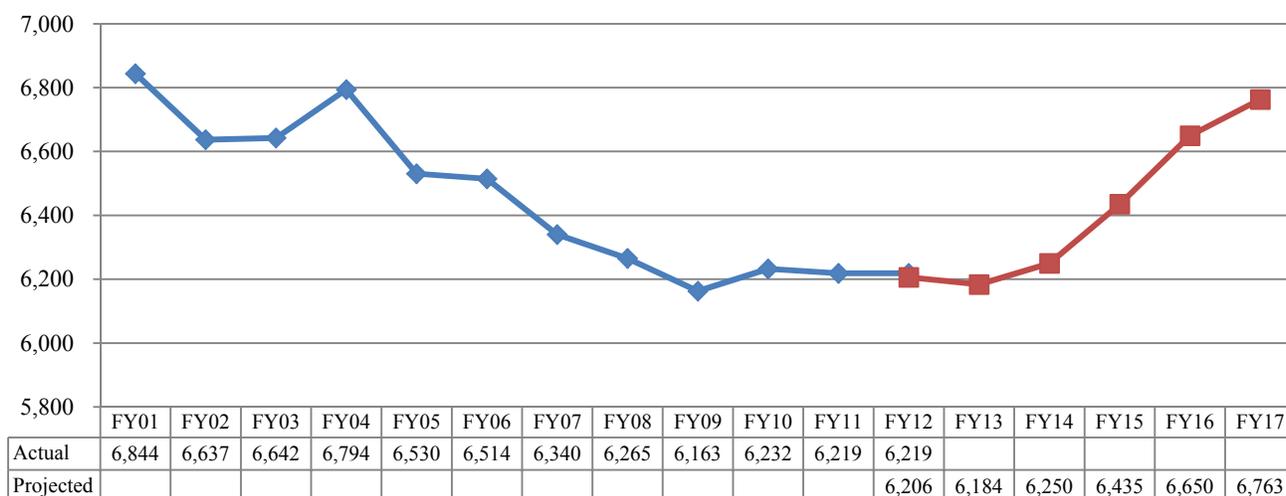
Across the city we see that schools with greater numbers of free/reduced-price lunch eligible students tend to have higher rates of minority enrollment than average, higher proportions of LEP students than average and higher proportions of special education students than average. For that reason, we anticipate that our targeted outreach at low-performing schools and in low-income residential areas would cause us to enroll more minority students and those with LEP status or special education needs than the district average.

The need for a new secondary school in Lower Manhattan is driven by the dearth of quality options in the community.

For one, there simply aren't enough public school seats. Mayor Bloomberg recently said that downtown has added more people over the previous 10 years than Atlanta, Dallas and

Philadelphia combined and that “there are now more people living in Lower Manhattan than at any time since 1920.” At the same time, school construction has been hobbled by the high cost of construction in Manhattan— particularly below Chambers Street. Elementary schools currently suffer from overcrowding, with secondary programs sure to follow as students age up through the grade levels.

*Historic and Projected Public School Enrollments for Grades 6-8 in CSD 2, Manhattan (Source: NYCDOE Historical Enrollment; SCA Projections)*



Beyond sheer population growth, a significant portion of CSD 2 students are not being well-served by their current schools. On the 2011 8<sup>th</sup> grade New York State exams, Black and Hispanic students in CSD 2 schools were about half as likely to score on grade level as their White and Asian neighbors. By high school, the gaps have grown even larger – Black and Hispanic students who graduated in 2010 were one-fifth as likely to meet New York State’s definition of college readiness. Overall, barely one-quarter of Community School District 2 students met the Regents’ Aspirational Performance Measures in the 2010 graduating class, indicating a pervasive need for higher-quality public school choices that will prepare CSD 2 students for college success.

By creating high-quality secondary seats in a district bereft of public school choice (there is currently one other charter middle school in the entire district), Great Oaks will empower parents to choose not to attend a failing school. Through our commitment to seeking private space, we will be part of the solution to the district’s shortage of high-quality seats.

**E. Public Outreach**

In the process of designing the Great Oaks Charter School, the founding team conducted a wide-reaching effort to inform the CSD 2 community about the proposed new school option

and to solicit input and comments on our model, its suitability for the district and its desirability by the community.

The founding team engaged elected officials representing the Lower Manhattan community, including Assembly Speaker Sheldon Silver, State Senator Dan Squadron, Borough President Scott Stringer, City Council Speaker Christine Quinn, Councilmember Margaret Chin, the Community Education Council for Community School District 2 and the Community Board for Community District 1.

In addition, we informed the public of our proposed school by distributing flyers and information sheets at local feeder schools, speaking with educators who are working in the district, engaging area parent groups and reaching out to local media outlets.

A final key way of gathering community input in the formation of this proposal is reflected in the composition of the founding group itself. Five members of the team are CSD 2 residents and two are parents, reflecting a personal stake in aligning this proposal with the needs of its proposed community.

There were commonalities that stuck out from input and comments received across all channels. Parents in the area are overwhelmingly concerned with the shortage of quality schools that is continually exacerbated as population growth outstrips city public school expansion. Parents, educators and elected officials express concerns that the overcrowding currently focused on elementary schools will soon spread to the middle grades and that, while CSD 2 has several high-performing middle schools, there are insufficient options to provide all CSD 2 students with a high quality secondary education. This concern over current district capacity is a primary driver for Great Oaks' decision to locate in CSD 2.

A related concern that the founding team has heard is about Great Oaks' facility. Public school space is incredibly scarce in Lower Manhattan and community members expressed concern that Great Oaks would seek to co-locate in a public school building, further exacerbating overcrowding issues. Our response to this concern has been a commitment to seeking private facilities in the area. Great Oaks is committed to being part of the solution to the district's capacity challenges.

We will continue to solicit and respond to public comment as the school moves through the authorization process in order to continue to build support for Great Oaks in CSD 2 and to address any new concerns that may arise.

If this proposal is approved, informing the community about the new school option available to them will be a vital early task. Great Oaks Charter School will be a public school and the founding group takes its obligation to make sure the school is widely publicized very seriously. We will take several key steps to ensure that students and their families are aware of the school and have an equal opportunity to attend, including the following:

- Utilizing the NYC DOE's opportunity for targeted direct mail to send notice to the rising 5<sup>th</sup> graders in Community School District 2, informing them of this new option
- Engaging local media outlets that focus on CSD 2 to provide free or low-cost notice to the community of the new school
- Translating all application materials into the dominant languages of the community, including English, Spanish, Mandarin and Cantonese
- Performing targeted outreach in areas where families may be less likely to seek out new school options, in particular at NYCHA public housing sites

## **F. Programmatic and Fiscal Impact**

The Great Oaks Charter School intends to have a positive programmatic impact on the other schools in the community. We will be a model high-performing school and will open our doors to educators who wish to visit the school and observe our methods. School leaders and the Board will also seek to contribute to the ongoing dialogue around school reform by participating in conferences and panel discussions.

Beyond being open about sharing our methods, it is our intent that our Tutor Corps will be a primary source of positive impact beyond the walls of Great Oaks Charter School. From our founders' experience at MATCH in Boston and at the Great Oaks Charter School in Newark, we've seen that half of our tutors arrive intending to become classroom teachers after their year of service. Those Corps members receive a year of invaluable training by working full-time in a high-performing school, getting thousands of hours of instructional experience and intensive observations and coaching. It is our hope and expectation that alumni of the Great Oaks Tutor Corps will go on to create a positive impact for the schools and organizations throughout the city in which they serve.

We anticipate that Great Oaks will have a minimal fiscal impact on the surrounding schools. At our full-scale, we will enroll 462 students in grades 6-12. This represents about 1% of the total district enrollment in those grades and less than one-half of one-tenth of one percent of the more than one million children enrolled in New York City public schools. Assuming constant per-pupil funding levels, at Great Oaks full-scale enrollment we would receive about \$6.25 million in general education funding from the city, or about \$140 per CSD 2 student not enrolled in Great Oaks or about \$6 per student citywide. Given the scale of public school enrollment in Community School District 2 and the city at large, we do not believe that Great Oaks will create a noticeable impact on enrollment or funding for the surrounding public schools. Because Great Oaks enrolls a small fraction of the students in the district and receives its funding from public sources, it would not have any measureable fiscal impact on nonpublic schools in the area.

## **II. Educational Plan**

### **A. Achievement Goals**

The mission of the Great Oaks Charter School is to prepare our students to succeed in college. The metric by which we will ultimately gauge our success is the rate at which our students are obtaining college degrees. Since our first class will not enroll in college until 2020 and won't graduate until 2024, it is critical that we set interim achievement goals to ensure that we are on track to reach our mission.

We will institute distinct academic programs for the middle school and high school grades and will organize those programs around distinct achievement goals for each level. For middle school, our overarching goal is to bring students, who are likely to come from diverse settings and have highly variant levels of previous achievement, up to at least their grade level as quickly as possible. Once a cohort of students advances to the high school level, our primary goal shifts to preparing every student for college success by the time they graduate.

#### Middle School Goals:

1. Each cohort of students will demonstrate progress as evidenced by increasing its rate of proficiency by 25 points between the 5<sup>th</sup> grade (year prior to entry) and 8<sup>th</sup> grade on the New York State English Language Arts and Mathematics exams.
2. Students who have been continuously enrolled for two or more years will exceed the Community School District 2 average rate of proficiency on the New York State ELA and Math exams.
3. In 7<sup>th</sup> and 8<sup>th</sup> grade, 90% of students will annually be promoted to the next grade after passing all courses with a 70% average.

#### High School Goals:

1. Every student will take at least one Advanced Placement course and the corresponding exam.
2. 100% of students at Great Oaks will graduate with a Regents Diploma.
3. Every student will take the PSAT in the 10<sup>th</sup> grade and the SAT in the 11<sup>th</sup> grade and will show growth by advancing at least 10 percentile points.
4. All students will demonstrate proficiency with higher-order thinking skills, independent research and critical thinking, as evidenced by the completion of a college-style research paper in the junior year.
5. Every student will enroll in and complete a college course during their senior year

### School-wide Goals:

1. Great Oaks Charter School will receive an “A” on its NYC DOE Citywide Progress Report.
2. Great Oaks Charter School will annually achieve Adequate Yearly Progress under the No Child Left Behind Act.

### **B. School Schedule and Calendar**

Attached here as Attachments 3a (Sample Weekly Student and Teacher Schedule) and 3b (Proposed First Year Calendar)

### **C. Curriculum and Instruction**

The Great Oaks Charter School will achieve its mission of preparing students for college success by adapting the successful instructional practices of the MATCH School and other high-performing charter middle and high schools.

The curriculum development process for each grade level at Great Oaks is designed to translate our mission of preparing students for college success into a series of annual learning objectives, consistent with the Common Core State Standards and the New York State Learning Standards.

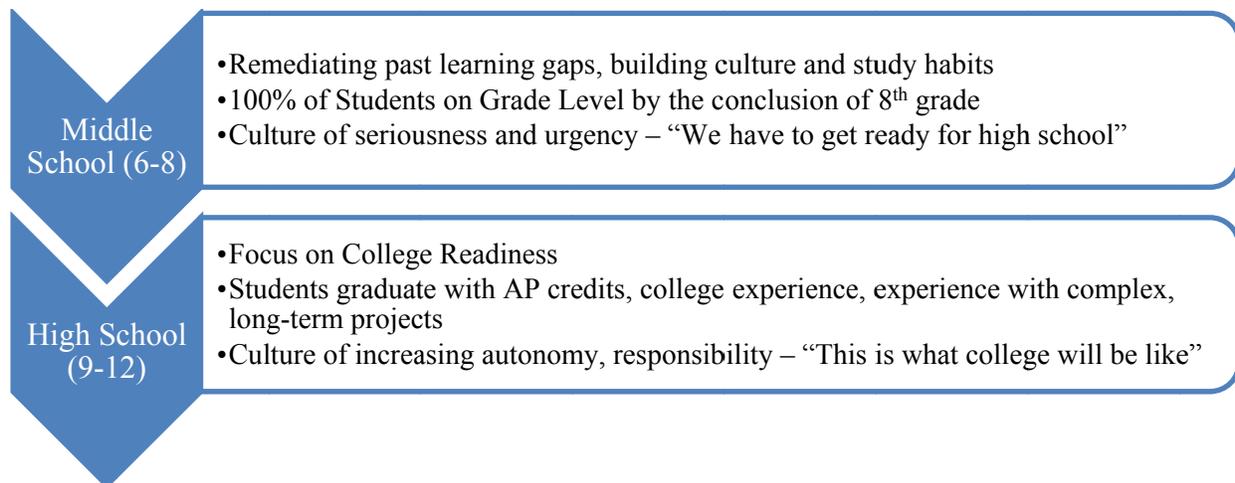
In order to set annual curricular goals that set students on the path to college success, we will start from the end. That is, we use existing research to identify characteristics of successful college students and ensure that our program moves students on a trajectory that will allow them to graduate with those characteristics.

A review of current research indicates that while there is a broad spectrum of scientific opinion about the predictors of college success, a few key indicators arise again and again: rigorous English language mastery, Advanced Placement courses, study habits and foreign languages. However, according to USDOE researcher Clifford Adelman, “The academic intensity of the student’s high school curriculum still counts more than anything else in pre-collegiate history in providing momentum toward completing a bachelor’s degree.”<sup>3</sup>

With Adelman’s research in mind, we have a two-stage approach to curriculum design:

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<sup>3</sup> Adelman, Clifford. “The Toolbox Revisited: Paths to Degree Completion from High School Through College.” U.S. Department of Education, 2006.



During the middle-grades, our curricular focus will be on developing basic-skills mastery and mastering yearly Common Core State Standards & New York State Learning Standards in the core subjects. We will work hard to remediate those students who are behind grade level, as was the case in 2011 for 37% of CSD 2<sup>6</sup><sup>th</sup> graders in ELA and 23% in Math. For those students who enter at or above grade level, we will provide opportunities to expand on their knowledge and to engage as peer leaders.

Curricular planning at the middle school will be standards-aligned and heavily oriented around assessing students’ needs and providing individualized opportunities to address those needs. In the classroom, teachers will work from a cycle of teach-assess-reteach that allows them to spend more time on the material that their class, as a whole, might have struggled with. At the same time, high-dosage daily tutoring can work to address gaps in individual students’ previous learning quickly, so that those gaps don’t become impediments to forward progress.

Once students successfully graduate to the 9<sup>th</sup> grade, our high school program will incorporate the elements of an academically intensive high school experience that are so strongly correlated with college success. Students will take Pre-AP-level courses in the 9<sup>th</sup> and 10<sup>th</sup> grades so that they are prepared for AP courses in their junior and senior years. High school curriculum sequences across the grades will culminate with AP-level content. In the high school context, daily tutoring is designed to build strong relationships, leverage greater effort and help students engage and master more difficult content.

Across content areas, we will have an intensive focus on literacy as the gateway to all other skills. Our commitment to literacy is evidenced in the 725 minutes per week that we’ve devoted to English Language Arts tutorial and courses. In addition, our students will spend 40 minutes per day (an additional 200 minutes per week) participating in Silent Sustained Reading of a book of their choice, on their assessed reading level.

In all grade levels, we will adapt the successful instructional practices of MATCH and other high-performing No Excuses schools. We believe that classroom time is best used for

engaging students around new material, addressing content and skills that large groups of students are struggling with and building a strong school culture. For those reasons, classroom teachers will focus on delivering engaging, content-rich lessons that work to reinforce a culture of hard work and mutual respect.

Tutorial represents the other, equally crucial, sphere of instruction across the grade levels at Great Oaks. A one-on-one or two-on-one tutorial setting is best for addressing individual students' areas of struggle, developing strong relationships with each student and giving students who are excelling the opportunity to stretch their understanding. For those reason, the tutors will be provided the training, support and materials to facilitate sessions that are individualized, tightly-focused and conducive to growth.

Across all classes, consistency in instructional practices will create an environment where students know what is expected of them and where we don't waste valuable learning time by confusing students with different routines and procedures for each classroom. For example, in each classroom teachers will write the class's objective, agenda, "Do Now" assignment and homework on a whiteboard at the front of the class for each period. Students will know immediately upon entering the classroom where to look for that information and will be able to start their Do Now and record their homework without teacher prompting.

In every Great Oaks class, the following items are on the blackboard (in class) or on the table (in tutorial):

<b>Class</b>	<b>Tutorial</b>
<ul style="list-style-type: none"> <li>● The extended form of the date.</li> <li>● The specific and measurable "Aim" for the day (connected to the standards).</li> <li>● SAT Word of the Day</li> <li>● The "Do-Now" or opening activity, which immediately engages students in writing for two to five minutes.</li> <li>● The "Agenda" or list of the activities for the class period.</li> <li>● The "Homework" assignment due the following day.</li> <li>● The "Exit Ticket" to test student understanding of the day's class aims</li> </ul>	<ul style="list-style-type: none"> <li>● The extended form of the date.</li> <li>● The specific and measurable "Aim" for the tutorial.</li> <li>● The "Do-Now" or opening activity, which immediately engages students in writing for two to five minutes.</li> <li>● The "Agenda" or list of the activities for the tutorial period.</li> <li>● The "Exit Ticket" to test student understanding of the tutorial aims</li> </ul>

Similar school-wide consistency in classroom routines, note-taking styles, behavioral expectations and academic policies will increase coherence for students and families and allow us to create a more focused school environment.

#### **D. Assessment**

In order to achieve our mission of preparing all of our students to succeed in college, Great Oaks Charter School will adapt the tenets of data-driven instruction pioneered by other high-performing charter schools. Our students' performance will be assessed frequently and the data gathered will be used to focus resources in the areas students are struggling to help their achievement improve as quickly as possible.

Assessment at Great Oaks is built into the fabric of the school and will take a number of forms as we measure whether all of our students are on track to master state standards and to be ready to succeed in college:

<b><u>Type of Assessment</u></b>	<b><u>Frequency</u></b>	<b><u>Purpose/Question to be Answered</u></b>	<b><u>Follow-Up Questions</u></b>
“Exit Tickets”	Daily, at the end of each class period and tutorial	Did students master the learning objective for the day?	How should material be addressed in tutorial (for individual students) and the next day (for whole classes)? Do we stay on this topic or move on?
Unit-Level Course Quizzes	Approximately monthly, at the end of a Curricular Unit for each course	Did students master the content standards that were addressed this unit?	How should material be handled in the next week? What underlying gaps in student knowledge need to be remediated via tutorial?
Trimester Course Exams	3x/year for each course	Are students mastering their course content? Are students on track to pass their courses?	Which material should be re-taught during the two-week re-teaching period? Which students are in need of urgent intervention?
Externally-provided Interim Assessments	4x per year for ELA and Math (NWEA MAP exam or Achievement Network, depending on availability at time of opening)	Are students mastering state standards? Are students on track to pass state exams?	Which students should be provided additional assistance? Which students need to be additionally challenged?
Scholastic Reading Inventory	3x/year computer-administered reading assessment	What is an individual student's reading level?	What books are appropriate for each student to be reading to increase literacy achievement?

New York 3-8 State Testing Program	Once per year for ELA and Math in middle school, Regents testing program in high school	Have students mastered the state standards for the year? Are we, as a school, meeting our basic achievement goals?	What strategic changes need to be made to ensure that the school meets its mission?
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In addition to the school wide annual assessment cycle described above, we are committed to administering the NYSESLAT test annually for our students with Limited English Proficiency to measure whether they are making the necessary progress towards English proficiency.

Great Oaks intends to use the highest-quality externally-provided interim assessments available, and evaluating those products annually. The founding team has had positive experiences with the Achievement Network assessment system at the Great Oaks Charter School in Newark. At the time of this application, the Achievement Network was planning to commence operations in New York, but has not yet done so. If the Achievement Network becomes available in New York during the pre-opening phase, Great Oaks anticipates using that assessment tool. If not, we anticipate using the well-regarded NWEA Measures of Academic Progress (MAP) assessment tool.

Assessment and data will be managed within the school by the Director of Curriculum and Instruction, who will be responsible with coordinating the logistics of test administration and scoring as well as planning and running the data follow-up meetings that occur after interim assessment days. In addition, use of data will be a key part of each teacher's responsibilities and the Director of Curriculum and Instruction will coach teachers on how to use the data being generated by Exit Tickets, Unit Quizzes and Trimester exams to increase student achievement in their courses.

### **E. Performance, Promotion and Graduation Standards**

Great Oaks is committed to preparing all of our students for college success. To do so, we will hold them to high academic expectations each year they are with us. In order to pass a class, a student must maintain a 70% average across the school year. In order to be promoted to the next grade level, a student may not fail more than two classes for the year. In addition, a student who has more than 20 absences for the year or more than 5 days of suspension is eligible to be held back for the year.

In fitting with our achievement goals, all students will be expected to be at least on grade level by the time they leave the middle school. For that reason, in order to pass the 8<sup>th</sup> grade, students will need to meet annual promotion standards for the 6<sup>th</sup>, 7<sup>th</sup> and 8<sup>th</sup> grades and score at least at Level 3 on the 8<sup>th</sup> grade New York State ELA and Math exams.

To be promoted from middle school to high school at Great Oaks and then to graduate from high school, there are baseline promotion standards that we expect every student to have mastered. These promotion standards are adopted from the Common Core State Standards and the New York State Learning Standards. High school Math exit standards are derived from the AP Calculus course standards, which will be the terminal math course at Great Oaks.

School Level	ELA Promotion Standards: <u>Students will be able to</u>	Math Promotion Standards: <u>Students will be able to</u>	Social Studies Promotion Standards: <u>Students will be able to</u>
Middle School (8 <sup>th</sup> grade)	<ul style="list-style-type: none"> <li>• Cite textual evidence that supports an analysis</li> <li>• Determine a theme or central idea</li> <li>• Analyze how individual incidents/lines of dialogue propel a story or reveal aspects of a character</li> <li>• Use context clues effectively</li> <li>• Compare and contrast the structure of different styles of text</li> <li>• Compare and contrast a live/filmed version of a text with its source material</li> <li>• Read and comprehend grade-appropriate literature</li> <li>• Write arguments to support claims with clear reasons and evidence</li> <li>• Write informative/explanatory texts</li> <li>• Write narratives to develop real and imagined experiences or events</li> <li>• Produce clear and coherent writing</li> <li>• Respond to feedback through revisions and editing</li> <li>• Use technology to research, produce and publish writing</li> </ul>	<ul style="list-style-type: none"> <li>• Know that there are numbers that are not rational and approximate them by rational numbers</li> <li>• Work with radicals and integer exponents</li> <li>• Understand the connections between proportions, lines and linear equations</li> <li>• Analyze and solve linear equations and pairs of simultaneous linear equations</li> <li>• Define, evaluate and compare functions</li> <li>• Use functions to model relationships between quantities</li> <li>• Understand congruence and similarity using physical models, transparencies, or geometry software.</li> <li>• Understand and apply the Pythagorean Theorem.</li> <li>• Solve real-world and mathematical problems involving volume of</li> </ul>	<ul style="list-style-type: none"> <li>• Explain the human experience in the United States from pre-Columbian times to the present</li> <li>• Recognize political, geographic, economic and social trends in U.S. history and tie them to contemporary trends in New York State history</li> <li>• Cite specific evidence to support analysis of primary and secondary sources</li> <li>• Determine central ideas of a source</li> <li>• Describe how a text presents information</li> <li>• Identify aspects of a text that reveal the author's point of view</li> <li>• Distinguish among fact, opinion and reasoned judgment in a text</li> <li>• Analyze relationships between a primary and secondary source on the same topic</li> </ul>

School Level	ELA Promotion Standards: <u>Students will be able to</u>	Math Promotion Standards: <u>Students will be able to</u>	Social Studies Promotion Standards: <u>Students will be able to</u>
	<ul style="list-style-type: none"> <li>Write routinely over extended and shorter time frames</li> </ul>	<ul style="list-style-type: none"> <li>cylinders, cones and spheres.</li> <li>Investigate patterns of association in bivariate data.</li> </ul>	
High School (12 <sup>th</sup> Grade)	<ul style="list-style-type: none"> <li>Make critical inferences about a text and what it leaves uncertain</li> <li>Determine themes/central ideas and their development over the course of a text</li> <li>Determine the meaning of words/phrases as they are used in a text</li> <li>Analyze relationship between an author's choice of structure for specific parts of a story and the overall structure, meaning and aesthetic impact</li> <li>Understand and recognize satire, sarcasm, irony and understatement</li> <li>Analyze and evaluate multiple interpretations of a source text</li> <li>Demonstrate knowledge of foundational American texts from 18<sup>th</sup> – 20<sup>th</sup> centuries and contemporary themes across texts within periods</li> <li>Read and comprehend grade-appropriate literature independently and proficiently</li> <li>Write arguments to support claims in analytic writing</li> </ul>	<ul style="list-style-type: none"> <li>Work with functions represented in a variety of ways: graphical, numerical, analytical or verbal and understand the connections among these representations</li> <li>Define the derivative in terms of a rate of change and local linear approximation and use derivatives to solve a variety of problems</li> <li>Define the definite integral both as a limit of Riemann sums and as the net accumulation of change and use integrals to solve a variety of problems</li> <li>Describe the relationship between the derivative and the definite integral as expressed in both parts of the Fundamental Theorem of Calculus</li> <li>Communicate mathematics and explain solutions to problems both verbally and in written sentences</li> <li>Model a written</li> </ul>	<ul style="list-style-type: none"> <li>Define, analyze, monitor and discuss issues and policies within a participatory classroom</li> <li>Demonstrate economic literacy and rational decision-making</li> <li>Connect insights from the details of a source to an understanding of the text as a whole</li> <li>Evaluate various explanations for actions or events and determine which explanation best accords with textual evidence Analyze how a complex primary source is structured</li> <li>Evaluate authors' differing points of view on the same event</li> <li>Integrate and evaluate multiple source of information presented from diverse sources and in diverse formats/media</li> </ul>

School Level	ELA Promotion Standards: <u>Students will be able to</u>	Math Promotion Standards: <u>Students will be able to</u>	Social Studies Promotion Standards: <u>Students will be able to</u>
	<ul style="list-style-type: none"> <li>• Write informative texts to explain complex ideas, concepts and information accurately.</li> <li>• Write well-developed narratives</li> <li>• Respond to feedback through revisions and editing</li> <li>• Use technology to research, produce and publish writing</li> <li>• Write routinely over extended and shorter time frames</li> </ul>	<p>description of a physical situation with a function, a differential equation or an integral</p> <ul style="list-style-type: none"> <li>• Use technology to help solve problems, experiment, interpret results and support conclusions</li> <li>• Determine the reasonableness of solutions, including sign, size, relative accuracy and units of measurement</li> </ul>	

In order to receive a high school diploma from Great Oaks, our students will need to meet our annual promotion standards for the 9<sup>th</sup>, 10<sup>th</sup>, 11<sup>th</sup> and 12<sup>th</sup> grades. In addition, they will be required to meet New York State Regents Diploma requirements. Based on current policy, students will be required to pass, with a score of 65 or greater, the following Regents examinations:

- English Language Arts
- Algebra
- Global History
- US History
- Science

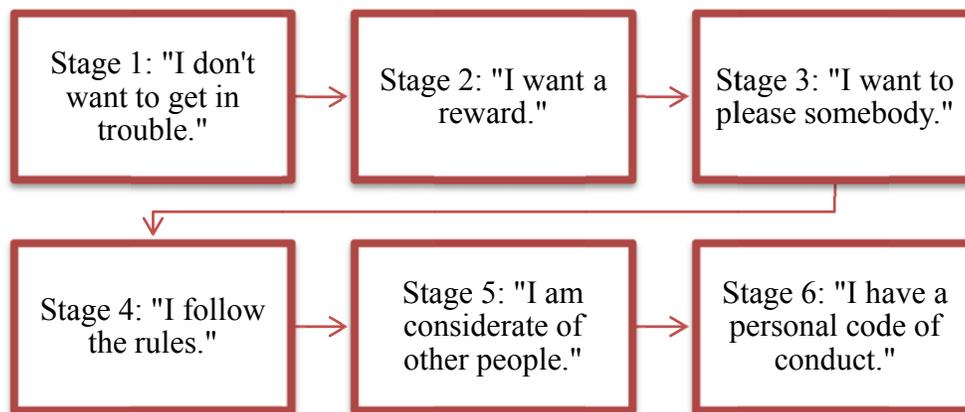
## **F. School Culture and Climate**

Great Oaks Charter School's discipline policy and code of conduct will be heavily influenced by the MATCH School, whose approach is grounded in the balance of strict and consistent enforcement of behavioral rules with individual attention to each student to help him or her maximize academic potential and ultimately graduate from a four-year college.

The Great Oaks Charter School will provide a small, safe, and structured environment for the academic and social development of students. This environment is essential for student learning.

The teaching, training, and practice of conduct expected at the Great Oaks Charter School are driven by the teaching and practice of Kohlberg's Six Stages of Moral Development. We want students to behave well for all the right reasons. Teaching and learning the Six Stages takes a lifetime effort. We will start this important effort at the Great Oaks Charter School by explicitly teaching the Six Stages and helping them in their development. Students will learn more about the Six Stages as they examine role models in the classrooms and check their decisions (both good and poor) throughout the year.

Kohlberg's Stages:



We want students not to base their actions on fear, a desire to please someone, or even on rules. Students possess their own personal code of conduct. We learn about Level 6 conduct through role models we learn about in classes.

At Great Oaks, we will support our students' development by setting clear expectations, explicitly stating our expectations, and holding students responsible for their choices. At Great Oaks, students will be expected follow our 10 "Non-Negotiables" at all times:

1. Attend school daily. Arrive on time and remain at school for the entire day.
2. Respect **all** members of the Great Oaks community.
3. Be focused on learning and take active notes throughout every class.
4. Arrive on time to each class and be seated and silently working on their "Do-Now" when the first bell rings.
5. Follow the Great Oaks Charter School dress code.
6. Be prepared for every class by arriving with the necessary tools to effectively participate.
7. Respect the building and all community property.
8. Turn off and put away all electronic devices before entering school.
9. Always have a pass in the hallways.
10. Complete all assignments with academic honesty and integrity.

There are two ways in which Great Oaks supports students in meeting the expectations of the Great Oaks community. First, students learn and practice Great Oaks expectations during Orientation. Second, the Great Oaks Check system will keep track of four types of information:

1. **Daily Attendance:** Cumulative record of tardies and excused/unexcused absences throughout the year
2. **Weekly Homework Completion:** There are four categories of homework completion for each class:
  - ✓ Complete = 100% complete includes correct paper heading (name, date, class)
  - ✓ Incomplete = Less than 100% complete; incorrect paper heading (name, date, class) qualifies the homework as incomplete
  - ✓ Missing = Homework is not turned in during homework collection time
  - ✓ No Homework = Homework was not assigned in class that day
3. **“Above and Beyond” points are rewarded to students who go above and beyond in their respect, integrity, self-discipline, and excellence towards themselves and others.** Students may redeem points at the Student Store for school spirit item and special reward events.
4. **“Demerits” are earned when a student does not follow the Code of Conduct.** There are consequences when a student earns multiple demerits. The more demerits a student earns, the heavier the consequence to be served.

Great Oaks points and demerits will be tracked on the Great Oaks Check. Checks will be distributed to students on a weekly basis. A parent/guardian must review the check with the student. **All parent(s)/guardian(s) must check and sign the *Weekly GO Check*.** Students can keep up with their Great Oaks point and demerit totals each day by keeping a daily tally. Great Oaks points earned will be accounted for daily. Great Oaks point and demerit totals will be posted every day.

Demerits earned will vary with the level of student choices:

<u>TIER 1 DEMERITS</u>	<u>Description</u>
<u>Choices worth 1 demerit each for unprofessional behavior.</u>	<ul style="list-style-type: none"> <li>• Food, drinks, candy, or gum chewing</li> <li>• Noisemaking</li> <li>• Off-Task</li> <li>• Dress-code infraction</li> <li>• Unprepared for class</li> <li>• Inappropriate Hallway Behavior</li> <li>• Not cleaning</li> </ul>

	<ul style="list-style-type: none"> <li>• Unprofessional behavior</li> <li>• Wasting Time</li> </ul>
<u>TIER 2 DEMERITS</u>	<u>Description</u>
<u>Choices worth 4 demerits</u>	<ul style="list-style-type: none"> <li>• Disrespect</li> <li>• Electronic equipment</li> <li>• Tardy for class</li> <li>• Horseplay</li> <li>• Defacing school property</li> <li>• Dishonesty</li> </ul>
<u>TIER 3 – AUTOMATIC SUSPENSION</u>	<u>Description</u>
<u>Choices worth automatic suspension</u>	<ul style="list-style-type: none"> <li>• Extreme disrespect</li> <li>• Physical and emotional threat</li> <li>• Theft</li> <li>• Unexcused Absence</li> </ul>

Consequences for behavior are directly related to the number of demerits a student has accumulated for the **day and week**. All detention responsibilities must be served by the end of each week. Un-served detention time at the end of the week will result in a Friday Detention to pay off the remaining consequence.

<u>Violation(s)</u>	<u>Consequences</u>
LEVEL 1: 4-6 demerits in one day	1-day detention
LEVEL 2: 7-10 demerits in one day	2-day detention
LEVEL 2: 11-14 demerits in one day	3- day detention and silent lunch
LEVEL 3: 15-19 demerits in one day	3- day detention and 1 week silent lunch
LEVEL 4: Safety violations or 20 demerits in one day	1 day suspension and parent meeting to re-enter school. Student will be given an assignment to complete upon re-entry before parent meeting. Each day the meeting doesn't happen will be counted as an unexcused absence.
LEVEL 5: Repeated Tier C behavior or fighting	Withdrawal: Repeated Tier C behavior Expulsion: Any behavior that is dangerous to a student and the Great Oaks community is grounds for suspension/expulsion.

\*Remaining detention debt will be paid off through a 1-hour Friday detention

Detention:

How students know if they have detention:

1. Students will keep track of their daily demerit count.
2. Students will confirm their number with the daily demerit and point post.
3. Parents will be notified by the student's tutor, teacher, or administrator every evening if and when the student has detention the following day.

For detention, students must copy the protocol for the entire time period. If the student copies the protocol diligently, s/he may earn the option of silently working on homework for the last thirty minutes. If s/he chooses to sit silently, s/he will not earn the option of starting your homework, and s/he will still be held to the same expectations.

Suspension/Expulsion: Choices that will send a student to suspension or expulsion

Violations in this category threaten the safety of anyone in the Great Oaks community and the community environment. Safety violations result in immediate severe consequences and they are the only type of violations that may lead immediately to expulsion. Police may also be notified when the situation warrants it. The following list is not a comprehensive list.

- Setting off false fire alarms – Students may not set off false fire alarms.
- Bullying – Harassment, threats, or intimidation of any member of the school community is not tolerated.
- Stealing – No stealing, losing, or damaging someone else's property or school property. In addition to facing consequences for violation of this rule, students are expected to return property to its rightful owner in its original condition or to reimburse the owner and/or the school for lost, damaged, or stolen property.
- Inappropriate Touching – Students may not make unwanted sexual advances toward or commit sexual harassment of any members of the school community. Sexual harassment is not tolerated.
- Horseplay or Roughhousing – No fighting at Great Oaks or any other school. Harassing, pushing, or any form of unwanted physical contact is not tolerated. Any physical fight will result in expulsion.
- Using or possessing a weapon – (automatic expulsion) Students may not possess, use, or bring a firearm, mock fire arm, or a weapon of any sort to school. Students may not use any object in a dangerous or threatening manner or have a weapon on him/her on his/her property.
- Arson - (automatic expulsion) Students may not set a fire.
- Possessing, using, selling or transferring of a controlled substance or tobacco products – Students may not sell, distribute, or possess with intent to sell or distribute a prescribed or

non-prescribed controlled substance, cigarettes, chewing-tobacco, or other tobacco products.

### High School Discipline Policies

By the high school grades, students will have been attending Great Oaks for several years and will have become accustomed to the Code of Conduct and the consequences that will result from their choices. For most students, as they move into Kohlberg's Stages 5 & 6, the demerit/point system will become less and less prominent. The Code of Conduct will remain in place and students will still earn demerits for their poor choices, but we will emphasize the need for students to regulate their own behavior as they prepare for the independence of college.

### Cheating Violations

Violations in this category threaten our ability to successfully fulfill our mission of college success. Cheating violations represent actions in which students receive or give unauthorized help on any assignment. Committing a cheating violation represents an act of academic dishonesty – essentially students are lying about the work that they or others are completing. Without academic honesty, we cannot be sure if students are making actual academic progress towards their learning goals.

Examples of cheating include:

- a. Any indication of copying another person's work during an exam, during any other assessment, or while completing an assignment including homework;
- b. allowing someone to copy work on an exam, quiz, assessment or assignment;
- c. using any unauthorized materials not specifically approved by the instructor during any exam or for any academic assignment;
- d. collaborating on any group or individual assignment without the direct permission of the instructor;
- e. altering' graded work after it has been returned, then submitting the work for re-grading;
- f. stealing, reproducing, circulating, or otherwise gaining access to examination materials prior to the time authorized by the instructor;
- g. intentionally continuing work on an exam or assignment after the allocated time has elapsed;
- h. citing a source that does not exist, attributing to source ideas and information that are not included in the source, or citing a source in a bibliography when the source was neither consulted nor cited in the body of the paper;
- i. inventing data or statistical results to support conclusions unless permitted by a teacher for a specific assignment.

Examples of plagiarism include:

- a. copying another student's work and submitting it as one's own work;

- b. using any other person or organization to prepare work and then submitting it as one's own;
- c. quoting or paraphrasing the thoughts of another writer without acknowledgement.
- d. copying and using information from websites or other sources without properly citing the source.
- e. claiming another student's work and submitting it as one's own work by writing one's name in the heading

### ***Procedures for Cheating Violations***

1. The staff member will initially meet with student to examine the evidence of potential cheating violation.
2. If the staff member is certain of the cheating violation at hand, the Executive Director will meet with the student(s) and the staff member to discuss the circumstances.
3. The Executive Director will communicate with parents as soon as possible to inform them of the process and to allow them an opportunity to come in for a meeting to discuss the situation.
4. The Executive Director will determine if the student(s) is responsible for a cheating violation and what the appropriate consequence should be using whatever evidence is available.
5. The consequence and violation will be recorded and student's teachers, tutors, and family will be informed.

### ***Consequences for Cheating or Plagiarizing***

Cheating violates the trust and integrity of our community. For a student to put his/her name on work that he/she did not do shows a disregard for the values of the school. The student is placing a grade above the skills learned through the assignment and their trust and reputation within the community. To do this taints the student's reputation for honesty and trust, and reputation, like trust, is very difficult to re-build.

Consequences for cheating violations may include:

- ✓ Zero on the assignment
- ✓ Exclusion from monthly and/or year-end field trips
- ✓ In-class or out-of-school suspension
- ✓ A written apology to the teacher and/or community for violating trust
- ✓ An intervention plan to establish trust that may include staying at school to do homework to ensure the integrity of the work

For repeated acts of cheating (more than three times), the student, parent/guardian, teacher(s), tutor, and Executive Director will create an Intervention Plan to prevent the student from further cheating violations and to support the student in making good choices. The plan will be evaluated at intervals to be set for individual.

By making sure students see the connection between their choices and the positive and negative consequences, we will encourage students to take increasing responsibility for their own decisions and regulate their own behavior.

## **G. Special Student Populations and Related Services**

At the heart of Great Oaks Charter School's educational philosophy is the belief that all children can learn in an environment of high expectations and supportive relationships. We will ensure that the needs of any child who enrolls in our school are met. For the below subgroups of students, we will create policies that protect the legal rights of the child and we will hold staff accountable for the execution of those policies.

### At-risk students

We expect that a large proportion of our students will arrive at Great Oaks Charter School with significant educational deficits – entering one or more year behind their grade level. Our strategy for at-risk students is woven throughout our entire school model – high expectations of performance that we support students in meeting. Our small school size will be an asset in allowing each student to feel known and cared about and will let our teachers create the relationships necessary for each student to succeed.

All students at Great Oaks will receive two hours of tutoring every day – struggling students even more. Over the course of a school year, that will amount to more than 400 hours of additional attention to the individual needs of our students. Our extended school day means that those 400 hours are in addition to the time spent in the classroom, not as a pull-out or substitute. Tutors use content generated by the classroom teacher that ensures that the additional attention at-risk students receive is directly tied to the lessons in their classes.

Through our rigorous collection of student achievement data - formal interim assessments as well as informal assessments such as daily 'exit tickets' – our teachers, tutors and school leadership will develop a deep understanding of each student's progress towards standards mastery. Those students who are identified as at risk of not meeting our expectations will be provided with one-on-one attention after school and on Saturdays by their teacher or by a tutor until they have mastered the content.

### Special Education

Students with disabilities can and will thrive at Great Oaks Charter School. Based on State Report Card data, we expect that 15-25% of our students will come to us with Individual Education Plans which would result in the school enrolling 20-30 students with disabilities in its first year of operation with an additional 10-15 students with disabilities enrolling each subsequent year.

One of our core values at Great Oaks is that all students can learn in an environment of high expectations, warm relationships and high doses of individual attention. In accordance with that value, we will educate all students with disabilities in the least restrictive environment possible within the bounds of any IEP that is in place. Special classes, separate schooling or otherwise removing students with disabilities will occur only if the severity of the student's disability is such that education in regular classes with supplementary aids and services cannot be achieved satisfactorily.

Great Oaks Charter School will act in compliance with all state and federal laws and regulations to ensure that all students with disabilities who enroll are provided the free and appropriate education to which they are entitled in accordance with their Individualized Education Plans. Although we cannot predict the specific service requirements of the students who enroll at our school, we will meet the needs of all students in accordance with all state and federal laws and regulations

The school will employ, at a minimum, one person with appropriate special education certification. We will hire a Special Education Coordinator with the appropriate certification to work as a Special Education teacher for year 1 and as the school grows, we will expand the Special Education staff in order to serve an increasing population of students with disabilities.

The Special Education Coordinator will be responsible for managing all of the special education work of the school which will include liaising with the New York City Department of Education and the Committees on Special Education, working with parents to keep them informed and obtain the required consent, holding accountable any external service providers with whom the school contracts and acting as an advocate for students with IEPs. Additionally, the Special Education Coordinator will be responsible for acting as a custodian of students IEP records – making sure that records are kept confidential and are shared with only the appropriate staff members. The records of any student with a disability will be retained and kept confidential, in accordance with the Individuals with Disabilities act and the Family Educational Rights Privacy Act.

Students without an IEP who exhibit signs of having a disability may be considered for referral to the Committee on Special Education. All referrals will state the reasons for the referral, describe previous attempts to remediate the student's performance and describe the nature and extent of parent involvement. A copy of the referral along with all required procedural safeguards notices will be sent to the student's guardians.

All students with disabilities that qualify under the IDEA will receive a Free and Appropriate public education, will be appropriately evaluated and provided with an IEP, will be involved in decision making regarding their IEP along with their parents and will have access to all appropriate procedures to resolve any disputes related to the school's/the district's provision of services.

Annually, Great Oaks will evaluate the effectiveness of our special education services through measures of student achievement, parent satisfaction and compliance indicators to determine the need for systematic adjustments to our program.

### English Language Learners

Great Oaks Charter School will treat students who are English language learners in accordance with all applicable laws and regulations. As part of our registration process, all students who were previously enrolled in an NYC public or charter school will have their NYC DOE records examined to determine previous Limited English Proficiency status. Those students who do not have a record with the NYC DOE will be given a home language survey.

We will ensure that students whose home language survey indicates a possible need for ELL services will have their English assessed using the Language Assessment Battery – the instrument used by the NYC DOE. Students who are designated LEP, either due to a designation at a previous school or because their LAB-R indicates ELL status, will receive appropriate services in compliance with all applicable state and federal regulations to ensure their mastery of state standards and satisfaction of the school’s graduation requirements. LEP students will receive ELL services until they are able to demonstrate proficiency on a state-approved English Language Proficiency Test.

In accordance with our mission of preparing students for college success, all Great Oaks students will be expected to become proficient in English as quickly as possible and the school will provide the support and resources to help them achieve at the highest possible level. LEP students will receive academic content as those students who are native English speakers, however the level of English used for instruction will be modified appropriately for each student. All teachers will receive professional development on communicating with ELL students.

Great Oaks will be supportive of the needs of students and families with limited English abilities. The English proficiency of all LEP students will be assessed annually to determine whether the supports they are receiving are effective and LEP students’ performance in other subject areas will be evaluated to see if modifications need to be made. Great Oaks will also evaluate the performance of our LEP students as a group each year on English proficiency exams to determine whether systematic adjustments to our ELL program are warranted.

### Gifted Students

Through intensive daily tutoring and a college-preparatory instructional focus, we will continue to challenge those students who are at or above grade level at Great Oaks. Students will be provided opportunities to read more advanced texts during daily independent reading, to take on more challenging homework and practice materials in tutorial and to act as peer leaders in appropriate settings.

Daily tutoring, in particular, is well-positioned to encourage gifted students to develop at their pace. Rather than a traditional classroom where a teacher must monitor and adjust the learning for 25-30 students, a tutorial group of 2-3 students, grouped by entering skill level at the beginning of the year, creates a venue where students can express higher-order thinking, analyze texts and attempt to solve more challenging problems.

### III. Organizational Viability

#### A. Applicants/Founding Group Capacity

<b>Name</b>	<b>Current Employment</b>	<b>Relevant Experience /Skills in Founding Group</b>	<b>Proposed Role, if Any</b>
Benjamin Carson	Launch Director, Great Oaks Foundation	<ul style="list-style-type: none"> <li>• Founder, Great Oaks Charter School, Newark</li> <li>• Statistician, Charter School Office, NYC DOE</li> <li>• Community School District 2 Resident</li> </ul>	Supporting Organization Employee – Neither Board member nor school employee
Alia Smith	Graduate Student, Columbia University Business School	<ul style="list-style-type: none"> <li>• MATCH Corps Director, MATCH Public Charter School</li> <li>• MATCH Corps Member</li> </ul>	Board member
Dr. Joseph P. McDonald	Professor of Teaching and Learning, NYU-Steinhardt School of Culture, Education and Human Development	<ul style="list-style-type: none"> <li>• Chair, Teacher Education Working Group, NYU</li> <li>• Director of Research, Annenberg Institute for School Reform</li> <li>• Expert in Teaching</li> <li>• Community School District 2 Resident</li> </ul>	Board member
Kate Hayes	Sales Leader at Johnson & Johnson	<ul style="list-style-type: none"> <li>• Community School District 2 Resident and Parent</li> </ul>	Board member
Susan Mustokoff Akselrad	Senior Counsel, Rhodia Inc.	<ul style="list-style-type: none"> <li>• 25-year Practicing Attorney</li> <li>• Public school teacher</li> <li>• Parent</li> </ul>	Board member
Michael Duffy	Managing Director, Victory Education Partners	<ul style="list-style-type: none"> <li>• Founder, Great Oaks Charter School, Newark</li> <li>• Executive Director, Charter School Office, NYC DOE</li> <li>• Executive Director, City on a Hill</li> </ul>	Board member

		Charter School <ul style="list-style-type: none"> <li>• Founding Board Member, MATCH Public Charter School</li> <li>• Community School District 2 Resident</li> </ul>	
Robert Ludlum	Managing Director, Treasury Services, Chase Bank	<ul style="list-style-type: none"> <li>• 20-Year Finance Professional</li> <li>• Community School District 2 Resident</li> </ul>	Board member

## B. Board of Trustees and Governance

Trustee Name	Voting?	Position on the Board (Officer Positions Subject to Election at Initial Board Meeting)	Length of Initial Term
Alia Smith	Y	Member-At Large	1 year
Dr. Joseph P. McDonald	Y	Member-At Large	1 year
Kate Hayes	Y	Vice-Chair (Proposed)	3 years
Susan Mustokoff Akselrad	Y	Secretary (Proposed)	2 years
Michael Duffy	Y	Chair (Proposed)	3 years
Robert Ludlum	Y	Treasurer (Proposed)	2 years

The Founding Board of Trustees of the Great Oaks Charter School represents a diverse group with a broad array of experiences and skills. The Founding Board is capable of launching and overseeing a high-quality new school option:

- Michael Duffy, proposed Board Chair, has been involved in the charter school sector for more than 10 years as a trustee, school leader and authorizer.
- Kate Hayes, proposed Vice-Chair, is a parent and downtown Manhattan resident with a personal connection to the challenges of operating a school in the community.
- Robert Ludlum, proposed Treasurer, is a long-time finance professional with experience in fiscal oversight and internal controls.
- Susan Akselrad, proposed Board Secretary, brings a career of corporate law to support the board's governance and oversight responsibilities as well as an invaluable perspective as a parent and former public school teacher.
- Professor Joseph McDonald is a nationally recognized expert in teaching and learning with a rich history as a practitioner to inform the oversight of our academic program.

- Alia Smith brings a deep familiarity with the MATCH model that we're replicating. As a former tutor and MATCH Corps Director, Alia will be essential in making sure that we are replicating the successful methods of the MATCH School.

The Board of Trustees of Great Oaks will be responsible for ensuring that the school is operating in compliance with its charter and all applicable state and federal laws as well as overseeing the school's progress towards achieving its mission of preparing students for college success. Major responsibilities of the Board will include setting strategic goals for the school, hiring and evaluating key leadership positions, approving the annual budget, responding to parent complaints and acting as the final point of accountability for the school.

Officers of the Board will have the following general responsibilities:

The Chair (president) of the board has general supervision, direction, and control of the affairs of the school, subject to board control, and such other powers as the board may prescribe. When present, the Chair will preside at board meetings.

The Vice-Chair (vice-president) acts in the place of the Chair if the Chair is absent or unable to fulfill his or her duties and when so acting will have all the Chair's powers and be subject to the same restrictions.

The Treasurer acts as the Chief Financial Officer of the school. The treasurer will act as a custodian of school funds and will provide the appropriate segregation of duties to maintain strict internal fiscal controls. The Treasurer will inform the Board of the school's ongoing fiscal condition.

The Board secretary will be responsible for keeping the minutes of the school, maintaining records of board membership and decisions, interpreting the bylaws in the case of a dispute and any other duties the board may prescribe.

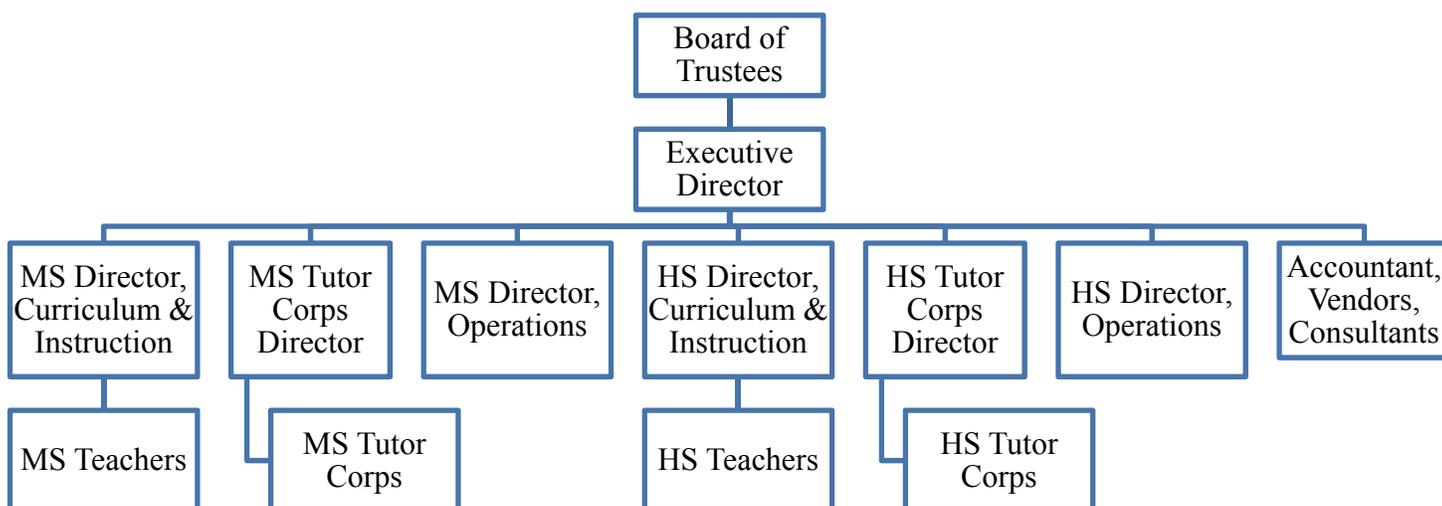
The Board will act as the key point of accountability for the school in its relationship with the Board of Regents as the chartering entity. The Board is entrusted with the charter agreement by the Board of Regents and is responsible for making sure that the school is upholding the promises contained in the charter agreement. If the school does not live up to the terms of its charter agreement, the school's Board will have to answer to the Board of Regents.

The Board will have two permanent standing committees: Finance and Academic. The Chair may create ad hoc committees to handle emergent issues such as facilities. The Treasurer will Chair the Finance Committee on a permanent basis, but the chairs of other committees will be appointed by the Board Chair and may rotate among the members. At an appropriate interval, the chairs of any permanent and standing committees will provide a report of committee activity to the Board at large.

The founding board members will serve staggered initial terms of 1, 2 or 3 years as described in the table above in order to ensure that there are sufficient members in office at all times. Members who join the board after the initial meeting will serve for a term of 3 years and all members will be eligible for re-election to 3-year terms at the conclusion of their terms. Officers will hold their offices at the pleasure of the Board, serving until resignation or removal.

**C. Management and Staffing**

Organizational Chart



Great Oaks will grow its leadership team and staff in clusters. The Executive Director and Middle School leadership (Director of Curriculum and Instruction, Tutor Corps Director, and Director of Operations) will all be onboard prior to the first day of operations. In Year 4, when the school adds a 9<sup>th</sup> grade, we will add a second cluster for High School leadership.

We have budgeted for a staggered on-boarding of school leadership that provides for a manageable proportion of the school’s expenses to be devoted to administration while still ensuring that there is sufficient capacity in the school to execute the school’s academic program. The middle and high school academic programs are so academically distinct and the challenges of launching the high school will be such that we are committed to hiring a complete high school leadership team for the 4<sup>th</sup> year of the school’s operation, when our initial cohort articulates into the 9<sup>th</sup> grade. The five-year budget includes allocations for that increase in administrative staff.

Recruiting and Retaining Effective Teachers

The school will add 4-5 new teachers per year as it scales up and will replace any teaching staff lost to attrition. We will conduct a national search to hire the best possible teachers. We have budgeted significant resources (\$15,000 per year) for staff recruitment to

ensure that we are able to widely publicize job openings in online and print media and, if necessary, hire a search firm to seek out the best new team members.

We will be able to attract great teachers through a series of factors:

- Compensation – Average teacher salary of \$55,000 allows us to be competitive with mid-career district or charter teachers and attract the best new talent.
- Environment – Teachers are more likely to choose to work in a high-performing school where expectations for all members of the community are clearly stated and consistently upheld
- Conditions – The presence of full-time Tutor Corps members fundamentally shifts the teacher’s role, emphasizing creativity, planning and student engagement while deemphasizing rote work and non-instructional chores.

Ultimately, Great Oaks’ success will depend on attracting and retaining great instructional talent. To do so, we will need to provide credible paths for talented educators to develop and grow within Great Oaks.

Great Oaks will use a combination of factors to identify, retain and develop effective teachers. School leadership will use frequent classroom observations, coaching and analysis of student achievement data to highlight our most effective teachers. For those teachers, the Director of Curriculum and Instruction and the Executive Director will provide individual attention to support effective instructors’ career development within Great Oaks in a variety of ways, including:

- Providing a path towards a school leadership role
- Creating opportunities to support a less-experienced teacher
- Giving more responsibility over the curriculum development process
- Opening avenues for the instructor to spend more time with students by leading an enrichment activity.

### **C.1. Charter Management Organization**

We will not contract with a charter management organization.

### **C.2. Partner Organization**

The creation of the Great Oaks Charter School is being supported by the Great Oaks Foundation, a 501(c)(3) not for profit organization with a mission of supporting public school students through the creation of new charter schools, based on the MATCH model. Though not

formal members of the applicant team (other than Michael Duffy), the members of the Great Oaks Foundation's Board of Directors have been instrumental in the development of our model and will be key supporters of the launch of this school:

- Steven Klinsky (Chair) – Founder and CEO, New Mountain Capital
- Jay Cross – President, Related Hudson Yards
- Peggy Shaughnessy – Managing Director, Goldman Sachs
- Adam Weinstein (Treasurer) – Director and Controller, New Mountain Capital
- Maureen Sherry – Author
- Stig Leschly – CEO, MATCH Public Charter School
- Gregorio Mayers – Senior Policy Advisor, Mayor's Office, City of New York
- Fred Brown – Chairman, National Black Republican Council
- Mary Brabeck (Special Advisor to the Board) – Dean, Steinhardt School of Culture, Education and Human Development, New York University
- Michael Duffy (President)

The Great Oaks Foundation previously supported the successful launch of the Great Oaks Charter School of Newark – designing the academic, operational and financial model for the school; drafting the charter application; recruiting the first group of staff, tutors and students; securing an incubation site and a long-term facility; and raising sufficient startup capital to implement the school's program.

If approved, the Great Oaks Foundation intends to perform a similar role for the proposed Great Oaks Charter School in New York City. Specifically, the Foundation will:

- Assist the school Board in the search and hiring process for an Executive Director
- Assist the Executive Director with the recruitment of the founding team of staff and tutors
- Support the recruitment of the initial cohort of students
- Acquire an incubation site and a long-term facility for the school
- Support the Board and Executive Director with fundraising to ensure adequate pre-operational cash flow to implement the school's program.

Primary contact for Great Oaks Foundation:

Benjamin Carson, Launch Director  
Great Oaks Foundation  
239 Greene Street, 6<sup>th</sup> Floor  
New York, NY 10003  
[bcarson@greatoakscharter.org](mailto:bcarson@greatoakscharter.org)  
501-258-7831

## **D. Evaluation**

Frequent self-examination is a critical component of a reflective organization dedicated to continuous improvement. At the end of each school year, the leadership and Board of the Great Oaks Charter School will engage in a strategic review process to identify areas in which the school is not living up to its vision and to make programmatic, operational or budgetary adjustments that will enable the school to better achieve its mission of preparing our students for college success.

Several key sources of data will be collected and analyzed during the strategic review process:

1. Achievement data: State test and interim assessment results will give us a picture of whether our students are on track for college success.
2. Attendance & Student Retention rates will provide insight into whether students and families are engaged in school and whether the school's leadership is effective at getting buy-in from all students, even the hard to serve.
3. Student Demographic Data will show whether the school is meeting its obligations to be truly open to all students and serving a reflective sample of the community in which we operate.
4. Student and Family Surveys, administered twice per year (in January and June) will indicate whether students and families perceive value from the school program. Surveys will be distributed via the regular Friday parent communication packet and parents will be asked to complete the surveys together with their students and return them the following Monday. Specifically, we will seek to answer the following questions:
  - a. Are families satisfied with the quality of the education their student is receiving?
  - b. Are families satisfied with their teachers? Their tutors?
  - c. Are families satisfied with the amount and quality of communication they have with the school
  - d. Do students feel safe at school? Do they feel like school is a place where all community members respect each other?
5. Staff surveys, administered three times per year (at the end of each Trimester) will indicate whether staff have the resources, support, morale and leadership they need to be successful.

6. Fiscal indicators, such as whether any line items are over-extended or whether any bills are not paid on time, will provide evidence of the operational team's capacity to manage cash flow throughout the year and the Board's success at anticipating budgetary priorities.

The data from the above sources will be compiled by the Executive Director for the Board of Trustees and presented at the Board's annual retreat in the summer. Based on trends that emerge from the strategic review, the Board will make decisions about leadership changes, fiscal needs or new programmatic priorities.

For example, if achievement data indicates that math assessment results are lagging our targets and the math instructional team indicates that it is struggling to keep up with the volume of lesson planning required, the Executive Director may recommend a series of changes that might include a shift in teacher scheduling, hiring a part-time coach or making teacher personnel changes. The Board would then have the opportunity to comment, provide feedback and ultimately adopt the changes.

The Executive Director himself or herself will annually be evaluated during a meeting of the full Board, based on the overall performance of the school. The Executive Director will be responsible for using strategic review data to formally evaluate school leadership annually and will make recommendations to the Board about compensation, promotion and termination.

Teachers will be evaluated by the Director of Curriculum and Instruction annually, on the basis of frequent observations, their response to feedback, classroom management and student achievement data (as measured by interim assessments and state exams).

## **E. Professional Development**

Professional development at Great Oaks Charter will be continuous and will be directly tied to instructional outcomes. Classroom observations and interim assessment data will form the basis of regular evaluations that will indicate areas of strength to leverage and areas in need of improvement. Improving student experiences and outcomes will be the objective of each teacher's professional development plan and will be the metric by which we evaluate the success of professional development.

Charter school leader and instructional expert Doug Lemov suggests that rather than focus on correcting deficiencies, schools should encourage instructors to better develop their inherent strengths. Accordingly, professional development plans at Great Oaks Charter School will vary for each teacher based on his or her career goals, areas of strength and the needs of the whole school, but may include a mix of components such as ongoing coaching, conferences, readings, and collaborative lesson-planning. Whole-school professional development will focus on aspects that require the focus of the entire school community, particularly around the area of school culture and developing consistently applied high expectations.

In leveraging each teacher's strengths and developing his or her areas of weakness through individualized professional development plans, our teachers will become stronger individually and our school's culture will grow more cohesive and student outcomes will improve.

Students will be dismissed at 1pm each Friday in order for the entire school staff to participate in 4-hour professional development opportunities. The composition of those sessions will vary from week to week, but in general they will follow a similar schedule:

1:15 -2:30 – Whole school team meeting: (Either split between middle and high school grades or all together) Discussion of school-wide priorities and emergent challenges; “Shout outs” - Public praise for exceptional performance

2:30 – 3:30 – Small-group meetings (As tutors/teachers/leadership, as subject-area teams, or as grade-level teams): Continued smaller group discussion of school-wide priorities and data reviews at the subject/grade-level

3:30 – 5pm – Teacher-team collaborative planning for the coming week: Opportunities to ensure a high level of coherence across classrooms and discuss individual students and thread topics/themes across disciplines

## **F. Facilities**

Great Oaks Charter School is committed to being a partner with the downtown community in creating solutions to the overcrowding crisis in Lower Manhattan schools. For that reason, we will not seek to occupy public school space. Rather, Great Oaks will occupy a private facility in Lower Manhattan, Community School District 2. We have planned for a two-stage facilities plan:

1. Incubation space: During the first 2 years of operation, Great Oaks will be relatively small and will grow its program in a smaller, temporary space. For this stage, we have created a budget that assumes \$25 per square foot in rental costs and a gross occupancy of 75 square feet per student (made possible by Great Oaks' larger base class sizes).

The founding team has had initial conversations with the Downtown Alliance, Lower Manhattan elected officials, real estate brokers, the Archdiocese of New York and developers about prospects for identifying a small, private space to operate in for two years. While the founders anticipate encountering the same challenges as all startup schools, the Board's experience in charter school facilities, along with the support of the Great Oaks Foundation, will allow us to identify possible locations that would be viable incubation sites for the school at an affordable rate.

If the school is approved, the Great Oaks Foundation would immediately begin the process of securing incubation space, assessing what renovations might be necessary to allow for

educational use, and working through the permitting process to ensure that the site is ready for occupation by the summer of 2013.

2. Permanent space: In year 3 of our initial charter term, Great Oaks intends to move into a permanent space in Lower Manhattan, Community School District 2. Our vision is to acquire a long-term lease and renovate a building on Governors Island in New York Harbor. The total cost of the renovation work will be met by a combination of state & federal Historic Preservation Tax Credits, philanthropic capital and tax-exempt bond issuance.

Total cost for the permanent site is projected at \$500 per square foot, or \$35m total. Through tax credits and a capital campaign, the amount of tax-exempt bond issuance is projected at \$11m. Over a 30-year term, the annual cost for the school to service that debt at current market interest rates will be approximately \$850,000. At the school's full-scale enrollment of 462 students, that amount of debt service will account for less than \$1,850 per pupil, or 13.6% of baseline general education revenue at the 2011-12 rate. Further, as New York state school spending – and the charter school per-pupil aid amount – rises, the share of Great Oaks' budget devoted to facilities will decline.

The work to secure and renovate the school's permanent home is being led by the Great Oaks Foundation. We hope that the site on Governors Island will be leased following an RFP that Great Oaks will file upon school approval. Financing and construction will proceed during the pre-opening and first year of the school's operation, while assuming the second year as a cushion for delays in construction.

Great Oaks intends to move into its permanent location, either on Governors Island or elsewhere, no later than the summer of 2015.

As part of replicating the MATCH model of integrated tutoring, Great Oaks will also provide our tutors with housing for the duration of their service. The tutors will be housed in private apartments, four Corps members per two-bedroom apartment. The easy and rapid accessibility of Lower Manhattan by mass transit means that we will have the opportunity to house the Corps almost anywhere in the city. We have budgeted \$5,000 per tutor per year in facilities costs for their housing.

## **G. Insurance**

In accordance with Education Law § 2851(2)(o) and in the absence of regulations set forth by the Commissioners of Insurance and Education, Great Oaks Charter School will procure and maintain property and casualty insurance coverage as follows:

<b>Coverage</b>	<b>Limits</b>	<b>Includes</b>
<b>Commercial General Liability</b>	\$1,000,000 per occurrence, \$2,000,000 in the aggregate	Business Personal Property, Bodily Injury, Employee Benefits, Sexual Misconduct,
<b>Educator Legal Liability</b>	\$1,000,000 per occurrence and \$1,000,000 in the aggregate	Directors and Officers liability and Employment Practices liability
<b>Student Accident Liability</b>	\$25,000 and catastrophic up to \$5,000,000	
<b>Excess Liability Umbrella</b>	\$20,000,000	sits on top of Employer's Liability, General Liability, Automobile, Employee Benefits, Sexual Misconduct, Educators Legal
<b>Commercial Crime</b>	\$1,000,000 per occurrence	Employee Dishonesty, Theft, Computer Fraud
<b>Worker's compensation</b>	Statutory	

The name insured will be Great Oaks Charter School. The school's landlord and any sub landlord, as well as the Great Oaks Foundation will be named as additional insured. Other parties, such as contractors or vendors, may be named as additional insured as needed.

Great Oaks will arrange with an insurance broker, such as EBNY or the Ten Eyck group, during the pre-operational year to obtain multiple quotes for the above coverage and select the most reasonable. Prior to its first Board meeting, Great Oaks will obtain Directors and Officers coverage for our Board of Trustees.

## **H. Health, Food and Transportation Services**

### Health Services

Pursuant to Education Law 91, which requires school districts to provide to nonpublic schools the same health and welfare services available to pupils who attend the public schools of the district, Great Oaks Charter School will request in writing each spring before each new school year these health and welfare services from the New York City Department of Education. Pursuant to Section 901-914 of the Education Law and Commissioner's Regulation 136.2(d)(2) which specifies the minimal school health services that a school district must provide, the district will provide Great Oaks, at a minimum, the following services:

- student physical examinations upon entrance to school, grades and at any other time deemed necessary by school authorities in the educational interests of the student;
- annual vision screening test for all students, including all new admits within six months of enrollment;

- annual hearing test for all students and at any other time deemed necessary by school authorities in the educational interests of the student;
- dental inspections/screenings
- annual scoliosis (spinal) screening test for all students;
- maintenance of cumulative health records;
- written notification to parents of any health problems found;
- emergency care of ill or injured students; and
- compliance with and enforcement of mandatory immunization requirements, which can be waived in compliance with §2164 of Public Health Law

Parents may waive immunization in accordance with Public Health Law and exceptions to immunizations shall be granted if a licensed physician or nurse practitioner certifies such immunization may be detrimental to the student's health, or if the student's parent or guardian holds genuine and sincere beliefs, which may include religious beliefs, contrary to such immunization [see § 2164 (8) and (9) of the Public Health Law].

Great Oaks will also be in compliance with Education Law Section 917, which requires all districts to become public access defibrillation providers.

Great Oaks will also provide proper space and materials for the delivery of these services, such as a designated room, furniture, files, scale, table and a sink. It is assumed that the school district will provide the consumable supplies (for example: band aids, tongue blades, thermometers, pupil health records, related forms, and audiometers and mechanical vision testers).

In addition, nursing services will be provided in accordance with the guidelines posted by the State Education Department School Health Services website as well as the Statewide School Health Services Center.

The Board will ensure that these health services will be provided. The school anticipates having nursing services at the school part-time in years 1 and 2 and full-time in subsequent years.

For students who require medication, the district-provided nurse will dispense all medication. In the absence of a nurse, the Executive Director or Director of Operations will dispense the medication and will be trained by the nurse on the specifics of dispensing such medication for each child that requires it. Written permission will be obtained from the parent that such personnel can dispense the medication in accordance with the physician's explicit directions.

The school will establish a system of two separate locks to secure medications (i.e. a locked cabinet within a room with a door that locks). Medication storage units will be secured to the wall or floor, and will not have breakable glass doors. Students will not be given

unsupervised access to controlled substances in the school. A daily medication log will be kept. If a medication is changed or discontinued, or there is medication left at the end of the school year, the medication will be returned to the parent/guardian or properly disposed of as follows: (1) Disposal of medication by flushing in presence of witness; or (2) Parent/guardian picking up medication from health office.

Great Oaks Charter School's administrative team will work in conjunction with the school's nurse to ensure that the proper medical and immunization information has been collected from each student. The student files will be kept in a locking file cabinet.

### Food Service

Great Oaks Charter School anticipates contracting with the New York City Department of Education's Office of School Food to provide daily breakfast and lunch to our students. The school will purchase the equipment requirement to prepared foods warm and milk cold. All meals served will be in accordance with USDA nutritional requirements for a healthy school lunch.

Great Oaks will participate in the National School Lunch Program in order to provide free or reduced-price breakfasts and lunches to our students who qualify based on family income. Students will be permitted to bring lunch from home, though Great Oaks will not permit students to drink sugary or caffeinated sodas at lunch time.

### Transportation

Great Oaks Charter School students will receive transportation services for which they are eligible under Education Law § 3635. The school's leadership will work with the New York City Department of Education to obtain the same transportation arrangements for its children that the district provides to all other children of nonpublic school students. If a student is not eligible for such transportation, due to proximity from the school site, the parent will be responsible for providing transportation. The parents will notify the district of request for transportation prior to the April 1<sup>st</sup> deadline.

In New York City, public school students' eligibility for yellow-bus transportation is determined by proximity from the school site. Currently, eligibility for middle school students is prescribed by the NCYDOE according to the table below:

<b>Grade Level</b>	<b>Less than ½ Mile from School</b>	<b>½ to 1 Mile from School</b>	<b>1 mile to 1.5 Miles from School</b>	<b>1.5 Miles or Greater from School</b>
6 <sup>th</sup> grade	Transportation Not Provided	Half-Fare Metrocard	Full-Fare Metrocard or Yellow-Bus	Full-Fare Metrocard or Yellow-Bus
7 <sup>th</sup> & 8 <sup>th</sup> grade			Half-Fare Metrocard	

The New York City Department of Education is not obligated to provide yellow-bus service in the event that a school is very small or that a student does not reside in an area that can justify a bus route. In such cases, students will receive a free Metrocard good for a round-trip to and from school each day. Students who live closer to school, as in the above table, may receive a half-fare Metrocard to support low-income families in attending schools outside of their immediate neighborhoods.

Great Oaks Charter School will coordinate with the NYCDOE Office of Pupil Transportation to request the maximum 180 days of transportation services for our students. OPT, an office of the NYCDOE, has some days when the DOE is closed and no bus service is available and other days when DOE is closed but alternate day bus service is available (for example, for some schools that choose to close or open on certain religious holidays). Variations in Great Oaks' calendar (that differ from the DOE calendar) are accommodated through this alternate day bus service option.

## **I. Family and Community Involvement**

Great Oaks Charter School is heavily influenced in its design and application by the MATCH school, a high-performing charter school in Boston. At the MATCH school, parents consistently rank their satisfaction with the school as 9 out of 10 or greater in the areas of parent communication, educational program and responsiveness to student needs.

We will emulate the success MATCH has had with parent satisfaction by combining very high expectations for students with supportive relationships. Parents will understand that they are a key player on the team working toward their child's success.

To paraphrase Charlie Sposato, the late Principal of the MATCH School – *“Families won't care what you know until they know you care.”* We will ensure parents know we care by creating opportunities for parents to contribute substantially to the direction of the school. The school will ensure that parents are aware of all board meetings and parents will be encouraged to attend, make suggestions and ask questions of board members and school leadership.

In order to encourage a two-way flow of information between the school and its families, a parent advisory committee will be formed early in the first year. Comprised of volunteer parents, the committee will be responsible for creating dialogue among school staff, trustees and families so that parent concerns are resolved before they become more serious problems.

Once the school is operational, parents will be highly engaged in the academic progress of their students. Weekly status reports, phone calls home, regular parent-teacher conferences and community events like parent potlucks will develop the home-school relationship, engage parents as partners and better position our students for college success.

Great Oaks Charter School will ensure that parents are kept informed of their student's academic and behavioral progress. On a weekly basis, parents will receive a student's Paycheck for the week (further described in the following section) which will indicate attendance, academic performance and any demerits received during the week.

Great Oaks will adopt a "no surprises" approach to parent engagement in order to make the inevitably difficult discussions around the decision to require a student to repeat a grade or to less of a shock and more productive for the student. For students who are having academic or behavioral problems at school, teachers will call home to inform parents and engage them in problem-solving. Additionally, parents will receive a detailed report card twice each trimester with specific data about their student's progress and recommendations for how they can help their student.

The founders will spend the interim period between submission of the application and the beginning of school operations developing parent support in Community School District 2 by continuing to reach out to community groups, education reform organizations and city officials.

## **J. Financial Management**

The Founding Board of Great Oaks Charter School is committed to providing high-integrity stewardship of the public funds with which it is entrusted by the Board of Regents as a public charter school.

At the conclusion of each fiscal year, Great Oaks will undergo a fiscal audit by a Certified Public Accountant with experience conducting charter school audits. The Board will select the auditor by soliciting bids and make its decision on the basis of experience, references and cost.

The results of the fiscal audit will be submitted to the Board of Regents and made available through the school's website. The scope of audits will include verifying the school's year-end fiscal condition, checking the rigor of the school's internal controls and identifying areas where the school may be exposed to concerns of impropriety.

In order to ensure that the school is managing its resources in a way that is consistent with the law and Generally Accepted Accounting Practices, Great Oaks will retain the services of a Certified Public Accountant or accounting firm to provide bookkeeping services one day per week. The accountant will train the Directors of Operations in how to log invoices and transactions and will input all financial activity into Quickbooks accounting software each week.

The Executive Director, working with the part-time accountant, will be responsible for developing fiscal controls policies, training the relevant staff in the school's fiscal policies and evaluating and revising those policies annually, on the basis of staff and auditor feedback. The Board will annually adopt a fiscal controls manual as a part of the staff handbook.

## **K. Budget and Cash Flow**

When designing our annual budgets, Great Oaks prioritizes our mission of preparing our students to succeed in college through a program of high expectations, caring relationships and individual attention. We will make fiscal decisions that protect our ability to replicate the successful methods of the MATCH School and other high-performing charter schools.

For our proposal budgets, we have opted to make conservative revenue assumptions and realistically projected necessary expenses to ensure that our budget is robust enough to handle unexpected changes in revenue or emergent needs for new spending.

During the initial charter term, we have assumed no increase in the per-pupil revenue amount and have assumed no fundraising whatsoever. The Board and the Great Oaks Foundation are committed to pursuing opportunities to generate philanthropic funding to support school operations, but we believe it is critical that a public school be sustainable on the public revenue available to it.

For the pre-opening period and initial charter term, we have assumed the baseline federal Charter Schools Program grant of \$500,000 distributed between the pre-opening year and the first two years of school operation. We fully expect to meet one or more of the enrollment targets for students with disabilities, English language learners and students eligible for free or reduced-price lunch in our first year of operation, thereby qualifying for an additional \$125,000. In order to create a conservative revenue estimate for the purposes of this charter application, however, we have not presumed that any CSP funding over the baseline of \$500,000.

For expenditures, our first priority is to allocate sufficient resources to replicate the pillars of the MATCH model at Great Oaks – an integrated Tutor Corps, top-notch school leadership and a core group of high-quality teachers. Our enrollment at launch is small, and so the first year budget is focused on only those expenses which are necessary to launch a high-quality academic and operational environment. Once the school is operational and reaches an enrollment that can support greater school-wide fixed costs, we have budgeted a second wave of spending on technology, additional staff, and student enrichment activities.

The school has committed to placing, at a minimum, the required amount of \$75,000 in reserve for dissolution or emergency purposes in the first charter term, in the event that the school has unexpected revenue shortfalls. Similarly, we have projected a surplus at the conclusion of the school's third year to support costs associated with launching the high school in the fourth year.

By the conclusion of the initial charter term, we are projecting that the school will be running consistently cash flow-positive each year, including paying for a long-term facility. Throughout the initial charter term, total personnel costs will range from 55% to 60% of total expenditures, contracted services and operations costs will decline from 16.7% of budget in Year

1 to just over 14% of expenditures by Year 5 (and continue declining as the school reaches scale) and facilities costs (including utilities, janitorial, security and insurance) will hold steadily at 25% of expenses.

### L. Pre-Opening Plan

<b>Task</b>	<b>Start Date</b>	<b>Completion Date</b>	<b>Responsible Party</b>
Distribute job descriptions and solicit resumes for teachers, leadership, support staff	3/15/2012	5/15/2012	Executive Director/Director of Curriculum and Instruction
Conduct phone and in-person interviews	3/15/2012	5/15/2012	E.D./D.C.I.
Hold first board meeting and ratify bylaws	10/1/2012	10/1/2012	Board of Trustees
Execute Curriculum Implementation Plan	11/1/2012	8/1/2013	E.D./D.C.I.
Write the Student Application for Admission and submit for review to Board of Regents	12/1/2012	12/31/2012	Board of Trustees
Execute Executive Director Search Plan	12/1/2012	1/31/2013	Board of Trustees
Select and approve school facility	12/15/2012	3/16/2013	Board of Trustees
Create student recruitment plan and materials, contract with Vanguard for direct mailing services	1/1/2013	2/1/2013	Executive Director
Execute Director of Curriculum and Instruction Search Plan	1/1/2013	3/31/2013	E.D./D.C.I.
Recruit students from across CSD 24	2/1/2013	4/16/2013	E.D./D.C.I.
Distribute the code of ethics from the Charter Application to school trustees, officers and employees	2/1/2013	3/2/2013	E.D.
Develop the school's fiscal policies and procedures and AS/SB draft Initial Statement	2/14/2013	3/16/2013	E.D.
Obtain federal tax exempt status	3/2/2013	5/1/2013	E.D.
Establish a payroll system	3/2/2013	5/1/2013	E.D.
Secure an independent accountant to review Initial Statement within 45 days of hiring an employee or disbursing \$50k	3/16/2013	4/30/2013	E.D.
Finalize lease negotiations and execute building lease	3/17/2013	5/2/2013	Board of Trustees

<b>Task</b>	<b>Start Date</b>	<b>Completion Date</b>	<b>Responsible Party</b>
Write, print and distribute the student handbook, including disciplinary policies, school calendar and schedule, uniform policies and other key information	4/16/2013	7/2/2013	E.D./D.C.I.
Establish a billing system for school districts	4/16/2013	6/2/2013	Operations Director
Salary negotiations and offer letters finalized	4/17/2013	6/1/2013	E.D./D.C.I.
Conduct the lottery	4/17/2013	4/17/2013	E.D./D.C.I.
Notify parents and guardians of the results of the lottery	4/18/2013	4/28/2013	E.D./D.C.I.
Report and correct any deficiencies with regard to financial controls within 45 days of receipt of Independent Accountant's Report	4/30/2013	6/14/2013	E.D.
Obtain a Certificate of Occupancy and any other required permits, and submit them to the Board of Regents	5/1/2013	7/1/2013	E.D.
Obtain Certificates of Insurance	5/1/2013	7/1/2013	E.D.
Secure all students IEPs and academic records	5/15/2013	8/1/2013	D.C.I.
Contract with Related Service Providers	5/15/2013	6/1/2013	D.C.I.
Request student records from students' former districts	5/15/2013	7/1/2013	E.D./D.C.I.
Prepare school calendar and distribute to families	6/1/2013	7/1/2013	D.C.I.
Purchase classroom furniture, instructional supplies, textbooks, technology	6/15/2013	8/1/2013	E.D./D.C.I.
Recruit and hire school nurse	6/15/2013	8/1/2013	E.D.
All fingerprints and background checks for staff completed	7/1/2013	12/30/1900	E.D.
Prepare class schedules and distribute to teachers	7/1/2013	8/1/2013	D.C.I.
Finalize school food contracts	7/1/2013	8/1/2013	E.D.
Finalize transportation arrangements with NYC DOE Office of Pupil Transportation and arrange for any supplemental transportation vendors	7/1/2013	8/1/2013	Director of Operations
Revise and enhance the school's FOIL policy to make it a working policy, including drafting of FOIL regulations, required lists and notice, and post notice	7/1/2013	7/15/2013	E.D.
Create life safety procedures and train teachers accordingly	7/1/2013	8/15/2013	Director of Operations
Create a draft SAVE plan and submit it to NYSED	7/1/2013	8/15/2013	Director of Operations

<b>Task</b>	<b>Start Date</b>	<b>Completion Date</b>	<b>Responsible Party</b>
Write a plan and procedures to control access to the building	7/1/2013	8/15/2013	E.D.
Hire necessary security personnel, if needed	7/1/2013	8/15/2013	E.D.
Verify immunization status of all incoming students	7/15/2013	8/15/2013	Director of Operations
Set up separate locked storage for students' academic and health records	7/15/2013	8/1/2013	E.D.
Write the school's FERPA policy and give annual notice to families regarding the school's FERPA policy	7/15/2013	8/1/2013	E.D.
Create building signage for exits, traffic flow	7/15/2013	8/15/2013	Director of Operations
Purchase defibrillators and train staff	8/1/2013	9/1/2013	E.D.
Set up student files with proper FERPA protections and procedures	8/1/2013	9/1/2013	Director of Operations
Purchase required food/beverage storage equipment, in accordance with school food vendor requirements	8/1/2013	8/1/2013	Director of Operations
Set up a process for the distribution and collection of forms for free and reduced priced lunch, and for collection of lunch funds, including internal controls	8/1/2013	8/1/2013	Director of Operations
Develop a medications administration plan	8/1/2013	8/15/2013	E.D.
Develop health services plan	8/1/2013	8/15/2013	E.D.

## **M. Dissolution Plan**

In accordance with Section 2851(2)(t) of the charter law, the school will maintain no less than \$75,000 in an escrow account to defray the costs of a potential dissolution. The balance of the escrow account will be no less than \$25,000 by April 1 of Year 1 of the school's operation. By April 1 of Year 3, the balance will be no less than \$75,000.

In the event that Great Oaks Charter School is forced to cease operations, it will take the following steps to mitigate hardship on our families or our staff.

### *1. Meet with Families and Staff*

As soon as possible after the authorizer provides a final notification to the school that it will be closed, the school's board of trustees and leadership will establish an *ad hoc* School Board Committee for wind-up / restructuring and plan public meetings with families and community members. The school will notify parents and guardians of the meetings in writing, via a letter sent home with students, and by telephone. In the meetings and in all written communications, the board and school leadership will explain that the decision to close the

school is final, the last day of instruction, cancellation of any summer school, enrollment in local district schools is mandatory, final report cards, and will explain to parents and guardians what the educational options are for their children for the summer and for the following school year. The school will also explain to parents and guardians how their children's records will be transferred to their new school. The school will invite representatives from the New York City Department of Education and representatives from nearby schools of choice to attend the meetings and answer questions from parents.

At the same time, the Executive Director will hold separate meetings with school staff and any unions to notify them of the dissolution and the timetable for closing operations. The school director will distribute talking points to staff and a "frequently asked questions" document. The content of this document will be similar to materials the school will distribute at the public meeting, and will include information on what staff, parents, and students can expect in the coming weeks and months.

## *2. Transfer of Records*

In the event that the school is closed, the board will comply with all procedures set forth in Section 2851(2)(t) of the New York State Charter Schools Act. The board and school leadership will maintain communications with the Board of Regents and continue to use the school facility or relocate to a location with telephone and voicemail service and maintain custody of business records until the wind-up is complete. Accordingly, arrangements will be made for the hand-delivery of student records (including IEPs, health records, and attendance records) to the students' districts of residence. Parents and guardians will be notified where they may access their children's records. The school will notify the students' school districts of residence regarding the termination of the school's charter and the lack of future enrollment of the charter school students.

## *3. Disposition of Assets*

After an inventory of the school's assets is conducted, disposition of such assets will be made, preferably to another charter school in CSD 2. If that is impossible, assets will be surrendered to the NYC DOE. Disposition of the school's assets shall be made at fair market value, and proceeds shall be used to retire any outstanding debts. In the event that proceeds from asset sales exceed the school's outstanding obligations, the proceeds will be donated to another charter school in the area. The Executive Director will notify in writing all vendors, funding sources and charitable partners that the school is in the process closing and the closure date, inform them when vendor property should be retrieved from the school, and cancel any services. The school will maintain insurance on all assets, seek a final audit, submit its annual report, closeout state and federal grants, and file any necessary Internal Revenue Service documents.



# Student Recruitment and Admissions Policies

## ***Student Recruitment***

Great Oaks Charter School will be open to all students on a space available basis, with a preference given to residents of Community School District 2. We will enroll a new class of 6th graders each year and will waitlist for other grades as needed. If the number of applications exceeds the number of available seats, a random lottery will be held.

We will recruit students from across the district in order to enroll a broad cross-section of CSD 2's school-age population. We will focus our recruiting activities by visiting after-school programs, working through local Community-Based Organizations and distributing materials at shopping outlets, community centers and other places where parents gather. We will also hold optional information session(s) or open house(s) for interested parents. Our recruiting efforts will clearly communicate that students of all needs, backgrounds and abilities are equally eligible to attend our school.

## ***Recruitment and Application Timelines***

The school will collect applications for new students beginning in January of the preceding school year. The deadline for new student applications each year will be no earlier than April 1<sup>st</sup> and no later than April 15<sup>th</sup>. On the first Saturday after the application deadline, Great Oaks will hold a public lottery to select students for the coming year.

## ***Student Applications***

All students who submit a complete application during the recruitment and application period will be eligible to attend Great Oaks Charter School. Applications will be clearly written and will be available in multiple languages. Applications may be submitted online, by mail or dropped off in-person at our school. We will not impose any additional requirements for eligibility, such as mandatory information sessions.

## ***Lottery***

If more applications are submitted for a grade than there are available seats, a random lottery will be conducted. The random lottery will be overseen by an objective third party, conducted in public and will follow the guidance for lotteries issued by the federal government under the Charter Schools Program. Specifically, each complete district-resident application received during the application period will be given an applicant number. We will then use a computer program to organize the applicant numbers and draw them in a random order and will enroll each applicant drawn until all vacant seats are filled.

## ***Waitlist Process***

In the event that there are more applicants than available seats during any recruitment and application period, those applicants not selected in the random lottery process will be placed on a waiting list in the order that their applicant number is drawn. The waiting list will be in effect for one year only.

All applicant families will be aware at the time of application and notified in writing after the lottery that the waiting list will only be in place for the upcoming school year and that they will have to resubmit an application in the next year's enrollment period if they wish to be considered for the following school year.

If a student withdraws from Great Oaks Charter School midyear, we will call the first name on the in-district waiting list up to 3 times at each contact number given on the application to inquire if the family still wishes to enroll at Great Oaks Charter School. If the family is not interested or we are unable to contact them after a good-faith effort, we will move onto the next name on the waiting list and proceed in the same fashion until we are able to fill the vacant seats.

### ***Sibling Priority***

Great Oaks Charter School will give preference in enrollment for siblings of current students. We will define siblings as children with at least one shared parent or guardian.

The enrollment preference will be implemented by placing all sibling applicants in a separate pool and drawing as many sibling applicants as there are available seats. Afterwards, the remaining seats will be available for non-sibling applicants.

Families submitting applications for more than one child will also receive preference in the lottery. If an applicant drawn in the lottery has a sibling who is also an applicant in that lottery, that sibling will receive the place on the list directly below that of the applicant whose name was drawn. If a sibling applicant is not in the same grade, that applicant will receive priority in the grade he/she applied for. Siblings are defined in the same way as above.

### ***Non-Resident Enrollment***

We will create a separate pool of applicants for non-CSD 2 resident applications. If there are fewer district-resident applications than available seats, we will enroll all district-resident applicants. If there are fewer remaining seats than non-resident applicants, we will then conduct a random lottery among the non-resident applicants for the remaining seats. The non-resident applicants not selected in the lottery will be placed on a waiting list in the order their applicant numbers were drawn. The non-resident waiting list will have an effective duration of one school year. Parents of non-resident waitlisted students will be notified of their status by mail after the lottery.

## **A New Public Middle & High School Option for Downtown Families**

Great Oaks Charter School is a proposed new public charter middle/high school. If approved, the school would open in Fall of 2013.

Our mission is to prepare all students to **succeed in college**. We will accomplish our mission with high expectations for all students and lots of individual attention. Great Oaks will be open to all students, but families from CSD 2 will be given preference in our lottery.

You are invited to an information session on the morning of Saturday, January 7 in Battery Park City (exact location to be determined) to learn more about the Great Oaks Charter School.

To RSVP, please e-mail Kate Hayes at [kate1ellen@comcast.net](mailto:kate1ellen@comcast.net)

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To RSVP, please e-mail Kate Hayes at [kate1ellen@comcast.net](mailto:kate1ellen@comcast.net)



Benjamin Carson &lt;bcarson@greatoakscharter.org&gt;

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## Meeting Jan 7th (tmrw) @ 9am Whole Foods TriBeCa

1 message

Hayes, Kate [OCDUS] &lt;KHayes7@its.jnj.com&gt;

Fri, Jan 6, 2012 at 4:41 PM

To: kate1ellen@comcast.net

### REMINDER

Happy New Year! Thank you for your interest in the proposed Great Oaks Charter School. If you are receiving this email, you have contacted me with interest in attending an information/feedback session, which is scheduled for Saturday January 7<sup>th</sup>, 2012. The meeting should last no longer than 30 – 45 minutes and details are below.

**Please send me a reply to let me know if you plan to attend.** You may also feel free to pass along this email to others who you think may be interested in attending. We look forward to seeing you this coming Saturday!

Meeting Location: Upstairs in communal table area at Whole Foods TriBeCa

Meeting Date: Saturday January 7<sup>th</sup>

Meeting Time: 9:00am

Purpose: General information session about proposed Great Oaks Charter Middle School, serving School District 2

We will be giving some general information about the proposed school, location and mission. We would also like to use this as an opportunity to gain your feedback and insights. We look forward to seeing you this week and appreciate your participation!

Warm Regards,

Kate

**Kate E. Hayes**

Great Oaks Charter School Planning Committee Member

Cell: [917-862-4601](tel:917-862-4601)

Email: [kate1ellen@comcast.net](mailto:kate1ellen@comcast.net) OR [khayes7@its.jnj.com](mailto:khayes7@its.jnj.com)

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## Great Oaks Charter School: Fact Sheet

### Quick Facts

- Year Opening: 2013-14
- Enrollment at Launch: 66 students in 6<sup>th</sup> Grade
- Enrollment at Full-Scale: 450 students in Grades 6-12
- Location: Lower Manhattan, Community School District 2
- Mission: College Success
- Admissions: Open Public Lottery

### What makes Great Oaks different?

1. High expectations for all students: Our mission is to prepare our students to **succeed in college**.
2. Individual attention: All of our students receive high doses of daily tutoring (2 hours/day for every student, every day) to build confidence, enhance school culture and boost academics.
3. Focus on relationships: Our small school size (just 66 students per grade level) creates an environment where every student feels safe and cared about.

### Why Community School District 2?

1. Overcrowding:
  - a. *“Lower Manhattan has added more people over the past 10 years than Atlanta, Dallas, and Philadelphia combined...There are now more people living in Lower Manhattan than at any time since 1920.”* – Mayor Michael Bloomberg
  - b. At full scale, Great Oaks will create 450+ new public school seats downtown – in private space, without public capital dollars.
2. Uneven performance
  - a. Black and Hispanic Students are roughly half as likely to be on grade level in the 8<sup>th</sup> grade as their White and Asian neighbors and about one-fifth as likely to meet the New York State definition of college-readiness.
  - b. Our focus on individual attention will support the academic progress of students who may enter the school far behind or ahead of their grade level.

### Where will the school be located?

Great Oaks hopes to occupy a renovated building on Governors Island. Students would take a short, supervised ferry ride from the Maritime Ferry Terminal building each morning and walk 10 minutes on the island from the terminal to the school. The NYC Harbor School is an example of a public school successfully operating on Governors Island.

Whether we are ultimately housed on Governors Island or in another private facility, Great Oaks will not pursue the extremely scarce public school space downtown, nor do we view public space as a viable option for Great Oaks. We want to be part of the *solution* to downtown overcrowding, not exacerbate it.



December 21, 2011

Christine C. Quinn, Speaker  
New York City Council  
250 Broadway, Suite 1856  
New York, NY 10007

Dear Speaker Quinn,

I am writing to follow up on a conversation I recently had with Yareni and Melanie in your district office with a more formal letter of introduction. I am the lead applicant of a proposed new charter school in Lower Manhattan, the Great Oaks Charter School. My teammates and I are drafting our school application and would appreciate any assistance you can provide in engaging parents who would benefit from a new public school option.

Great Oaks is planned as a middle/high school, serving grades 6-12. We plan to locate the school on Governors Island, which is zoned within District 2. The residential boom downtown has created an increasingly acute shortage of public school seats. Rather than further squeeze public space through the co-location process, Great Oaks will increase capacity downtown by more than 450 new public school seats when we open in 2013.

The mission of our schools, the first of which opened this year in Newark, is to prepare students for college success. We try to do that by pairing high academic and behavioral expectations with lots of individual attention. At Great Oaks, that takes the form of high doses of daily tutoring – 2 hours per day for every student.

My teammates and I would appreciate the opportunity to meet with you or a member of your staff as we are preparing this application to discuss your perspective on the community's needs and to seek your support as we move forward with the exciting project of launching a new school option for your constituents. Please feel free to contact me if you have any questions or wish to follow up. My phone number is 501-258-7831 and my e-mail address is [bcarson@greatoakscharter.org](mailto:bcarson@greatoakscharter.org).

Sincerely,

A handwritten signature in cursive script that reads "B Carson".

Benjamin B. Carson



December 21, 2011

Senator Daniel L. Squadron  
188 State Street Room 515  
Legislative Office Building  
Albany, NY 12247

Dear Senator Squadron,

I am writing to follow up on a conversation I recently had with Jordan Levine from your staff with a more formal letter of introduction. I am the lead applicant of a proposed new charter school in Lower Manhattan, the Great Oaks Charter School. My teammates and I are drafting our school application and would appreciate any assistance you can provide in engaging parents who would benefit from a new public school option.

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Sincerely,

A handwritten signature in black ink, appearing to read "B Carson". The signature is fluid and cursive.

Benjamin B. Carson



December 21, 2011

Scott Stringer, Manhattan Borough President  
1 Centre Street  
19<sup>th</sup> Floor  
New York, NY 10007

Dear Borough President Stringer,

I am writing to follow up on a conversation I recently had with Erin McGill from your staff with a more formal letter of introduction. I am the lead applicant of a proposed new charter school in Lower Manhattan, the Great Oaks Charter School. My teammates and I are drafting our school application and would appreciate any assistance you can provide in engaging parents who would benefit from a new public school option.

Great Oaks is planned as a middle/high school, serving grades 6-12. We plan to locate the school on Governors Island, which is zoned within District 2. The residential boom downtown has created an increasingly acute shortage of public school seats. Rather than further squeeze public space through the co-location process, Great Oaks will increase capacity downtown by more than 450 new public school seats when we open in 2013.

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Sincerely,

A handwritten signature in black ink that reads "B Carson".

Benjamin B. Carson



NEIGHBORHOODS TOPICS | SWEEPSTAKES DEALS WELLNESS NYC KIDS

## DOWNTOWN

See more: [Ben Carson](#), [Paul Hovitz](#), [District 2](#), [Governors Island](#), [Great Oaks Charter School](#), [New York Harbor School](#), [Newark](#), [charter school](#), [Community Board 1](#), [Trust for Governors Island](#)

[See next article in Dow](#)

# Governors Island Could Get Newark-Based Charter School

February 16, 2012 8:30am | By Julie Shapiro, DNAinfo Reporter/Producer

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A rendering of the future designs for Governors Island, now under construction. (West 8)

GOVERNORS ISLAND — A charter school from Newark wants to open a new campus on [Governors Island](#).

The [Great Oaks Charter School](#), which launched in Newark last fall, hopes to open a middle and high school on Governors Island starting in the fall of 2013, lead applicant Ben Carson told DNAinfo Wednesday.

"It's a great place to have a school," Carson said of Governors Island. "It's almost like a college campus. It's a transformative place for kids."

The proposal is still in the preliminary stages, as the school still has to receive its charter from New York State and then would have to apply for space on Governors Island through a competitive public bidding process, according to Carson and the Trust for Governors Island.

If all the necessary approvals come through, Great Oaks Charter School would start with 66 sixth-graders and would ultimately grow to 462 students from sixth through 12th grade, Carson said.

The school's educational philosophy is based on the high-achieving MATCH School in Boston and focuses on preparing children to succeed in college. All students at Great Oaks Charter School receive two hours of individual or small-group tutoring every day.

"We're really focused on not just getting kids into college but also out of college," Carson said.

To give students the focused attention they need, Great Oaks Charter School will hire dozens of tutoring fellows, recent college graduates who receive housing and stipends for a year of service, Carson said.

The New York outpost of Great Oaks Charter School would be part of District 2, which stretches from Lower Manhattan to the Upper East Side. Students would enter in sixth grade and stay through high school, Carson said.

Governors Island already has one public school: The [New York Harbor School](#), a maritime-focused high school that [opened in 2010](#).

Carson presented his plans to Community Board 1's Youth and Education Committee Tuesday night in the hopes of receiving a letter of support, but the committee decided not to write one.

The Youth Committee objected to the recent proliferation of charter schools in New York City, based on concerns



Great Oaks Charter School - Attachment 2  
about resources being taken away from public school students. They do not want to support another new charter at this time, said Paul Hovitz, co-chairman of the committee.

Carson said he looked forward to continuing to work with the community.

Proposed trustees for New York's Great Oaks Charter School include Alia Smith, a Columbia Business School student who previously worked at MATCH; Joseph McDonald, professor at New York University's Steinhardt School of Culture, Education and Human Development; and Michael Duffy, who is chairman of the board of Newark's Great Oaks Charter School and previously led the Department of Education's Charter Schools Office.

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Middle School

Sample Weekly Student Schedule

Sample 6th Grade Weekly Student Schedule (representative of Middle School program)						
Time	Period	Monday	Tuesday	Wednesday	Thursday	Friday
7:30 - 8:10	B	Breakfast/Silent Sustained Reading - Homeroom				
8:15 - 9:13	1	Writing	Writing	Writing	Writing	All-School Assembly
9:15 - 10:13	2	Social Studies	P.E./Health	Social Studies	P.E./Health	Science/Math*
10:15 - 11:13	3	ELA Tutorial	ELA Tutorial	ELA Tutorial	ELA Tutorial	Social Studies/Reading*
11:15 - 11:50	4	Lunch				
11:55 - 12:53	5	Math	Math	Math	Math	Enrichment
12:55 - 1:53	6	Science	Science	Science	Science	Dismissal - Homeroom (1pm)
1:55 - 2:53	7	Reading	Reading	Reading	Reading	Students Dismissed Early for Staff PD
2:55 - 3:53	8	Math Tutorial	Math Tutorial	Math Tutorial	Math Tutorial	
3:55 - 4:45	E	Enrichment/Snack				
4:45	D	Dismissal - Homeroom				
* On Fridays, Each Cohort's 1st and 2nd Period Classes Rotate Among Core Subjects Weekly						

Student Schedule Summary

Subject	Average Weekly Instructional Minutes (Including Tutorial)*
ELA	725
Math	493
Science	261
Social Studies	145
P.E./Health	116
Enrichment	290
* On Fridays, Each Cohort's 1st and 2nd Period Classes Rotate Among Core Subjects Weekly	

Sample Weekly Teacher Schedule

Sample Weekly Middle School Math Teacher Schedule						
Time	Period	Monday	Tuesday	Wednesday	Thursday	Friday
7:30 - 8:10	B	Supervise Breakfast/Silent Sustained Reading - Homeroom				
8:15 - 9:13	1	6th Grade Math	6th Grade Math	6th Grade Math	6th Grade Math	All-School Assembly
9:15 - 10:13	2	7th Grade Math	7th Grade Math	7th Grade Math	7th Grade Math	Prep/ 6th Grade Math*
10:15 - 11:13	3	Prep/ 6th Grade Math Tutorial Supervision	Prep/ 6th Grade Math Tutorial Supervision	Prep/ 6th Grade Math Tutorial Supervision	Prep/ 6th Grade Math Tutorial Supervision	Prep/7th Grade Math*
11:15 - 11:50	4	Lunch				
11:55 - 12:53	5	7th Grade Math	7th Grade Math	7th Grade Math	7th Grade Math	Prep
12:55 - 1:53	6	Prep	Prep	Prep	Prep	Dismissal - Homeroom (1pm)
1:55 - 2:53	7	6th Grade Math	6th Grade Math	6th Grade Math	6th Grade Math	Students Dismissed Early for Staff PD
2:55 - 3:53	8	Prep/7th Grade Math Tutorial Supervision	Prep/7th Grade Math Tutorial Supervision	Prep/7th Grade Math Tutorial Supervision	Prep/7th Grade Math Tutorial Supervision	
3:55 - 4:45	E	Prep				
4:45	D	Supervise Dismissal - Homeroom				

High School

Sample 9th Grade Weekly Student Schedule (representative of High School program)

Time	Period	Monday	Tuesday	Wednesday	Thursday	Friday
7:30 - 8:10	B	Breakfast/Silent Sustained Reading - Homeroom				
8:15 - 9:13	1	Fiction	Fiction	Fiction	Fiction	All-School Assembly
9:15 - 10:13	2	ELA Tutorial	ELA Tutorial	ELA Tutorial	ELA Tutorial	Physics/Fiction*
10:15 - 11:13	3	Algebra 1	Algebra 1	Algebra 1	Algebra 1	Social Studies/Algebra 1*
11:15 - 11:50	4	Lunch				
11:55 - 12:53	5	Physics	Physics	Physics	Physics	Enrichment
12:55 - 1:53	6	Math Tutorial	Math Tutorial	Math Tutorial	Math Tutorial	Dismissal - Homeroom (1pm)
1:55 - 2:53	7	Non Fiction	Non Fiction	Non Fiction	Non Fiction	Students Dismissed Early for Staff PD
2:55 - 3:53	8	P.E./Health	Social Studies	P.E./Health	Social Studies	
3:55 - 4:45	E	Enrichment/Snack				
4:45	D	Dismissal - Homeroom				

\* On Fridays, Each Cohort's 1st and 2nd Period Classes Rotate Among Core Subjects Weekly

## Student Schedule Summary

Subject	Average Weekly Instructional Minutes (Including Tutorial)*
ELA	725
Math	493
Science	261
Social Studies	145
P.E./Health	116
Enrichment	290
* On Fridays, Each Cohort's 1st and 2nd Period Classes Rotate Among Core Subjects Weekly	

Sample Weekly Teacher Schedule

Sample Weekly High School Algebra Teacher Schedule						
Time	Period	Monday	Tuesday	Wednesday	Thursday	Friday
7:30 - 8:10	B	Supervise Breakfast/Silent Sustained Reading - Homeroom				
8:15 - 9:13	1	Prep/Algebra 1 Tutorial Supervision	Prep/Algebra 1 Tutorial Supervision	Prep/Algebra 1 Tutorial Supervision	Prep/Algebra 1 Tutorial Supervision	All-School Assembly
9:15 - 10:13	2	Algebra 2	Algebra 2	Algebra 2	Algebra 2	Prep/Algebra 1*
10:15 - 11:13	3	Algebra 1	Algebra 1	Algebra 1	Algebra 1	Prep/Algebra 2*
11:15 - 11:50	4	Lunch				
11:55 - 12:53	5	Algebra 1	Algebra 1	Algebra 1	Algebra 1	Prep
12:55 - 1:53	6	Prep/Algebra 2 Tutorial Supervision	Prep/Algebra 2 Tutorial Supervision	Prep/Algebra 2 Tutorial Supervision	Prep/Algebra 2 Tutorial Supervision	Dismissal - Homeroom (1pm)
1:55 - 2:53	7	Prep	Prep	Prep	Prep	Students Dismissed Early for Staff PD
2:55 - 3:53	8	Algebra 2	Algebra 2	Algebra 2	Algebra 2	
3:55 - 4:45	E	Prep				
4:45	D	Supervise Dismissal - Homeroom				

Summary

Month	Instructional Days*
August	5
September	20
October	22
November	19
December	16
January	19
February	19
March	21
April	17
May	22
June	20
<b>Total</b>	<b>200</b>
* Students will be dismissed early on Fridays for Staff Development, but the 7:30 to 1pm instructional day is sufficient as a full day under Regents regulations	

Date	Event
Monday, 8/5/2013	First Day for Teachers
Monday, 8/12/2013	First Day for Tutors
Monday, 8/26/2013	First Day for Students
Friday, 8/30/2013	Early Dismissal for Students (Staff Development)
Monday, 9/2/2013	Labor Day (No School)
Friday, 9/6/2013	Early Dismissal for Students (Staff Development)
Friday, 9/13/2013	Early Dismissal for Students (Staff Development)
Friday, 9/20/2013	Early Dismissal for Students (Staff Development)
Friday, 9/27/2013	Early Dismissal for Students (Staff Development)
Friday, 10/4/2013	Early Dismissal for Students (Staff Development)
Friday, 10/11/2013	Early Dismissal for Students (Staff Development)
Monday, 10/14/2013	Columbus Day (No School)
Friday, 10/18/2013	Early Dismissal for Students (Staff Development)
Friday, 10/25/2013	Early Dismissal for Students (Staff Development)
Friday, 11/1/2013	Early Dismissal for Students (Staff Development)
Friday, 11/8/2013	Early Dismissal for Students (Staff Development)
Monday, 11/11/2013	Veterans Day (No School)
Friday, 11/15/2013	Early Dismissal for Students (Staff Development)

## Great Oaks Charter School - Attachment 3b

Friday, 11/22/2013	Early Dismissal for Students (Staff Development)
Tuesday, 11/26/2013	Last Day of Trimester 1
Wednesday, 11/27/2013	Early Dismissal
Thursday, 11/28/2013	Thanksgiving Break (No School)
Friday, 11/29/2013	Thanksgiving Break (No School)
Friday, 12/6/2013	Early Dismissal for Students (Staff Development)
Friday, 12/13/2013	Early Dismissal for Students (Staff Development)
Friday, 12/20/2013	Early Dismissal for Students (Staff Development)
Tuesday, 12/24/2013	Winter Break (No School)
Wednesday, 12/25/2013	Winter Break (No School)
Thursday, 12/26/2013	Winter Break (No School)
Friday, 12/27/2013	Winter Break (No School)
Monday, 12/30/2013	Winter Break (No School)
Tuesday, 12/31/2013	Winter Break (No School)
Wednesday, 1/1/2014	Winter Break (No School)
Thursday, 1/2/2014	Winter Break (No School)
Friday, 1/3/2014	Winter Break (No School)
Friday, 1/10/2014	Early Dismissal for Students (Staff Development)
Friday, 1/17/2014	Early Dismissal for Students (Staff Development)
Monday, 1/20/2014	MLK Day (No School)
Friday, 1/24/2014	Early Dismissal for Students (Staff Development)
Friday, 1/31/2014	Early Dismissal for Students (Staff Development)
Friday, 2/7/2014	Early Dismissal for Students (Staff Development)
Friday, 2/14/2014	Early Dismissal for Students (Staff Development)
Monday, 2/17/2014	Washington's Birthday (No School)
Friday, 2/21/2014	Early Dismissal for Students (Staff Development)
Friday, 2/28/2014	Early Dismissal for Students (Staff Development)
Friday, 3/7/2014	Early Dismissal for Students (Staff Development)
Friday, 3/14/2014	Early Dismissal for Students (Staff Development)
Friday, 3/21/2014	Early Dismissal for Students (Staff Development)/ Last Day of Trimester 2
Friday, 3/28/2014	Early Dismissal for Students (Staff Development)
Friday, 4/4/2014	Early Dismissal for Students (Staff Development)
Monday, 4/7/2014	Spring Recess (No School)
Tuesday, 4/8/2014	Spring Recess (No School)
Wednesday, 4/9/2014	Spring Recess (No School)
Thursday, 4/10/2014	Spring Recess (No School)
Friday, 4/11/2014	Spring Recess (No School)
Friday, 4/18/2014	Early Dismissal for Students (Staff Development)
Friday, 4/25/2014	Early Dismissal for Students (Staff Development)
Friday, 5/2/2014	Early Dismissal for Students (Staff Development)

Great Oaks Charter School - Attachment 3b

Friday, 5/9/2014	Early Dismissal for Students (Staff Development)
Friday, 5/16/2014	Early Dismissal for Students (Staff Development)
Friday, 5/23/2014	Early Dismissal for Students (Staff Development)
Monday, 5/26/2014	Memorial Day (No School)
Friday, 5/30/2014	Early Dismissal for Students (Staff Development)
Friday, 6/6/2014	Early Dismissal for Students (Staff Development)
Friday, 6/13/2014	Early Dismissal for Students (Staff Development)
Friday, 6/20/2014	Early Dismissal for Students (Staff Development)
Friday, 6/27/2014	Last Day for Students/Last Day of Trimester 3

## **CONDUCT AND DISCIPLINE**

The Great Oaks Charter School provides a small, safe, and structured environment for the academic and social development of students. This environment is essential for student learning.

The teaching, training, and practice of conduct expected at the Great Oaks Charter School are driven by the teaching and practice of Kohlberg's Six Stages of Moral Development. We want students to behave well for all the right reasons. Teaching and learning the Six Stages takes a lifetime effort. We will start this important effort at the Great Oaks Charter School by teaching the Six Stages at Induction. Students will learn more about the Six Stages as they examine role models in the classrooms and check their decisions (both good and poor) throughout the year.

Stage 1: "I don't want to get in trouble."

We want students to behave well not because they fear punishment but because they believe it is right.

Stage 2: "I want a reward."

We want students to behave the right way because it is expected, not rewarded.

Stage 3: "I want to please somebody."

We want students behave well to please themselves.

Stage 4: "I follow the rules."

We want students to understand why they follow the rules.

Stage 5: "I am considerate of other people."

We want students to consider things from the perspective of others and act accordingly.

Stage 6: "I have a personal code of conduct."

We want students not to base their actions on fear, a desire to please someone, or even on rules. Students possess their own personal code of conduct. We learn about Stage 6 conduct through role models we learn about in classes.

## ***ATTENDANCE POLICY***

### Tardies

For every unexcused tardy that causes a student to miss class time, students will receive half an absence.

Traffic or car issues are not acceptable excuses for being late to school. The only exception is when the school-provided buses are delayed. Delayed public transportation will be confirmed upon each student's arrival.

It is a late student's **responsibility** to find out exactly what work was missed as noted in the Homework Policy.

**Late arrival or early departure:** The school realizes that students have doctor, dentist and other appointments. Parents should make every effort to schedule these for weekends, vacation days or other times when the student is out of school.

If a student arrives to school after 1:00 PM, it will be considered an absence (whether it is for an appointment or not).

If a student is dismissed from school before 1 pm, it will be considered an absence for the day. If a student is dismissed after 1 pm, it will be considered an early dismissal.

If students are dismissed early 5 or more times in a single trimester, there will be a mandatory meeting scheduled with the parents and the student to discuss whether Great Oaks is the best fit for the student. Missing too many classes will jeopardize a student's chances of promotion because the time for learning is so precious.

In order to be dismissed early, students must have a note signed by a parent/guardian stating the reason for the early dismissal, the date, the time at which the student will be picked up from school, specifically who will be picking the student up from school (first name, last name, and relationship to student), and a phone number where the parent can be contacted for verification. Someone from Great Oaks will call home to verify every note.

A student who would like to leave because he or she is not feeling well must get the approval of the Executive Director or his designee **before calling home**. It will be at the Executive Director's or his designee's discretion as to whether or not the student is allowed to leave early.

### Absences

Attendance is crucial to success at Great Oaks. Consequently we expect students to be at school every day for the entire school day.

#### **In the case of a necessary absence:**

1. Parents and guardians should **call** the school as early as possible if their child will not be attending school due to illness, religious observance, or a family emergency.

## Great Oaks Charter School – Attachment 4

2. If you are unable to speak to someone at the front desk, please leave a message stating the student's name, the reason for missing school, a phone number where you can be reached and a convenient time to call you. Failure to do this will lead to an unexcused absence for your child.

And, students must also bring in a **note** after they are absent. All notes should be submitted the following day to the school office. The note must include:

- The date of the absence
  - The reason for the absence
  - A phone number where a parent or guardian can be reached
  - The parent/guardian signature
3. Absent students should make every attempt to get their assignments for the day they miss by calling each of their teachers, by simply calling fellow students that evening, or by stopping by the school to pick up any missed class work and homework.
4. On the day of their return, students must be prepared to hand in any homework or paperwork assigned or to take any quiz or test announced the last day they were in school.

### What is an Excused Absence or Tardy?

To be considered for an excused medical absence, **the student must bring a written note from a parent or doctor**; any parent note may need to be authenticated by the Executive Director, at his sole discretion, through a note or phone call from the doctor, or it will be considered an **unexcused** absence.

The note should clearly state that the student requires special consideration in complying with the standard attendance policy.

### **Non-Medical Excused Absences Include:**

1. A death in the immediate family (parent, sibling, grandparent, aunt, uncle, cousin)
2. Immediate family member hospitalized
3. Court appearance
4. Medical or psychological tests with note from test provider. (All tests should be made after school hours if possible.)
5. Religious holy days as defined by a religious calendar
6. Other extraordinary situations approved by the Executive Director

### **Unexcused Absences Include:**

1. Being sick at home for more than 2 days without a doctor's note
2. Questionable chronic medical absence
3. Baby sitting
4. Family vacation
5. Trips to homeland
6. Extension of a religious or cultural holiday beyond the designated day or days on the school

calendar.

**Consequences for unexcused absences:** Skipping class, tutorial or required after-school tutorial is considered an unexcused absence.

A parent/guardian must come to the school for a meeting with the Executive Director to determine the reason(s) for the unexcused absence. An intervention will be put into place to ensure the end of unexcused absence that is specifically from skipping school.

**Chronic Absenteeism and Tardiness:** Twenty (20) absences, *excused or unexcused*, in any year will result in a student **repeating the year, withdrawing or being expelled, at the Executive Director's discretion.**

If your child is going to be absent for an extended amount of time, you should inform the Executive Director and request home tutoring.

### ***UNIFORM POLICY***

- Each student must be in complete uniform upon entering the building for any reason at any time, 7 days a week, before and after-school, and on the weekend.
- All uniforms should be purchased from the store approved by the school.
- Spare uniforms will only be provided in case of emergencies.
- If a Great Oaks student reports to school out of uniform parents will be notified and the student will be sent home or wait until a uniform is brought to school at the front desk.
- Students must be in the Great Oaks issued polo shirt or oxford shirt (with tie without writing), and navy blue pants with a solid colored belt with a simple buckle.
- Students must wear ***all*** black low top sneakers or all black flat closed toe shoes.
- Students may wear one piece of jewelry on their wrist.
- Students may wear small earrings without hoops.
- Students may wear a Great Oaks issued sweater or cardigan.
- Students may wear navy blue dress shorts below the knee before October 1<sup>st</sup> or after April 1<sup>st</sup>.
- Students may carry a draw string bag to class.

- Students may wear black mesh shorts and plain grey t-shirts to physical education class.

### ***GREAT OAKS CHECK SYSTEM***

Open and honest communication is important to everyone in the Great Oaks community. The Great Oaks check system is one routine way for teachers, tutors, students, and parents to monitor academic and social behavior every day, every week, and throughout the school year.

There are two ways in which Great Oaks supports students in meeting the expectations of the Great Oaks community -

First, students learn and practice Great Oaks expectations during Induction or Orientation.

Second, the Great Oaks Check system will keep track of four types of information:

**1. Daily Attendance**

Cumulative record of tardies and excused/unexcused absences throughout the year

**2. Weekly Homework Completion**

There are four categories of homework completion for each class:

- ✓ Complete = 100% complete includes correct paper heading (name, date, class)
- ✓ Incomplete = Less than 100% complete; incorrect paper heading (name, date, class) qualifies the homework as incomplete
- ✓ Missing = Homework is not turned in during homework collection time
- ✓ No Homework = Homework was not assigned in class that day

**3. Points are earned when a student meets or goes “above and beyond” Great Oaks expectations.** Great Oaks points may be redeemed for special events.

**4. “Demerits” are earned when a student does not follow the Code of Conduct.** There are consequences when a student earns multiple demerits. The more demerits a student earns, the heavier the consequence to be served.

How do Great Oaks points work?

“Above and Beyond” points are rewarded to students who go above and beyond in their respect, integrity, self-discipline, and excellence towards themselves and others. Students may redeem points at the Student Store.

Points: Students earn points when they exhibit small acts that demonstrate respect, integrity, self-discipline and excellence. These are included but not limited to: being seated quietly before the bell, holding doors, lining up quietly without being asked, and being polite. Students earn points for going above and beyond normal expectations. These points are awarded for acts such as demonstrating integrity, helping another student, demonstrating personal responsibility or cleaning up without being asked.

How Does the Great Oaks Check (GO Check) Work?

Great Oaks points and demerits will be tracked on the Great Oaks Check. Checks will be distributed to students on a weekly basis. A parent/guardian must review the check with the student. **All parent(s)/guardian(s) must check and sign the *Weekly GO Check*.**

Students can keep up with their Great Oaks point and demerit totals each day by keeping a daily tally. Great Oaks points earned will be accounted for daily. Great Oaks point and demerit totals will be posted every day.

Demerits earned for the week will reset to zero as long as the student has paid his/her consequences for the week. If a student has not completed their consequences for the week, s/he will serve the consequences Friday afternoon. Students must return to school with a parent/guardian the following Monday to meet with the Leadership Team if weekly consequences are not served. Tutors and faculty will communicate the status of each student to the student and parents weekly. The system will provide a consistent way for parents, students, teachers and tutors to monitor the students' progress.

**What are Demerits?**

<u>TIER 1 DEMERITS</u>	<u>Description</u>
<u>Choices worth 1 demerit each for unprofessional behavior.</u>	<ul style="list-style-type: none"> <li>• Food, drinks, candy, or gum chewing</li> <li>• Noisemaking</li> <li>• Off-Task</li> <li>• Dress-code infraction</li> <li>• Unprepared for class</li> <li>• Inappropriate Hallway Behavior</li> <li>• Not cleaning</li> <li>• Unprofessional behavior</li> <li>• Wasting Time</li> </ul>

<u>TIER 2 DEMERITS</u>	<u>Description</u>
<u>Choices worth 4 demerits</u>	<ul style="list-style-type: none"> <li>• Disrespect</li> <li>• Electronic equipment</li> <li>• Tardy for class</li> <li>• Horseplay</li> <li>• Defacing school property</li> <li>• Dishonesty</li> </ul>

<u>Tier 3 – Automatic Suspension</u>	<u>Description</u>
<u>Choices worth automatic suspension</u>	<ul style="list-style-type: none"> <li>• Extreme disrespect</li> <li>• Physical and emotional threat</li> <li>• Theft</li> <li>• Unexcused Absence</li> </ul>

What are Consequences?

Consequences for behavior are directly related to the number of demerits a student has accumulated for the **day and week**. All detention responsibilities must be served by the end of each week. Un-served detention time at the end of the week will result in a Friday Detention to pay off the remaining debt.

Great Oaks Charter School – Attachment 4

There are five levels of consequence at the Great Oaks Charter School.

<u>Violation(s)</u>	<u>Consequences</u>
LEVEL 1: 4-6 demerits in one day	1-day detention
LEVEL 2: 7-10 demerits in one day	2-day detention
LEVEL 2: 11-14 demerits in one day	3- day detention and silent lunch
LEVEL 3: 15-19 demerits in one day	3- day detention and 1 week silent
LEVEL 4: Safety violations or 20 demerits in one day	1 day suspension and parent meeting to re-enter school. Student will be given an assignment to complete upon re-entry before parent meeting. Each day the meeting doesn't happen will be counted as an unexcused absence.
LEVEL 5: Repeated Tier C behavior or fighting	Withdrawal: Repeated Tier C behavior Expulsion: Any behavior that is dangerous to a student and the Great Oaks community will be immediate grounds for suspension/expulsion.

\*Remaining detention debt will be paid off through a 1-hour Friday detention

Detention:

How students know if they have detention:

1. Students will keep track of their daily demerit count.
2. Students will confirm their number with the daily demerit and point post.
3. Parents will be notified by the student's tutor, teacher, or administrator every evening if and when the student has detention the following day.

For detention, students must copy the protocol for the entire time period. If the student copies the protocol diligently, s/he may earn the option of silently working on homework for the last thirty minutes. If s/he chooses to sit silently, s/he will not earn the option of starting your homework, and

s/he will still be held to the same expectations.

**SUSPENSION/EXPULSION: Choices that will send a student to suspension or expulsion**

Violations in this category threaten the safety of anyone in the Great Oaks community and the community environment. Safety violations result in immediate severe consequences and they are the only type of violations that may lead immediately to expulsion. Police may also be notified when the situation warrants it. The following list is not a comprehensive list.

**Setting off false fire alarms** – Students may not set off false fire alarms.

**Bullying** – Harassment, threats, or intimidation of any member of the school community is not tolerated.

**Stealing** – No stealing, losing, or damaging someone else’s property or school property. In addition to facing consequences for violation of this rule, students are expected to return property to its rightful owner in its original condition or to reimburse the owner and/or the school for lost, damaged, or stolen property.

**Inappropriate Touching** – Students may not make unwanted sexual advances toward or commit sexual harassment of any members of the school community. Sexual harassment is not tolerated.

**Horseplay or Roughhousing** – No fighting at Great Oaks or any other school. Harassing, pushing, or any form of unwanted physical contact is not tolerated. Any physical fight will result in expulsion.

**Using or possessing a weapon** – (automatic expulsion) Students may not possess, use, or bring a firearm, mock fire arm, or a weapon of any sort to school. Students may not use any object in a dangerous or threatening manner or have a weapon on him/her on his/her property.

**Arson** - (automatic expulsion) Students not set a fire.

**Possessing, using, selling or transferring of a controlled substance or tobacco products** – Students may not sell, distribute, or possess with intent to sell or distribute a prescribed or non-prescribed controlled substance, cigarettes, chewing-tobacco, or other tobacco products.

### ***Suspension***

Suspension is a serious consequence. It is put into place when a student displays repeated or extreme misbehavior.

Teaching and tutoring are very important to a student's learning experience. Great Oaks is committed to ensuring this learning time is protected for each student.

Great Oaks Charter School intends to meet the needs of all of our students through an environment that balances high expectations with caring relationships between staff and individual students.

In the event that a short-term or long-term suspension is deemed necessary, we will act in full compliance with state and federal laws.

Good cause for suspension or expulsion may include:

- Continued and willful disobedience
- Open defiance of authority
- Stealing
- Damaging of school property
- Possessing, using or being under the influence of illegal drugs or alcohol at school
- Trying to injure another member of the Great Oaks community
- Possession of a gun on school property or at a school function

**Short-term suspension** is defined as removing the student from the regular educational program for up to 10 days. Consistent with the rights of due process, the following procedural steps will occur prior to any short-term suspension:

1. Oral or written notice of what the student is accused of doing and the factual basis for the accusation
2. An explanation of the evidence on which the charges were based, if the student denies the charges
3. An informal hearing or meeting with the school leader before the student is removed from the school, during which time the student and his or her guardian have the opportunity to explain the student's side of the story and request an alternate course of action.

**Long-term suspension** is defined as removing the student from the regular educational program for 10 days or more. Consistent with the rights of due process, the following will occur prior to any long-term suspension:

1. Written notice of what the student is accused of doing and the factual basis for the accusation

## Great Oaks Charter School – Attachment 4

2. An explanation of the evidence on which the charges were based, if the student denies the charges
3. An informal hearing or meeting with the school leader before the student is removed from the school, during which time the student and his or her guardian have the opportunity to explain the student's side of the story and request an alternate course of action.
4. A formal hearing before a closed session of the Great Oaks Charter School Board of Trustees as soon as is possible.
5. Prior to the formal hearing, the student will receive written notice of
  - a. The specific charges that would allow the school to suspend or expel him or her;
  - b. The witnesses to appear against him or her as well as a report of the facts to which the witnesses will testify;
  - c. The student's right to defend him or herself and to bring an attorney
6. At the hearing, the student will have an opportunity to:
  - a. Defend him or herself;
  - b. Present witnesses on his or her behalf;
  - c. Present signed statements by witnesses on his or her behalf;
  - d. Face and question the witness for the school

The hearing will be held in a closed session of the Board to protect the student's privacy, but the final Board vote on the suspension/expulsion decision will be held in public, using only the student's initials.

### **Expulsion**

In extreme cases, the expulsion of a student from Great Oaks Charter School may be deemed necessary. The following due process will occur prior to any student being expelled:

1. Written notice of what the student is accused of doing and the factual basis for the accusation
2. An explanation of the evidence on which the charges were based, if the student denies the charges
3. An informal hearing or meeting with the Executive Director before the student is removed from the school, during which time the student and his or her guardian have the opportunity to explain the student's side of the story and request an alternate course of action.
4. A formal hearing before a closed session of the Great Oaks Charter School Board of Trustees

## Great Oaks Charter School – Attachment 4

as soon as is possible.

5. Prior to the formal hearing, the student will receive written notice of:

- a. The specific charges that would allow the school to suspend or expel him or her;
- b. The witnesses to appear against him or her as well as a report of the facts to which the witnesses will testify;
- c. The student's right to defend him or herself and to bring an attorney

6. At the hearing, the student will have an opportunity to:

- a. Defend him or herself;
- b. Present signed statements by witnesses on his or her behalf;
- c. Face and question the witness for the school

The hearing will be held in a closed session of the Board to protect the student's privacy, but the final Board vote on the suspension/expulsion decision will be held in public, using only the student's initials.

## **CHEATING VIOLATIONS**

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Violations in this category threaten our ability to successfully fulfill our mission of college success. Cheating violations represent actions in which students receive or give unauthorized help on any assignment. Committing a cheating violation represents an act of academic dishonesty – essentially students are lying about the work that they or others are completing. Without academic honesty, we cannot be sure if students are making actual academic progress towards our learning goals.

Examples of cheating include:

- a. Any indication of copying another person's work during an exam, during any other assessment, or while completing an assignment including homework;
- b. allowing someone to copy work on an exam, quiz, assessment or assignment;
- c. using any unauthorized materials not specifically approved by the instructor during any exam or for any academic assignment;
- d. collaborating on any group or individual assignment without the direct permission of the

## Great Oaks Charter School – Attachment 4

- instructor;
- e. altering' graded work after it has been returned, then submitting the work for re-grading;
  - f. stealing, reproducing, circulating, or otherwise gaining access to examination materials prior to the time authorized by the instructor;
  - g. intentionally continuing work on an exam or assignment after the allocated time has elapsed;
  - h. citing a source that does not exist, attributing to source ideas and information that are not included in the source, or citing a source in a bibliography when the source was neither consulted nor cited in the body of the paper;
  - i. inventing data or statistical results to support conclusions unless permitted by a teacher for a specific assignment.

Examples of plagiarism include:

- a. copying another student's work and submitting it as one's own work;
- b. using any other person or organization to prepare work and then submitting it as one's own;
- c. quoting or paraphrasing the thoughts of another writer without acknowledgement.
- d. copying and using information from websites or other sources without properly citing the source.
- e. claiming another student's work and submitting it as one's own work by writing one's name in the heading

### ***Procedures for Cheating Violations***

1. The staff member will initially meet with student to examine the evidence of potential cheating violation.
2. If the staff member is certain of the cheating violation at hand, the Executive Director will meet with the student(s) and the staff member to discuss the circumstances.
3. The Executive Director will communicate with parents as soon as possible to inform them of the process and to allow them an opportunity to come in for a meeting to discuss the situation.
4. The Executive Director will determine if the student(s) is responsible for a cheating violation and what the appropriate consequence should be using whatever evidence is available.

5. The consequence and violation will be recorded and student's teachers, tuors, and family will be informed.

### ***Consequences for Cheating or Plagiarizing***

Cheating violates the trust and integrity of our community. For a student to put his/her name on work that he/she did not do shows a disregard for the values of the school. The student is placing a grade above the skills learned through the assignment and their trust and reputation within the community. To do this taints the student's reputation for honesty and trust, and reputation, like trust, is very difficult to re-build.

Consequences for cheating violations may include:

- ✓ Zero on the assignment
- ✓ Exclusion from monthly and/or year-end field trips
- ✓ In-class or out-of-school suspension
- ✓ A written apology to the teacher and/or community for violating trust
- ✓ An intervention plan to establish trust that may include staying at school to do homework to ensure the integrity of the work

For repeated acts of cheating (more than three times), the student, parent/guardian, teacher(s), tutor, and Executive Director will create an Intervention Plan to prevent the student from further cheating violations and to support the student in making good choices. The plan will be evaluated at intervals to be set for individual.

### ***Student Searches***

To ensure safety of students and staff, Great Oaks Charter School maintains the right to search students and their property. Lockers and student storage space are owned by Great Oaks. Therefore, students should have no expectation of privacy in these areas. Such areas are subject to canine searches and to random searches by school officials at any time.

### ***Show Stoppers***

Great Oaks Charter School maintains the right to stop the school day when school safety is compromised and if vandalism or theft has occurred.

<b>School Trustee Background Information</b>
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Each proposed or prospective charter school board member must provide the information requested below.

**Name:** Joseph P. McDonald

**Charter School Name:** Great Oaks Charter School

**Charter School Address:** c/o Great Oaks Foundation, 239 Greene Street, 4<sup>th</sup> Floor, New York, NY 10003

To which charter school board position(s) and/or offices(s) are you asking to be appointed? (e.g., member, parent representative, vice-president, Finance committee, etc.): **Board Member**

As you may know, serving 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.

The Department’s consent is required **before** any new member may serve on the board. Accordingly, and in order to properly evaluate proposed board members, we ask that you please provide full and complete answers to each of the items below and provide the required assurance indicated. Note that providing false, misleading, and/or incomplete information may lead to a withdrawal of the Department’s approval, nullifying your appointment to the board.

### **Background**

1. Please provide your educational and employment history. You may do so by attaching a résumé.  Resume Attached
2. 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.
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 indicate how you became aware of the charter school and the opportunity to serve as a member of its board.

**I have been working with Michael Duffy and Ben Carson of the Great Oaks Foundation for nearly a year to develop an NYU teacher education program**

**focused on ELA/Literacy at the Great Oaks Charter School in Newark, New Jersey. The program has been approved by the NYU faculty and Graduate Commission and is now pending approval by the New York State Department of Education. In the process of designing the program, I visited the Newark school twice, and also the Match School in Boston which the Foundation has replicated in Newark and hopes to replicate in New York City.**

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

**I believe that the proposed school will serve a great need in lower Manhattan for more secondary school capacity, and that it will be especially well suited to serve an unusually diverse student body in inventive and accountable ways. As a citizen of lower Manhattan (CSD 2), and an educator, I wish to contribute to this effort, and believe that my contributions will be useful.**

6. 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):

**I am not currently serving as a board member, nor have I ever served in that capacity – whether for a school or any not-for-profit corporation. However, I do have a long career as an educator that equips me well, I think, to serve in this case. For example, I was a secondary teacher for 17 years, and a secondary principal for 3 years. As a member of the education faculty first at Brown and now NYU, I have overseen partnerships between the university and local schools. These partnerships have focused on both teacher education and school development. I am the sole or principal author of nine books about schooling, and have consulted with many charter and other public schools on diverse issues that include school design, accountability systems, teaching, school leadership, and the scaling up of school designs.**

7. Please indicate whether or not 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).

Your response to question seven may also include any relevant written information that you wish to be considered in support of your application, including, but not limited to: certificates of conviction; any parole and/or probation documentation; any certificates, including any certificate of relief from disabilities; any proof of counseling and/or rehabilitation; any documentation attesting to your good conduct or your good character; and any letters of support from friends, family, co-workers, employers, etc.

8. 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 the answer to this question is yes, please provide an explanation.

### Conflict of Interest

9. Please indicate whether you, your spouse, or other family member knows any of the other prospective or current 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:

**As described above, I have worked with Great Oaks Foundation (on a non-compensated basis) for the last year to design a new NYU teacher education program associated with the Great Oaks charter school in Newark, NJ.**

10. Please indicate whether you, your spouse, or other family member knows any person who is a prospective or current charter school employee.  
 I / we do not know any such persons.  Yes.  
If yes, please indicate the precise nature of your relationship here:

11. 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, contracts or does business with, or plans to contract or do business with, the charter school, including but not limited to, the lease of real or personal property to the 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:

12. 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.  
 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.  Yes.
13. 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.  
 Not applicable because the School does not/will not contract with a management company or charter management organization.  
 I / we have no such interest.  Yes.
14. 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 is being or will be conducted.  
 Not applicable because the School does not/will not contract with a management company or charter management organization.  
 I / we do not anticipate conducting any such business.  Yes.
15. 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 items 9-12, you may so indicate.  This does not apply to me, my spouse or other family members.  Yes.
16. 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
17. 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 confront such member(s) at a meeting of the full Board and ask them to resign from the Board. I would also report my apprehensions to the New York State Department of Education.**

### **Educational Philosophy**

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

**Although the new school is likely to have some design features that are unique to its context, it will largely follow the design of the highly successful Match School in Boston. Thus it will be untracked, providing a rigorous curriculum for all students focused on college preparation, but also well equipped with tutorial supports to help even the most struggling students succeed. The supports will include a tutor corps of recent college graduates, technology and other learning supports, and personal and small-group attention within a school-day stretched to accommodate them. A hallmark of the school will be appreciation of the uniqueness of every learner combined with unanxious expectation of high intellectual achievement for all. The school will be especially focused on developing strong levels of trust between students and teachers, and between parents and teachers. Students and parents both will perceive what the school does as being resolutely in their interest. Similarly, the school will foster trust among teachers – a sense that they can and must work together to ensure their students' success.**

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

**Key elements include strong focus on the New York State Common Core Standards; suffused focus on literacy; college readiness for all – including experience by grade 12 of AP-level work; independent and small-group work to support coursework; opportunities to take college courses while still in high school; and strong focus on citizenship as a concept and a practice relevant to daily life in the school.**

20. Please indicate what you believe to be the characteristics of a successful charter school. In particular, 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.

**Key elements include a spirit of innovation combined with attention to data; a willingness to invite and act on two levels of feedback – both**

**the kind that causes one to revise a policy or system, and the kind that causes one to rethink it; a willingness to insist upon accountability at all levels for achievement of the school's mission. I think Boards do best when they insist on these and other broad principals, and pay close attention to their enactment – but when they otherwise refrain from involvement in the day-to-day management of the school.**

### **Other**

21. Please explain your understanding of the appropriate role of a public charter school board member.

**My understanding is that Board Members are collectively responsible both legally and ethically for ensuring that the charter school remains faithful to the charter it was granted, that it operates safely and exclusively in the interest of the students and families it serves, and that it complies with all laws and relevant policies.**

22. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies.

**Yes, I have read the charter school application, board by-laws, and proposed policies.**

23. Please provide any other information that you feel is pertinent to the Department's review.

A Statement of Assurance must be signed by and submitted for each proposed Board Member.

### STATEMENT OF ASSURANCE

I, Joseph P. McDonald (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 2<sup>nd</sup> Degree, a Class A Misdemeanor.

Joseph P. McDonald Signature 2-7-12 Date

*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 below will be redacted.*

**Business Telephone:** [Redacted]  
**Business Address:** [Redacted]  
**E-Mail Address:** [Redacted]  
**Home Telephone:** [Redacted]  
**Home Address:** [Redacted]

**Curriculum Vitae  
Joseph P. McDonald**

**Education**

Harvard University

**Doctor of Education**, 1986. Administration, Planning and Social Policy.  
Dissertation: *Raising the Teacher's Voice in Collaborative School Improvement Projects* (AAT8620714 DAI-A 47/06, p. 1932). Chair: Sara Lawrence Lightfoot; committee members: David K. Cohen and Harold Howe III.  
**Master of Arts in Teaching**, 1972. English Language and Literature.

University of Scranton

**Bachelor of Arts**, 1969. English, magna cum laude.

**Professional Appointments**

New York University, Steinhardt School of Culture, Education, and Human Development. 1998–present

**Professor of Teaching and Learning**, 1998-present.  
**Chair of the Teacher Education Working Group**, 2005- 2007, 2010-present.  
**Member of the Teacher Education Council**, 2004-present.  
**Director of the Metro Learning Communities Project, Metropolitan Center for Urban Education**, 2009-present.  
**Associate Dean**, 2004–2007. Academic Affairs, Community and Global Initiatives.

Brown University, 1986 – 1997

**Director of Research, Annenberg Institute for School Reform**, 1994 -1997.  
**Senior Researcher, Coalition of Essential Schools**, 1990 -1994. ,  
**Clinical Professor of Teacher Education**, 1986 -1990. Led the Master of Arts in Teaching and undergraduate teacher education program in English.

University of Minnesota, 1992-2000

**External Faculty, Bush School Leadership Program, Carlson School of Management**

Rostock University, Germany, 1988-1989

**Visiting Professor**, April 1988, August/September 1989.

Watertown Public Schools, Watertown, MA, 1973 – 1986

**Director and Teacher, Interdepartmental Studies Program**, 1981-1986.  
**Principal**, 1978 – 1981  
English teacher, 1973- 1978

St. Joseph's High School, Metuchen, NJ, 1970 - 1973

**English and drama teacher**

Byram Hills Middle School, Armonk, NY, 1969-70

**Teacher/Harvard intern.**

## Selected Publications

### Books

- Cities and Their Schools.*** Principal author with Jolley Christman, Thomas Corcoran, Norm Fruchter, Milbrey McLaughlin, Gordon Pradl, Gabriel Reich, Mark Smylie, and Joan Talbert. Manuscript under contract with the University of Chicago Press.
- Going Online with Protocols: New Strategies for Teaching and Learning in the 21<sup>st</sup> Century.*** Lead author with Janet Zydney, Alan Dichter, and Beth McDonald. Teachers College Press in press. Expected publication: spring 2012.
- Going to Scale with New School Designs: Reinventing High School.*** Lead author with Emily Klein and Meg Riordan. Teachers College Press. 2009.
- The Power of Protocols: An Educator's Guide to Better Practice.*** Lead author with Nancy Mohr, Alan Dichter, and Elizabeth C. McDonald. Teachers College Press, 2003. Second edition, 2007, third edition planned for 2013.
- School Reform Behind the Scenes.*** Lead author with Thomas Hatch, Edward Kirby, Nancy Ames, Norris Haynes, and Edward Joyner. Teachers College Press, 1999.
- Doing What You Mean to Do in School Reform: Theory of Action in the Annenberg Challenge.*** Editor and co-author with Donald A. Schon. Annenberg Institute, Brown University. 1998.
- Redesigning School: Lessons for the Twenty-first Century.*** Sole author. Jossey Bass, 1996.
- Graduation by Exhibition.*** Principal author with Eileen Barton, Sidney Smith, Dorothy Turner, and Marion Finney. Association for Supervision & Curriculum Development, 1993.
- Teaching: Making Sense of an Uncertain Craft.*** Sole author. Teachers College Press, 1992.

### Chapters

- The National Writing Project: Scaling up and down.** With Judy Buchanan and Richard Sterling, in Sue Bodilly and Thomas Glennan (Eds.), *Scaling Up Reform Interventions*. Santa Monica: Rand, 2004.
- High school in the twenty-first century: Managing the core dilemma.** In Floyd Hammack (Ed.), *Is There a Future for the Comprehensive High School?* Teachers College Press, 2004.
- World's fair: Sixty years of American education in and around a former dump.** In Wolfgang Holtkamp (Ed.), *Rediscovering America: New Approaches to American Culture*. Metzler Verlag Stuttgart, 2001.
- Students' work and teachers' learning.** In Ann Lieberman and Lynne Miller (Eds.), *Caught in the Act: Professional Development for Teachers*. Teachers College Press, 2001.

**Below the surface of school reform: Vision and its foes.** In Robert Glaser and Leona Schauble (Eds.), *The Contributions of Instructional Innovation to Understanding Learning*. Lawrence Erlbaum, 1996.

## **Funded Projects**

**Partnership Challenge Research.** New York University Challenge Grant. Principal Investigator. Co-investigators: Robert Tobias, Rosa Pietanza, Selcuk Sirin. Mixed-methods investigation of the NYU-NYC Partnership Schools initiative. 2010-2011.

**EXCEL Project.** Teagle Foundation and Squire Family Foundation. Co-Principal Investigator with Glynda Hull. Development of a college readiness writing program for students in two South Bronx high schools, and research on its impact. 2009-present.

**Partnership Schools Project.** US Department of Education (TQE), the Petrie Foundation, and the Annenberg Foundation. Principal Investigator. Development of a network of NYU Partnership Schools supporting teacher education – pre-service through in-service - in three high-need neighborhoods: Lower East Side, East Harlem, and the South Bronx, 2004-present.

**Cities and Schools Project.** Spencer Foundation and Annenberg Foundation. Principal Investigator. Study of School Reform in Chicago, New York, Philadelphia, San Diego, and the San Francisco Bay Area. Co-investigators: Jolley Christman, Thomas Corcoran, Norm Fruchter, Milbrey McLaughlin, Gordon Pradl, Mark Smylie, and Joan Talbert. 2003-present.

**Metro Learning Communities.** Bay and Paul Foundation, and contracts with CEI-PEA and other sources. Principal Investigator. Consulting to New York City schools in facilitative leadership and the development of professional learning communities. 2002-present.

**Small High School Scale-Up Study.** Noyce Foundation. Principal Investigator. Study of the effort of the Providence-based Metropolitan Regional Career and Technical Center (MET) to create new small high schools in Chicago, Denver, Oakland, and other sites. The effort is funded by the Bill and Melinda Gates Foundation. 2002-2005.

**Report on the Urban High School.** Spencer Foundation. Co-Principal Investigator with Will Jordan. Report on the proceedings of a Spencer Foundation Conference on Research and the Urban High School. 2001-2003.

**Urban School Reform Project.** Spencer Foundation planning grant. Principal Investigator. Study of School Reform in Boston, Chicago, New York, Philadelphia, San Diego, and the San Francisco Bay Area. Co-investigators: Anthony Bryk, Jolley Christman, Thomas Corcoran, Norm Fruchter, Milbrey McLaughlin, Barbara Neufeld, Gordon Pradl, Mark Smylie, and Joan Talbert. 2001-2002.

**University Neighborhood High School/NYU Partnership.** SMBC Global Foundation. Principal Investigator. Development and ongoing support of a Professional Development School in New York City. 1999 - 2004.

**Study of Teacher Networking in the Humanities.** Woodrow Wilson Foundation. Principal Investigator. 2001-2002.

- Cross-Site Research Project, Annenberg Challenge.** Annenberg Foundation. Co-Principal Investigator. With Donald Schon. 1995-1999.
- Atlas Seminar.** Spencer, MacArthur, and Rockefeller Foundations. Associate Investigator. Collaborative exploration of school reform: Harvard University, Brown University, Yale University, Education Development Center. 1993-1996.
- Exhibitions Project, Coalition of Essential Schools.** IBM Corporation, the UPS Foundation, New York State Education Department. Principal Investigator. Study of school design. 1990-1995.
- Hope High School/Brown University Partnership.** Danforth Foundation and the Providence Public Schools. Co-Principal Investigator. Development and ongoing support of a Professional Development School in Providence, RI. 1986-1990.

### **Other Relevant Activities**

- Co-editor, Series on School Reform. Teachers College Press.** With Ann Lieberman and Patricia Wasley. 1994-present.
- Consultant to the Partnership in Innovation in Compensation for Charter Schools (PICCS) project.** Launched in 2007 with a \$15 million grant from the U.S. Department of Education. Development of a peer-review-based compensation system for teachers at charter schools in New York City. 2007- present.
- Member of the Advisory Council, Chicago Public Education Fund.** 2008-present.
- Member of the Advisory Board on Professional Growth for Teachers, Bill and Melinda Gates Foundation.** 2010-2012
- Chief Consultant to the New York State Department of Education, Academy for Teaching and Learning.** 1996-2001.
- Spencer Fellowship, National Academy of Education,** 1989-1990

<b>School Trustee Background Information</b>
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Each proposed or prospective charter school board member must provide the information requested below.

**Name:**         **Robert J. Ludlum**

**Charter School Name:** **Great Oaks Charter School**

**Charter School Address:** **c/o Great Oaks Foundation, 239 Greene Street, 4<sup>th</sup> Floor, New York, NY 10003**

To which charter school board position(s) and/or offices(s) are you asking to be appointed? (e.g., member, parent representative, vice-president, Finance committee, etc.):     **Board Member**

As you may know, serving 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.

The Department’s consent is required **before** any new member may serve on the board. Accordingly, and in order to properly evaluate proposed board members, we ask that you please provide full and complete answers to each of the items below and provide the required assurance indicated. Note that providing false, misleading, and/or incomplete information may lead to a withdrawal of the Department’s approval, nullifying your appointment to the board.

**Background**

1. Please provide your educational and employment history. You may do so by attaching a résumé.  Resume Attached
2. 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.
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 indicate how you became aware of the charter school and the opportunity to serve as a member of its board.

**Via Michael Duffy, a fellow planning team member.**

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

**I have benefited immensely from a great education. I see this opportunity as a way I can help provide that same benefit to young people in my community.**

6. 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):

7. Please indicate whether or not 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).

Your response to question seven may also include any relevant written information that you wish to be considered in support of your application, including, but not limited to: certificates of conviction; any parole and/or probation documentation; any certificates, including any certificate of relief from disabilities; any proof of counseling and/or rehabilitation; any documentation attesting to your good conduct or your good character; and any letters of support from friends, family, co-workers, employers, etc.

8. 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 the answer to this question is yes, please provide an explanation.

### **Conflict of Interest**

9. Please indicate whether you, your spouse, or other family member knows any of the other prospective or current 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: **Acquaintance with prospective Board member Michael Duffy**

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

I / we do not know any such persons.  Yes.

If yes, please indicate the precise nature of your relationship here:

11. 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, contracts or does business with, or plans to contract or do business with, the charter school, including but not limited to, the lease of real or personal property to the 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:

12. 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.

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.  Yes.

13. 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.

Not applicable because the School does not/will not contract with a management company or charter management organization.

I / we have no such interest.  Yes.

14. 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 is being or will be conducted.

Not applicable because the School does not/will not contract with a management company or charter management organization.

I / we do not anticipate conducting any such business.  Yes.

15. 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 items 9-12, you may so indicate.  This does not apply to me, my spouse or other family

members.  Yes.

16. 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

17. 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 question and investigate the situation together with the other board members. If it was determined to be true, I would bring the matter to a full meeting of the board and then possibly seek to have the person replaced on the board.**

### **Educational Philosophy**

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

**The mission and philosophy to create a school where students succeed in an atmosphere of caring, individual attention, and high expectations, and to prepare students to succeed in high school and to succeed in college.**

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

**The educational program of the charter school will focus on high expectations, daily tutoring and strong relationships between the school, the students and their families. We are adapting the practices of the MATCH School in Boston,**

20. Please indicate what you believe to be the characteristics of a successful charter school. In particular, 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.

- **Effective community outreach and engagement..**
- **Controlled build up of the curriculum and student population.**
- **High quality, committed, and passionate teaching staff.**
- **Family and parental engagement.**
- **Focus on long term success for the school, daily success for each student.**

**- Prudent fiscal spending and controls.**

**Other**

21. Please explain your understanding of the appropriate role of a public charter school board member.

**Together with other board members, oversee the education of all students enrolled in the school, oversee and ensure the proper expenditure of public funds provided to the charter school.**

22. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies.

**I have read and understand the charter school application, by-laws, and proposed policies.**

23. Please provide any other information that you feel is pertinent to the Department's review.



**Robert J. Ludlum****Work****Home****Professional Experience****J.P. Morgan Chase****2011 - Present****Managing Director, Treasury Services, New York  
Western Hemisphere Implementation Executive**

Provide leadership, direction, support, and operational control, for a group of 400+ regional and global client service and implementation teams for JP Morgan's Wholesale Banking Treasury Service Unit. Teams include Legal Advisors in Global Contract Management, Client Implementation Consultants and Project Managers, Technical Implementation Specialists, Client Service Officers, and Operational Control Specialists.

- Onboard Large Corporate and Financial Institution Clients to JP Morgan's Treasury Service product suite.
- Execute negotiations as required for all legal documentation for new client business.
- Provide project management & execution for various documentation remediation and migration projects
- Globalize Implementation Processes across the organization.
- Roll out Global Contract Management resources and TS Documentation Policy to all regions.
- Support and Lead Latin American rollout and business development program.
- Execute Transformation Program and multiple business process improvement streams.
- Measure and improve Client Satisfaction and Loyalty agenda

**Royal Bank of Scotland NV (Formerly ABN AMRO Bank)****Global Transaction Services, Jersey City, NJ****2008 - 2011****Executive Director, Head of Client Service and Implementations, Americas  
Head of Structuring, LATAM**

Lead regional client service and implementation teams for Global Transaction Services for the Americas. Teams include service, documentation, electronic banking, client channel integration, implementation project managers, billing, and business performance management. Oversee all aspects of on-boarding, and after sales service and support for all wholesale client segments in the region. This includes corporate cash management, US\$ Clearing, specialized Trade support, for Global Corporate and FI Clients, and Commercial Network clients.

- Developed and implemented interim on-boarding and service models with Citizens and ABN service teams
- Executed significant program of regional separation and integration efforts of RBS including re-branding, organization alignment, product alignment, business process changes, IT integration etc.
- Reduced managed costs over 20% and continue to gain productivity efficiencies with emerging targets
- Improved Client Satisfaction and Loyalty scores, 5 points in the U.S., and 15 points ahead in Mexico, through the most challenging period for staff and customers
- Improved turn-around times on account opening by 6% in the region and improved time to revenue by 2%
- Improved Employee Engagement, with the Leadership and Engagement indexes up over 8 % each
- Coordinated global implementation governance between the regions through 2009
- Member of the GTS Americas Board and the Global GTS Senior Leadership Team

GTS Head for Chile, Colombia, Venezuela, and Argentina, and responsible for executing the GTS non-core sale and restructuring program for those non-core classified countries.

- Responsible for the GTS P/L for Chile, Colombia, Venezuela, and Argentina
- Improved revenue in 3 of 4 countries in 2009 despite being classified as non-core
- Improved profitability 140% (EF: from 77% to 37%)
- Successfully lead country teams during time of significant change and uncertainty
- Achieved the highest Client Satisfaction ratio's in Chile, compared to any country globally
- Successfully executed sale of Colombian business including technical separation, Partner Bank set-up, transition services agreements, and new client service model

## Robert J. Ludlum

### Global Transaction Services (Cash Management & Trade), Amsterdam

2004 - 2008

#### Corporate Director, Regional Head of Cash & Trade Implementations EMEA

Provided operational direction and leadership support for the international cash management and trade business across Europe. Lead a team of project managers, documentation specialists, legal advisors and channel specialists, with a portfolio of customer projects

- Aligned all resources and groups, from IT and channel integration to legal, credit, and operations
- Improved sales hit ratio by 30% by aligning with Sales teams to improve client pitches and sales support
- Developed quarterly activity and resource plans to meet product/service implementation goals
- Supported major deals and key client relationships to improve client loyalty
- Provided expertise and support for sales pitches, new product pilots, and internal improvement projects
- Ensured all agreed project plans, complexity forecasts, cost projections and reporting as required
- Develop and execute best practices on implementation governance across, and between regions
- Upgraded talent pool and improved employee engagement by 40%, while keeping attrition below 5%
- Improved client satisfaction with implementations and account opening service delivery to 98%
- Increased on-time/early client delivery from 75% to 96% and resulting in improved revenue generation

### Global Transaction Services (Working Capital), Amsterdam

2000 - 2004

#### VP, Senior Product Manager – Cash Management Delivery Channels

- Responsible for electronic banking channel (MultiCash) in Europe supporting 7,000 clients in 10 countries
- Managed existing solutions including functional enhancements, testing, marketing, IT operations
- Developed and maintained strategy and planning for shift of functionality online
- Developed new web solutions for emerging markets countries (Turkey, Russia)
- Developed and implemented SLA's and benchmarks to improve productivity and service
- Monitored and optimized channel performance resulting in a 4-fold reduction in service requests
- Managed PKI solution including wind down, operations, equity stake (Identrus) and communications
- Embedded PKI solution into ABN AMRO as standard security option and shared service for delivery channels
- Outsourced Identrus/PKI solution to a third party resulting in 3-fold cost reduction
- Commercialized PKI solution with global pharma client resulting in €900,000 in new revenue
- Developed marketing and communication material for internal and external uses
- Managed vendor relationships and reviewed partnership opportunities where appropriate
- Developed new opportunities and business cases as required for senior management review

### Global Transaction Services, Amsterdam

1999 - 2000

#### VP, Strategy Development and Business Architecture

- Functioned as 'internal consultant' for GTS senior management related to prioritising investments
- Member of the GTS Strategy Development Team, and FI & e-Commerce Strategy Teams
- Initiated and facilitated the GTS strategy development process and aligned with other business units
- Co-ordinated GTS e-Business "strategic plays" and potential marketplaces to identify revenue opportunities
- Determined development priorities for IT projects including launch of the award winning MaxTrad Solution
- Developed modelling to articulate current and future state business processes (architecture) for GTS
- Monitored, guided and sanctioned project scopes in conjunction with business owners and project managers

### Global Transaction Services, Amsterdam

1998 - 1999

#### VP, Marketing Sales and Service, Global Trade Sales

- Sold Trade Services and Finance solutions to global corporate and financial institution clients
- Rolled out core sales processes and tools in set up of new global business unit (GTS)
- Closed first-ever 'global' trade deal (US\$1MM/yr) including the first global service levels, global pricing
- Advised country and bank risk management on deals/transactions in risk challenged countries
- Developed new fee sharing model to facilitate network co-operation among branches and improved MI
- Established formal links between global trade services group and global trade and commodity group

## Robert J. Ludlum

- Enhanced Global Partnership Program for FI's (fee sharing and white labeling) and rolled out to RB's
- Introduced and implemented off-shore issuance capability for large European import/retail client
- Developed global sales toolkits, e.g. proposals, wallet sizing sheets, manuals, etc.
- Assisted in vendor selection, development, testing, governance, & rollout of global CRM tool
- Implemented new policies and procedures to generate additional revenues and increased RAROC
- Wrote various articles for internal publications and developed global marketing material for the group
- Developed tactical marketing and sales plans with European Branches
- Trained internal staff & clients on introductory and advanced trade services/finance skills

### **First Union, Capital Markets Group, Atlanta, GA & Nashville, TN**

**1993-1998**

#### **Vice President, Global Trade Services Sales**

- Sold trade and commodity finance solutions to large corporates and downstream financial institutions
- Achieved significant revenue growth and profitability (Increased x10 in 5 years)
- Coordinated sales activities with relationship bankers and cross-sold other services such as FX and Trust
- Structured trade finance transactions utilizing programs including: EX-IM Bank, FCIA, and a forfait markets
- Focused on capital equipment exporters and soft commodity traders (Cotton, Cocoa, Grain, Fertilizer, etc.)
- Advised customers on payment alternatives, risk mitigation strategies, financing sources and related needs
- Negotiated legal documentation with customers and legal counsel in order to close deals and assisted credit officers in the credit underwriting process
- Acted as primary liaison between trade banking and relationship bankers

### **ABN AMRO Bank NV, Boston, Massachusetts**

**1987-1993**

#### **Trade Finance Manager/Credit Officer (Boston)**

- Sold trade services and trade finance to large corporates and financial institutions
- Managed end-to-end credit administration function for the branch including implementation of Basel I and all primary interface for all audit teams (internal, external, Fed & State)
- Performed formal credit analysis as needed for select client portfolios
- Structured trade finance transactions with key clients from origination through to closure
- Managed all branch Trade Operations
- Implemented new software solutions for customers improving deal wins and increased revenue

#### **Letter of Credit Specialist (AMRO New York)**

- Focused on Export L/C and Standby L/C operations
- Implemented new software for SBLC's and risk participations and backed up loan operations

### **Bank of Boston, Boston, Massachusetts**

**1985-1987**

#### **Sales Representative/International Officer, Trade Services**

- Sold Trade Services and EB solutions to U.S. based corporates and financial institutions
- Developed and ran training sessions and seminars for customers and prospects
- Assisted in the development of direct mail and advertising campaigns
- Developed & implemented new pricing/cost structure to increase margins and competitiveness

#### **Trade Services Representative**

- Responsible for entire spectrum of trade services operations for key clients
- Called on customers for client management and development

### **Bank of New England, Boston, Massachusetts**

**1982-1985**

- Trade Services Specialist
- Commercial Finance Operations

## Robert J. Ludlum

### Education

#### Academic History:

MBA, International Business	Georgia State University, Atlanta, Georgia	<b>1997</b>
BS Business Administration	Northeastern University, Boston, Mass	<b>1991</b>

#### Languages:

Fluent in English, Basic Knowledge in Dutch

<b>School Trustee Background Information</b>
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Each proposed or prospective charter school board member must provide the information requested below.

**Name: Kate Hayes**

**Charter School Name: Great Oaks Charter School**

**Charter School Address: c/o Great Oaks Foundation, 239 Greene Street, 4<sup>th</sup> Floor, New York, NY 10003**

To which charter school board position(s) and/or offices(s) are you asking to be appointed? (e.g., member, parent representative, vice-president, Finance committee, etc.): **Board Member**

As you may know, serving 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.

The Department’s consent is required **before** any new member may serve on the board. Accordingly, and in order to properly evaluate proposed board members, we ask that you please provide full and complete answers to each of the items below and provide the required assurance indicated. Note that providing false, misleading, and/or incomplete information may lead to a withdrawal of the Department’s approval, nullifying your appointment to the board.

**Background**

1. Please provide your educational and employment history. You may do so by attaching a résumé.  Resume Attached
2. 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.
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 indicate how you became aware of the charter school and the opportunity to serve as a member of its board.

I became aware of the school through a friend Michael Duffy. Michael and I met a few years ago through a friend in common and I had been in touch with

him in recent years as I was trying to make school decisions for my son, Seth. I have known about Michael's involvement with Charter Schools and had reached out to him for thoughts and advice. Michael contacted me last summer to ask if I'd like to get involved with the Great Oaks Charter School in Community School District 2, knowing that I was a resident and parent-concerned about school choice in the district.

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

I am honored that I was given the opportunity to work on this project and to be considered as a potential board member. As a member of the community, I feel it is important to be active, vocal and involved with the issues which are important to my family and community at large. I hope that my involvement with this project will allow other families to experience the benefit of having more choice for middle/high school options within the district.

6. 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):

7. Please indicate whether or not 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).

Your response to question seven may also include any relevant written information that you wish to be considered in support of your application, including, but not limited to: certificates of conviction; any parole and/or probation documentation; any certificates, including any certificate of relief from disabilities; any proof of counseling and/or rehabilitation; any documentation attesting to your good conduct or your good character; and any letters of support from friends, family, co-workers, employers, etc.

8. 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 the answer to this question is yes, please provide an explanation.

### **Conflict of Interest**

9. Please indicate whether you, your spouse, or other family member knows any of the other prospective or current 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:  
**My husband has met Michael Duffy socially in the past.  
I have been working with the other potential board members over the past 6 months or so, as we have been working together on the planning committee for the school. I have not previously known any of the board members, other than Michael Duffy, before joining the planning committee.**
10. Please indicate whether you, your spouse, or other family member knows any person who is a prospective or current charter school employee.  
 I / we do not know any such persons.  Yes.  
If yes, please indicate the precise nature of your relationship here:
11. 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, contracts or does business with, or plans to contract or do business with, the charter school, including but not limited to, the lease of real or personal property to the 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:
12. 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.  
 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.  Yes.
13. 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.  
 Not applicable because the School does not/will not contract with a management company or charter management organization.  
 I / we have no such interest.  Yes.
14. 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 is being or will be conducted.

Not applicable because the School does not/will not contract with a management company or charter management organization.

I / we do not anticipate conducting any such business.  Yes.

15. 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 items 9-12, you may so indicate.  This does not apply to me, my spouse or other family members.  Yes.

16. 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

17. 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 hope we would not encounter this situation, but if it were to occur, I'd confront the individual suspected of such activity and ask for more information/clarify the situation. If, after talking to that individual, it became clear that there were issues, I'd bring this to the entire board for discussion. If final conclusions were drawn regarding conflict/wrong-doing, we'd ask the board member to step down from their position.

### **Educational Philosophy**

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

The mission of Great Oaks Charter School is to prepare students for college success.

The philosophy of the school will revolve around both individual attention and relationships. Great Oaks will also be a "No Excuses" school, which will encourage this as the culture among students/parents/families.

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

The educational offering will be unique, since students will have tutoring each day for 1-2 hours. This high level of individual attention will allow students to build relationships and boost their academic performance. We

also expect to have high academic expectations of all students.

20. Please indicate what you believe to be the characteristics of a successful charter school. In particular, 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.

In order to build and maintain a successful charter school, we must first build a mission, philosophy and educational plan, which is realistic and attainable. Our role in building the school is critical and we will need to communicate openly and often. As the school gets off the ground it is critical that we remain aligned with our original goals, while at the same time being open to change where needed. Having flexibility will be critical, since it's expected that not everything will go according to plan. As the group that is here to offer guidance and help build as successful school, we are accountable to be ethical and honest in all our work.

#### Other

21. Please explain your understanding of the appropriate role of a public charter school board member.

The board is here to provide guidance and ensure that the school is operating in compliance with its charter. We also need to set goals for the future, play a role in hiring key staff members, as well as oversee fundraising and other budgetary items. We are responsible for handling complaints and ultimately accountable for the success or failure of the school.

22. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies.

Yes, I do understand my role and have read all materials.

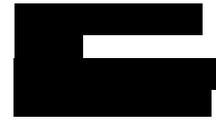
23. Please provide any other information that you feel is pertinent to the Department's review.

I would like to thank you for your consideration of Great Oaks Charter School.



# KATE E. HAYES

## Medical Device & Biotechnology



**HIGH POTENTIAL SALES MANAGER** with over 12 years of experience within J&J. Held positions within four operating companies spanning pharmaceuticals, biotechnology, medical device and diagnostics.

- ✓ Excellent track record of success, including all annual ratings which have *NEVER* been lower than a 6 (even in new roles).
- ✓ Unique skill set with experience in sales, management and operations.
- ✓ Established leadership skills including internal promotions, cross company and cross sector exposures.
- ✓ Focused on personal/professional development in order to contribute at higher levels within the organization.

**TOP STRENGTHS**

- Futuristic
- Communication
- Activator
- Maximizer
- Positivity
- Woo
- Competition

**TOP COMPETENCIES**

- Sales Leadership
- Project Management
- Operational Efficiency
- Self Development
- Delivering Feedback
- Written and Oral Communication
- Cross functional collaboration

**AWARDS & RECOGNITION**

- 2010: Ambassador’s Club**
- 2008: Infinity Cup and Teal Diamond**
- 2007: Quarterly Infinity Cup**
- 2006: Teal Diamond Winner**
- 2005: Quarterly Infinity Cup**
- 2004: Northeast Region Rep of Year, Long Island District Rep of Year**
- 2003: President’s Pinnacle Club & RBD Award Trip**
- 2002: Ortho Evra Launch Contest, Highest Share Club & RBD Award Trip**
- 2001: High Share Club**
- 1999: District Rep of Cycle**
- 1998: RBD Award Trip**

**THERAKOS**

February 2010 – Present

**Eastern Region Business Manager/** (Eastern US and Canada, Field Based in NYC)  
Responsible for managing Eastern sales region of six people for Therakos

- Exceeded sales goal in 2010, accomplishing Ambassador Club as #1 sales manager within all of Cellular Technologies
- Finished 2011 at 103% to forecast, with increasing sales for each consecutive quarter
- Selected for SMITH J&J Women’s Leadership Program (1 of only 65, considered high potential for J&J), October 2011
- Attended WHARTON executive program in “Essentials of Marketing”, Spring 2011
- Created career ladder for internal account manager development which was implemented in 2011
- Two direct reports were promoted within my 1.5 years with Therakos, currently continue mentoring both
- Managed and developed two CLDP (Commercial Leadership Dev. Program) participants in full sales rotations
- Re-designed 2010 compensation plan and worked on task force for 2011 compensation plan development
- Worked on territory alignments, including two re-alignments and expansions
- Primary meeting planner for 2010 Fall CT Sales Meeting and 2011 Summer TKS Sales Meeting
- Supply Chain/Operations: Managed through several kit recalls in 2010/2011, visited manufacturing facilities for instrument (Mack), kits (Harmac) and also R & D.
- Primary project manager for the implementation of largest instrument expansion in TKS history (30+)
- Participated in development of core marketing message including advisory board and market research
- Acted as liaison between North America and Japanese Marketing teams in preparation for Japan TKS approvals
- Attended five GMT (Global Management Team) meetings in 2010 during absence of Sales Director
- TKS Business Plan development team participant for both 2011 and 2012 planning
- Major Medical Meeting Participation: ASFA, ASH, AABB, USCLC and AAD

**ETHICON ENDO SURGERY**

October 2008 – February 2010

**Senior Sedation Account Manager/** (NYC Area, Field Based in NYC)  
Responsible for market development in preparation for launch of Sedation technology

## Attachment 5a - Trustee Information

- Hired as first account manager for the new Sedation Systems division of Ethicon Endo Surgery
- Managed market creation/profiling efforts for more than 300 accounts in the New York City area
- Forged relationships with key medical society members for SGNA, ASGE, ACG, NYSGE and other GI societies- including with top leadership
- Involved with Colon Cancer awareness/screening campaign C5, based in New York City

**ORTHO BIOTECH**

December 2004- October 2008

**Compensation Manager/** (Raritan, NJ, Corporate Office Position)Develop and Manage compensation plan and marketing of plan for field sales force of greater than 350 people

- Design, develop, communicate and implement the field sales force incentive compensation program
- Create a marketing communication plan that creates awareness and motivates field employees
- Project manage external relationships with vendors, agencies and compensation consultants
- Responsibility for managing incentive compensation budget/ forecast

**District Sales Manager /** (Northern California District, Field Based SF)Responsible for managing sales team selling into Oncology and Nephrology practices

- Managed over \$80 Million in Procrit® sales, \$5 Million in Doxil® sales and \$7 Million in Velcade® sales. Volume for both Procrit and Doxil #2 in Western Region
- 1Q08 Ranked #1 in the Nation/ 4Q07 Ranked #4 in the Nation/ 3Q07 Ranked #1 in the Nation (last 3 quarters in my district)
- Effectively manage a district of nine sales reps and a sales budget of over \$300,000
- Participation in regional and national level medical meetings for the Oncology franchise
- Coaching and training experience with sales representatives in Oncology, Gyn- Oncology, Women's Health, Internal Medicine, Long Term Care, Nephrology, Urology and Endocrinology

**ORTHO Mc-Neil PHARMACEUTICAL**

August 2001- December 2004

Feb 1998- Nov 1999

**Sales Representative/** (Manhattan & Queens, Field Based NYC)Specialized in sales for Women's Healthcare market

- Launched two new products in the GYN market and attained top 5% regional status for both
- Researched, developed and implemented a program to increase use of Ortho Evra with targeted GYN practices – program was adopted on a regional and national level for wider distribution
- Participated in field sales advisory boards, including the 2004 Field Sales Advisory Board, Territory Planning Task Force, 2003 Field Sales Advisory Board, New Dialpak Launch and Company Intranet
- Successfully trained several new sales representatives, one of whom won Rookie of the Year and Presidents Cup in his first year with the company
- Project Manager/Organizer for over 15 district and territory wide speaker/marketing programs

**EDUCATION****B.A. - JUSTICE-** American University 1996 GPA: 3.3

Study Abroad: London Spring 1994 and Netherlands Summer 1995

**COMMUNITY INVOLVEMENT**

Planning Committee Member, Great Oaks Charter School

Corlears School Annual Auction, Committee Member

**PERSONAL INTERESTS**

Reading, writing, music, snowboarding, fashion, yoga and travel.

**UPON REQUEST**

Reviews for each year at J&amp;J, References, Written Feedback &amp; Documentation on all sales rankings and awards

<b>School Trustee Background Information</b>
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Each proposed or prospective charter school board member must provide the information requested below.

**Name: Susan M. Akselrad**

**Charter School Name: Great Oaks Charter School**

**Charter School Address: c/o Great Oaks Foundation, 239 Greene Street, 4<sup>th</sup> Floor, New York, NY 10003**

To which charter school board position(s) and/or offices(s) are you asking to be appointed? (e.g., member, parent representative, vice-president, Finance committee, etc.): **Board Member**

As you may know, serving 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.

The Department’s consent is required **before** any new member may serve on the board. Accordingly, and in order to properly evaluate proposed board members, we ask that you please provide full and complete answers to each of the items below and provide the required assurance indicated. Note that providing false, misleading, and/or incomplete information may lead to a withdrawal of the Department’s approval, nullifying your appointment to the board.

### **Background**

1. Please provide your educational and employment history. You may do so by attaching a résumé.  Resume Attached
2. 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.
3. Please affirm that you have read Article 56 (I need to look at this) 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 indicate how you became aware of the charter school and the opportunity to serve as a member of its board.

**I was introduced to Michael Duffy, proposed Chair of the Board, through a mutual professional contact, Jay Cross, a member of the Great Oaks Foundation Board**

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

**I began my professional career as a school teacher and left the profession to pursue a new course in law. After 30 years as a practicing attorney, I am looking for opportunities to give back to the community in an area of critical interest and importance to me. My father was a teacher, school counselor, principal, trained in the traditions of the Normal School, who dedicated over forty years to the education of children. Moreover, I have raised two children who attended public schools and now have completed their college education. My personal and professional experience makes me well suited to a position as Board Member in the creation and start-up of this Charter School.**

6. 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):

**Since May 2011, I have been serving on the Board of Project Renewal, a New York city charity focused on providing, housing, health assistance, and jobs to the homeless.**

7. Please indicate whether or not 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).

Your response to question seven may also include any relevant written information that you wish to be considered in support of your application, including, but not limited to: certificates of conviction; any parole and/or probation documentation; any certificates, including any certificate of relief from disabilities; any proof of counseling and/or rehabilitation; any documentation attesting to your good conduct or your good character; and any letters of support from friends, family, co-workers, employers, etc.

8. 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 the answer to this question is yes, please provide an explanation.

### Conflict of Interest

9. Please indicate whether you, your spouse, or other family member knows any of the other prospective or current 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:  
**I have been introduced to all of the other prospective Board Members currently proposed for these position and we have worked together in a number of planning sessions in our effort to create a new, viable, center of education.**
10. Please indicate whether you, your spouse, or other family member knows any person who is a prospective or current charter school employee.  
 I / we do not know any such persons.  Yes.  
If yes, please indicate the precise nature of your relationship here:
11. 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, contracts or does business with, or plans to contract or do business with, the charter school, including but not limited to, the lease of real or personal property to the 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:
12. 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.  
 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.  Yes.
13. 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.

Not applicable because the School does not/will not contract with a management company or charter management organization.

I / we have no such interest.  Yes.

14. 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 is being or will be conducted.

Not applicable because the School does not/will not contract with a management company or charter management organization.

I / we do not anticipate conducting any such business.  Yes.

15. 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 items 9-12, you may so indicate.  This does not apply to me, my spouse or other family members.

Yes.

16. 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

17. 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 first bring my concerns to the full Board of Trustees at a meeting. If those concerns were not addressed appropriately or quickly enough, I would then bring my concerns to the Regents.**

### **Educational Philosophy**

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

**It is my understanding that the Great Oaks School is directed to promoting academic success and achieving the highest academic potential for New York City children so that they may be ensured success in college.**

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

**The Great Oaks curriculum highlights a "no excuses" philosophy**

**coupled with individualized, caring instruction. The program will feature well trained, experienced teachers working with motivated tutors during an elongated school day. The program will also encourage structure, accountability and advanced training opportunities for its tutors and teachers, taking advantage of the real world of the classroom to create the perfect environment for a pedagogic laboratory. Finally, students will be given the opportunity to stretch beyond the standard academic curriculum through exposure to Advanced Placement and genuine college courses.**

20. Please indicate what you believe to be the characteristics of a successful charter school. In particular, 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 successful Charter School must always remain accountable to the ideal of excellence. This requires setting standards for its teachers, students, parents, and community that emphasizing every student can learn and each student deserves the time and effort required to reach the highest potential. Similarly, expectations need to be set for students which leave no confusion that they are responsible for their own future, and that others will only make the commitment to assist, when the student recognizes the value of that effort by meeting it in kind. Pragmatically, these objectives can only be evaluated through regular student testing, frequent, open communications among teachers and students, teachers and parents, augmented by ongoing, continuous review, observation, and training of teachers.**

#### Other

21. Please explain your understanding of the appropriate role of a public charter school board member.
- Board members should be required to provide oversight over the activities of the Charter School and exercise some fiduciary responsibility for the well-being of the students and public funds that have been placed in the care of the Charter School.**
22. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies.
- I affirm**
23. Please provide any other information that you feel is pertinent to the Department's review.



**Susan Mustokoff Akselrad**



**EDUCATION**

B.S., 1974, Pennsylvania State University  
M.A., 1976, English Education Temple University  
J.D., 1982, Temple University Law Center

**OBJECTIVE**

Board Member – Great Oaks Charter School

**EMPLOYMENT HISTORY**

**Rhodia Inc., Cranbury, NJ**

Sr. Counsel, Litigation and Employment,  
2004-present  
Counsel, Litigation and Employment  
1997-2004

Provide litigation supervision, counseling, training, for broad facets of multi-billion dollar global chemical corporation. Experienced in contract review, crisis management, supervision of labor negotiations.

**Rhone-Poulenc Inc., Princeton, NJ (Predecessor to Rhodia Inc.)**

Sr. Litigation Attorney  
1990-1997  
Litigation supervision, counseling, and training

**Attorney - Independent Consultant**  
1990

**Margolis Edelstein Scherlis Sarowitz and Kraemer, Philadelphia, PA**

Associate  
1982-1987

**Philadelphia Board of Education, Philadelphia, PA**

School Teacher,  
1974-1979

Science, grades 4 - 7 to mainstream students, special education students classified L.D. (learning disabled) and E.D. (emotionally disturbed)  
Second grade  
Seventh grade (math)

<b>School Trustee Background Information</b>
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Each proposed or prospective charter school board member must provide the information requested below.

**Name: Alia Smith**

**Charter School Name: Great Oaks Charter School**

**Charter School Address: c/o Great Oaks Foundation, 239 Greene Street, 4<sup>th</sup> Floor, New York, NY 10003**

To which charter school board position(s) and/or offices(s) are you asking to be appointed? (e.g., member, parent representative, vice-president, Finance committee, etc.): **Board Member**

As you may know, serving 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.

The Department’s consent is required **before** any new member may serve on the board. Accordingly, and in order to properly evaluate proposed board members, we ask that you please provide full and complete answers to each of the items below and provide the required assurance indicated. Note that providing false, misleading, and/or incomplete information may lead to a withdrawal of the Department’s approval, nullifying your appointment to the board.

**Background**

1. Please provide your educational and employment history. You may do so by attaching a résumé.  Resume Attached
2. 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.
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 indicate how you became aware of the charter school and the opportunity to serve as a member of its board.

*I've known Michael Duffy and Ben Carson from my previous work at the MATCH School in Boston, where I advised them on the creation of the Great Oaks Charter School in*

*Newark. When I moved to New York for graduate school, the opportunity to serve on the board seemed like a good way to get involved.*

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

*As both a MATCH Corps tutor and Director of the Corps, I've had an up-close experience with how effective the MATCH model can be for students. I want to be a part of providing more students with the opportunity to succeed in college, using this high quality school model.*

6. 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):

7. Please indicate whether or not 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).

Your response to question seven may also include any relevant written information that you wish to be considered in support of your application, including, but not limited to: certificates of conviction; any parole and/or probation documentation; any certificates, including any certificate of relief from disabilities; any proof of counseling and/or rehabilitation; any documentation attesting to your good conduct or your good character; and any letters of support from friends, family, co-workers, employers, etc.

8. 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 the answer to this question is yes, please provide an explanation.

### **Conflict of Interest**

9. Please indicate whether you, your spouse, or other family member knows any of the other prospective or current 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:

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

I / we do not know any such persons.  Yes.

If yes, please indicate the precise nature of your relationship here:

11. 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, contracts or does business with, or plans to contract or do business with, the charter school, including but not limited to, the lease of real or personal property to the 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:

12. 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.

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.  Yes.

13. 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.

Not applicable because the School does not/will not contract with a management company or charter management organization.

I / we have no such interest.  Yes.

14. 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 is being or will be conducted.

Not applicable because the School does not/will not contract with a management company or charter management organization.

I / we do not anticipate conducting any such business.  Yes.

15. 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 items 9-12, you may so indicate.  This does not apply to me, my spouse or other family members.  Yes.

16. 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

17. 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 raise my concerns to the Chair at a meeting of the full Board. If I felt like my concerns weren't being addressed quickly or thoroughly enough, I would then share my concerns with the State Education Department.*

### **Educational Philosophy**

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

*Like MATCH, the mission of Great Oaks is to prepare our students for college success. Our philosophy is that preparing students for college happens best in an environment of high expectations and lots of individual attention.*

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

*Great Oaks will be adapting the successful methods we used at MATCH - high dosage tutoring, a No Excuses school culture, lots of communication with families, lots of time on task and data-driven instruction across the school.*

20. Please indicate what you believe to be the characteristics of a successful charter school. In particular, 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.

*To me, successful charter schools are mission-driven organizations where every member of the school team - leaders, teachers, staff, students and families - know what the mission is and are supportive of every member of the school community. Successful charter schools are also sustainable organizations - they retain talent and shepherd*

*resources. This board will make sure Great Oaks is successful by holding the school's leadership accountable for meeting the school's mission in a sustainable way.*

### **Other**

21. Please explain your understanding of the appropriate role of a public charter school board member.

*The appropriate role of a board member is to exercise oversight of the school's leadership in all aspects of the school's operation to ensure that the school is holding true to its mission and abiding by its charter agreement and the law.*

22. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies.

I affirm

23. Please provide any other information that you feel is pertinent to the Department's review.

A Statement of Assurance must be signed by and submitted for each proposed Board Member.

### STATEMENT OF ASSURANCE

I, Alia Smith (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 2<sup>nd</sup> Degree, a Class A Misdemeanor.

Alia Smith  
Signature

2.7.10  
Date

*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 below will be redacted.*

**Business Telephone:** n/a

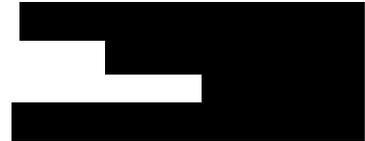
**Business Address:** n/a

**E-Mail Address:** [REDACTED]

**Home Telephone:** [REDACTED]

**Home Address:** [REDACTED]

ALIA J. SMITH



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**EDUCATION**

2011-present **COLUMBIA BUSINESS SCHOOL** New York, NY  
**MBA**, Social Enterprise, expected graduation May 2013  
GMAT: 730 (98<sup>th</sup> percentile)  
*Activities:* Nonprofit Board Leadership Program; Cluster Academic Representative; Bernstein Leadership and Ethics Board; CBS Academics Committee  
*Honors:* Recipient of the *Feldberg Fellowship*, Columbia Business School's most prestigious award; also awarded the *Forté Fellowship* for outstanding women earning MBAs.

2000-2004 **SPELMAN COLLEGE** Atlanta, GA  
**BA**, Psychology, May 2004  
GPA 3.03  
*Activities:* Collegiate 100 of Atlanta (Board Member, Mentor, and Instructor)

**EXPERIENCE**

2004-2011 **MATCH Charter Public High School** Boston, MA  
**MATCH Corps Director** (2008-2011)

- Selected, trained and supervised 41 first-year and 6-8 second-year Corps members in an integrated residential service program that provides individual support to all students
- Implemented a streamlined management and feedback system utilizing second-year Corps members
- Served on all leadership teams, providing operational, academic/instructional, cultural and strategic planning guidance in a school that consistently outperforms all of the other 22 public, non-exam high schools in Boston
- Oversaw AmeriCorps component of the MATCH Corps program, including: partner site coordination; grant objective management; and data collection (25 AmeriCorps members per year)
- Led tutoring aspect of initiative, resulting in a 25% decrease in student attrition

**Director of Special Projects** (2005-2008)

- Piloted a program using goal-setting and incentives to drive student achievement
- Gathered teacher interviews about classroom experiences to be published in aggregate in 2010
- Spearheaded creation of new intra-school systems and logistics

**MATCH Corps Fellow** (2004-2005)

- One of 45 founding members of the program
- Drove the academic and behavioral progress of four students, including three repeating students, in grades 9-11
- Created tutorial materials and in-class assessments to support three English courses for grades 10, 11, and 12

**ADDITIONAL INFORMATION**

*Volunteer Work and Extracurricular Activities:* Emerging Leaders (Associate Director), Minds Matter Mentor, Healthy Living Club, Wine Society, Cluster Q (LGBT) Allies, National Alumnae Association of Spelman College, Executive Board member; helped to reestablish a then-defunct chapter and found the now nationally recognized girls' conference.  
*Interests:* Enjoy reading, exercising and live music

<b>School Trustee Background Information</b>
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Each proposed or prospective charter school board member must provide the information requested below.

**Name:** Michael Duffy

**Charter School Name:** **Great Oaks Charter School**

**Charter School Address:** c/o Great Oaks Foundation 239 Greene Street, 4<sup>th</sup> Floor, New York, NY 10003

To which charter school board position(s) and/or offices(s) are you asking to be appointed? (e.g., member, parent representative, vice-president, Finance committee, etc.):  
**Board Member**

As you may know, serving 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.

The Department’s consent is required **before** any new member may serve on the board. Accordingly, and in order to properly evaluate proposed board members, we ask that you please provide full and complete answers to each of the items below and provide the required assurance indicated. Note that providing false, misleading, and/or incomplete information may lead to a withdrawal of the Department’s approval, nullifying your appointment to the board.

**Background**

1. Please provide your educational and employment history. You may do so by attaching a résumé.  Resume Attached
2. 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.
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 indicate how you became aware of the charter school and the opportunity to serve as a member of its board.

Steve Klinsky, the founder and owner of Victory Schools asked me to come to work for him as an employee of Victory in the summer of 2010. I did so with the understanding that my primary focus would be on the

creation of several new charter schools that would be organized outside of Victory's control, supported by a non-profit organization. The salary I draw from Victory has been a pro bono contribution by Mr. Klinsky/Victory Schools toward the creation of that new non-profit endeavor.

In October of 2010 the Great Oaks Foundation was incorporated with a board that included Mr. Klinsky as its Chair and me as its President. The mission of the Great Oaks Foundation is to raise and provide resources to the Great Oaks charter school in Newark and to support the launch of a second Great Oaks charter school in New York City.

This new charitable enterprise—the Great Oaks Foundation—was created with the proviso that neither it, nor any Great Oaks school, would ever contract with Victory for services, so as to avoid a conflict of interest. Several months ago the Foundation was recognized by the Internal Revenue Service as a tax exempt organization.

In addition to raising funds, the Great Oaks Foundation gives the Great Oaks school in Newark and the prospective NYC school, assistance with facilities. Just this month, that assistance came to fruition in Newark with the ground-breaking ceremony for a facility that is being created as a long-term home for Great Oaks. The Great Oaks Foundation is similarly attempting to lay the ground work for the Great Oaks School in New York City.

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

A dozen years ago I helped to launch the MATCH school in Boston as one of its founding board members. Shortly before doing so, I had served as the Chair and Commissioner of Massachusetts civil rights enforcement agency. With the value of hindsight I am increasingly aware of the continuity between those two roles. Through my involvement with MATCH, I witnessed the promise of a charter school and what it could do to erase the achievement gap between black and Hispanic students from the inner-city and their white suburban counterparts. I have been involved in the charter sector ever since, first as a board member of this school masterminded by the incomparable Michael Goldstein; later as the Executive Director of a charter school—City on a Hill—which was desperately in need of a turnaround, which I led; then as a charter authorizer at the New York City Department of Education, under the leadership of Joel Klein.

In the summer of 2010, I was provided with the opportunity to launch Great Oaks, which has brought some of the successful elements of

the MATCH model to Newark. In the Fall of 2013, I hope to do the same in New York City. I have two driving motivations: to do well by the middle and high school students who enroll in Great Oaks by preparing them for college success; and to create a pipeline of highly effective teachers to serve in the classrooms where they are most needed in both charter and district schools.

6. 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):

I serve as the Chair of the board of the Great Oaks school of Newark; I am also a member of the Vestry of St. Bartholomew's Episcopal Church of Park Avenue. These experiences, plus my past service as a board member at MATCH, Executive Director of City on a Hill, and co-chair of the Board of the Human Rights Campaign, have given me insights into what is required to create and maintain a high-functioning governing board.

7. Please indicate whether or not 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).

Your response to question seven may also include any relevant written information that you wish to be considered in support of your application, including, but not limited to: certificates of conviction; any parole and/or probation documentation; any certificates, including any certificate of relief from disabilities; any proof of counseling and/or rehabilitation; any documentation attesting to your good conduct or your good character; and any letters of support from friends, family, co-workers, employers, etc.

8. 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 the answer to this question is yes, please provide an explanation.

### Conflict of Interest

9. Please indicate whether you, your spouse, or other family member knows any of the other prospective or current 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:

I first met Robert Ludlum socially in Boston over 20 years ago, and then fell out of touch with him when he moved away. We re-kindled our friendship when we both moved to New York City four years ago and have been friends since.

I am acquainted with the other members of the prospective board—Alia Smith, Paul McDonald, Susan Akselrad, and Kate Hayes—but not more than that.

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

I / we do not know any such persons.  Yes.

If yes, please indicate the precise nature of your relationship here:

11. 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, contracts or does business with, or plans to contract or do business with, the charter school, including but not limited to, the lease of real or personal property to the 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:

12. 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.

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.  Yes.

13. 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.

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

14. 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 is being or will be conducted.  
 Not applicable because the School does not/will not contract with a management company or charter management organization.  
 I / we do not anticipate conducting any such business.  Yes.
15. 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 items 9-12, you may so indicate.  This does not apply to me, my spouse or other family members.  Yes.

**I am the President of the Board of the Great Oaks Foundation, the partner organization for the Great Oaks Charter School. The Foundation is not a management company and there is no proposed business relationship between the Foundation and the school.**

16. 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
17. 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 think one way that you prevent board members from acting in their narrow self-interest is to take great care in choosing who should join the board in the first place. The best board members are those people who have no direct stake in the outcome of any board decision and are therefore able to act in the best long-term interests of the school and its students.

My reaction to an instance of self-dealing on the board, should it arise, would depend on the nature and severity of the conflict. First, it is imperative to gather the facts surrounding a suspected instance of self-dealing to be certain of the issues. Once confirmed, I would confront the board member privately and ask them to recuse themselves from voting or

even working on an issue where they stood to benefit personally from the outcome. If it was an issue that raised doubts about the integrity of a board member, I would ask them to resign from the board. In an extreme case, I would seek their ouster by a vote of the full board, in consultation with the authorizer.

### **Educational Philosophy**

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

The mission of the Great Oaks Charter School is to prepare its students for success in college. It does this through the provision of individualized tutoring to every student, every day.

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

Great Oaks will accomplish its mission through high expectations for all students coupled with the provision of individualized tutoring to every student, every day.

20. Please indicate what you believe to be the characteristics of a successful charter school. In particular, 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 successful charter school is one that is clear on its mission and that has a program that is focused in all that it does on achieving that mission. A high-functioning board never loses sight of the key indicators that are associated with being on track to achieve its mission.

### **Other**

21. Please explain your understanding of the appropriate role of a public charter school board member.

**The appropriate role of a charter school board member is to provide oversight of school staff, ensuring that the school is meeting its mission while abiding by the law and acting as a trustworthy steward of public funds. Further, a charter school board member helps to set strategic goals for the school and its leadership.**

22. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies.

**I affirm**

23. Please provide any other information that you feel is pertinent to the Department's review.



## **Michael Thomas Duffy**

Michael Thomas Duffy is the Managing Director for Victory Education Partners. In this role he has spearheaded an initiative to launch a new network of charter schools – the Great Oaks Charter Schools – the first of which opened this year in Newark, NJ.

Duffy came to Victory after having served as Director of the Charter School Office for the New York City Department of Education, working under the leadership of Chancellor Joel Klein for three years. There he led efforts to expand the number of high quality charter schools operating in NYC, which doubled from 66 to 125 during his tenure. His time at the Department was marked by a focus on charter school facilities: both sharing Department of Education buildings as well as helping charters to identify, finance and build their own school buildings.

Prior to this position, Duffy was the Executive Director of City on a Hill Charter Public School, a small college-prep high school in Boston. As Executive Director, Duffy led the turnaround of what had been a charter school facing closure. Before that, Duffy was a founding board member of the MATCH Charter High school in Boston, where he led a capital campaign for a school building that now serves as the school's permanent home. MATCH has been consistently named as one of the top public high schools in the country by US News & World Report and Newsweek magazines.

Duffy's efforts in education grew out of his work in the civil rights movement. In 1991 Duffy was appointed by the Governor of Massachusetts as Chairman and Commissioner of the state civil rights commission. During that time Duffy testified before Congress several times and appeared at a White House conference on matters relating to the enforcement of civil rights laws. Duffy later served in the Governor's cabinet, where he oversaw the nine business regulatory agencies of Massachusetts, including the Division of Banks & Insurance, the Department of Public Utilities and the Board of Registration in Medicine. He later served as the Executive Director of the AIDS Action Committee of Massachusetts.

Duffy has been active in his community in several volunteer positions. From 1997 until 2002 Duffy served on the national board of Trustees of the Human Rights Campaign, for several years as the co-chair. He currently serves on the Vestry of St. Bartholomew's Church.

He has a Master in Public Policy degree from the JFK School of Government at Harvard University where he wrote his thesis on business support for child day care. He graduated Phi Beta Kappa from Trinity College in Connecticut with a degree in Economics. As an undergraduate, Duffy interned in both the Connecticut Legislature and the British Parliament.

## **By-Laws of Great Oaks Charter School**

### **ARTICLE I**

#### **NAME**

The name of the Corporation is Great Oaks Charter School (hereinafter the “Corporation”).

### **ARTICLE II**

#### **MEMBERSHIP**

The Corporation has no members. The rights which would otherwise vest in the members vest in the Directors of the Corporation (hereinafter the “Trustees”). Actions which would otherwise require approval by a majority of all members or approval by the members require only approval of a majority of all Trustees or approval by the Board of Trustees (hereinafter the “Board”).

### **ARTICLE III**

#### **BOARD OF TRUSTEES**

**A. Powers.** The Board shall conduct or direct the affairs of the Corporation and exercise its powers, subject to the limitations of the New York Education Law, New York Not-for-Profit Corporation Law, the Corporation’s Charter, and these 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, agents, and employees 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 a charter school;
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;
9. To lend money received only from private sources and to accept conditional or unconditional promissory notes therefore, whether interest or non-interest bearing, or secured or unsecured; and
10. 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 Bylaws..

**B. Number of Trustees.** The number of Trustees of the Corporation shall be not less than 5, nor more than 7. The Board shall fix the exact number of Trustees, within these limits, by Board resolution or amendment of the Bylaws. Trustees, officers or employees of any single organization shall hold no more than 40 percent of total seats comprising the Board.

**C. Election of Trustees.**

1. Election. The Board shall elect the 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 Trustee faithfully and effectively.

3. Interested Persons. Not more than 49% of the persons serving on the Board may be interested persons. An “interested person” is: (1) any person currently being compensated by the School for services rendered to it within the previous 12 months, whether as a full-time or part-time employee, independent contractor or otherwise; (2) any sister, brother, ancestor, descendant, spouse, sister-in-law, brother-in-law, daughter-in-law, son-in-law, mother-in-law or father-in-law of any such person; or (3) voting members who are affiliated with any entity other than the school itself.

4. Term of Office.

a. The Trustees elected or appointed upon the founding of the Board 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.

c. 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 three years.

d. A Trustee’s term of office shall not be shortened by any reduction in the number of Trustees resulting from amendment of the Corporation’s Charter or the Bylaws or other Board action.

e. 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 on July 1 of a given year at the Annual Meeting for that year, or at a Regular Meeting designated for that purpose, or at a Special Meeting called for that purpose.

**D. Removal of Trustees.** The Board may remove a Trustee in accordance with the provisions of the New York Education Law and the New York Not-for-Profit Corporation Law.

**E. Resignation by Trustee.** A Trustee may resign by giving written notice to the Board Chair or Secretary. The resignation is effective upon receipt of such notice, or at any later date specified in the notice. The acceptance of a resignation by the Board Chair or Secretary shall not be necessary to make it effective, but no resignation shall discharge any accrued obligation or duty of a Trustee. If any Trustee shall fail to attend three consecutive meetings without excuse accepted as satisfactory by the Trustees, he or she shall be deemed to have resigned, and the vacancy shall be filled.

**F. 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 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.

**G. Compensation of Trustees.** Trustees shall serve without compensation. However, the Board may approve reimbursement of a Trustee's actual and necessary expenses while conducting School business.

#### **ARTICLE IV** **PRINCIPAL OFFICE**

The School's principal office shall be at the actual School or at such other place as the Board may select by resolution or amendment of the Bylaws. The Secretary shall note any change in principal office on the copy of the Bylaws maintained by the Secretary.

#### **ARTICLE V** **MEETINGS OF THE BOARD**

**A. Place of Meetings.** Board Meetings shall be held at the Corporation's principal office or at any other reasonably convenient place as the Board may designate.

**B. Annual Meetings.** An Annual Meeting shall be held in the month of July 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 monthly throughout the year and other times as the Board determines.

**D. Special Meetings.** A Special Meeting shall be held at any time called by the Chair, 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.** Public notice of Board meetings shall be consistent with the Public Officers Law. Notices of Board Meetings shall be given to the Board as follows:

1. Annual Meetings and Regular Meetings may be held without notice if the Bylaws or the Board fix the time and place of such meetings.

2. Special Meetings shall be held upon four days notice by first-class mail or 48 hours notice delivered personally or by telephone, facsimile, or e-mail. Notices will be deemed given when deposited in the United States mail, addressed to the recipient at the address shown for the recipient in the Corporation's records, and first-class postage prepaid; when personally delivered in writing to the recipient; or when faxed, e-mailed, or communicated orally, in person or by telephone, to the Trustee or to a person whom it is reasonably believed will communicate it promptly to the Trustee.

**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. This provision shall not permit waiver of the public notice provisions contained in Article 7 of the Public Officers Law (the Open Meetings Law).

## **ARTICLE VI** **ACTION BY THE BOARD**

**A. Quorum.** Unless a greater proportion is required by law, a majority of the entire Board of Trustees shall constitute a quorum for the transaction of any business or of any specified item of 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. If 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 (except as set forth under Article III.C.1), a quorum of Trustees must be either physically present or participating via video-conferencing equipment to lawfully conduct a Board Meeting of the Corporation. Additional Trustees may participate, but may not vote or be counted toward quorum, in a Board meeting through use of conference telephone, or similar communication equipment, to the extent permitted by Article 7 of the Public Officer's Law (the Open Meetings Law), so long as all Trustees participating via video-conferencing or physically present in such meeting make up a quorum and can hear one another and there is no objection from any Trustee or any person in the public audience.

**C. Committees.**

1. Appointment of Committees. The Board may create committees for any purpose, and the Chair of the Board shall appoint members to and designate the chairs of such Boards. A Board Standing Committee will consist of not less than three Trustees, except in the case of the Executive Committee. The Executive Committee will consist of not less than five Trustees. All committee members shall serve at the pleasure of the Chair of the Board.

2. Authority of Board Committees. The Chair 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 fixing of Trustee compensation for serving on the Board or on any committee;
- d. The amendment or repeal of Bylaws or the adoption of new Bylaws;
- e. The appointment of other committees of the Board, or the members of the committees.

3. 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, including compliance with the Open Meetings Law.

4. Initial Committees. The following Board Committees shall be created:

- a. Finance. This committee will oversee the budget, accounting, and audits.
- b. Academic. This committee will provide regular reports on academic data

**D. Standard of Care.**

1. 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.

2. 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 D.1., and after reasonable inquiry when the need is indicated by the circumstances, and without knowledge that would cause such reliance to be unwarranted.

3. 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 D.1., 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 proscribed by the New York State Constitution and/or any other law.

**E. Rights of Inspection.** Every Trustee has the right to inspect 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.

**F. Participation in Discussions and Voting.** 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 be excused 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; or 4) any other matter at the discretion of a majority of the Trustees then present.

**G. Duty to Maintain Board Confidences.** Every Trustee has a duty to maintain the confidentiality of all Board actions which are not required by law to be open to the public, including discussions and votes which take place at any Executive Sessions of the Board. Any Trustee violating this confidence may be removed from the Board.

## **ARTICLE VII** **OFFICERS**

**A. Officers.** The Officers of the Corporation consist of a President (hereinafter “Chair”), Vice President (hereinafter “Vice Chair”), a Secretary, and a Chief Financial Officer (hereinafter “Treasurer”). The Corporation also may have such other officers as the Board deems advisable.

1. Chair. Subject to Board control, the Chair has general supervision, direction, and control of the affairs of the Corporation, and such other powers and duties as the Board may prescribe. If present, the Chair shall preside at Board meetings.

2. Vice Chair. If the Chair is absent or disabled, the Vice Chair shall perform all the Chair’s duties and, when so acting, shall have all the Chair’s powers and be subject to the same restrictions. The Vice Chair shall have other such powers and perform such other duties as the Board may prescribe.

3. Secretary. The Secretary shall: 1) 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; 2) keep or cause to be kept a copy of the Corporation’s Charter and Bylaws, with amendments; (c) give or cause to be given notice of the Board and Committee meetings as required by the Bylaws; and 4) have such other powers and perform such other duties as the Board may prescribe.

4. Treasurer. The Treasurer shall: 1) keep or cause to be kept adequate and correct accounts of the Corporation’s properties, receipts and disbursements; 2) make the books of account available at all times for inspection by any Trustee; (3) 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; 4) disburse or cause to be disbursed the Corporation’s funds as the Board directs; 5) render or cause to be rendered to the Chair 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; 6) prepare or cause to be prepared any reports on financial issues required by an agreement on loans; and (7) 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 Chair.

3. Term of Office. Each Officer serves at the pleasure of the Board, holding office until resignation, removal, disqualification from service, or until his or her successor is elected.

**C. Removal and Resignation.** The Board may remove any Officer, either with or without cause, at any time. Such removal shall not prejudice the Officer’s rights, if any, under an employment contract. 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.

**ARTICLE VIII**

**NON-LIABILITY OF TRUSTEES**

The Trustees shall not be personally liable for the Corporation’s debts, liabilities, or other obligations.

**ARTICLE IX**

**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 intestate was a Director, Officer, employee or agent of the Corporation, against judgments, fines, amounts paid in settlement and reasonable expenses, including attorneys’ fees.

**ARTICLE X**

**SELF-DEALING TRANSACTIONS**

The Corporation shall not engage in any self-dealing transactions, except as approved by the Board, in accordance with applicable federal and state law. “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, and 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.

**ARTICLE XI**  
**OTHER PROVISIONS**

**A. Fiscal Year.** The fiscal year of the Corporation begins on July 1 of each year and ends on June 30.

**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, checks, drafts, promissory notes, orders for the payment of money, and other evidence of indebtedness of the Corporation may be signed by the Chairperson of the Board, Executive Director, or Treasurer, except in cases involving an amount greater than \$7,500 in which two authorized signatures are required.

**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 are not intended to limit or define the scope or effect of any provisions.

**E. Interpretation of Charter.** Whenever any provision of the Bylaws is in conflict with the provisions of the Charter, the provisions of the Charter shall control.

**ARTICLE XII**  
**AMENDMENT**

A majority of the Trustees may adopt, amend or repeal these Bylaws.

**CERTIFICATE OF SECRETARY**

The undersigned does hereby certify that the undersigned is the Secretary of Great Oaks Charter School Charter School, an education Corporation duly organized and existing under the laws of the State of New York; that the foregoing Bylaws of said Corporation were duly and regularly adopted as such by the Board of Trustees of said Corporation; and that the above and foregoing Bylaws are now in full force and effect.

---

Secretary

---

Date

**Great Oaks Charter School**

**CODE OF ETHICS**

1. The Board of Trustees shall conduct or direct the affairs of the school and exercise its powers, subject to the limitations of the Education Law, Not-for-Profit Corporation Law, the school's charter and its bylaws. The Board may delegate aspects of the management of the activities of the school to others, so long as the affairs of the school are managed, and its powers are exercised, under the Board's ultimate jurisdiction.

2. Not more than 40 percent of the people serving on the Board of Trustees of the school may be comprised of (a) people currently being compensated by the school for services rendered to it within the previous 12 months, whether as a full-time or part-time employee, independent contractor or otherwise; or (b) any sister, brother, ancestor, descendant, spouse, sister-in-law, brother-in-law, daughter-in-law, son-in-law, mother-in-law or father-in-law of any such person.

3. 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 be excused from the discussion and vote on any matter involving such Trustee relating to: (a) a “self-dealing transaction” (see below); (b) a conflict of interest; (c) indemnification of that Trustee uniquely; or (d) any other matter at the discretion of a majority of the Trustees.

4. The Board of Trustees and the school shall not engage in any “self-dealing transactions,” except as approved by the Board. "Self-dealing transaction" means a transaction to which the school is a party and in which one or more of the Trustees has a material financial interest. 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 (a) is approved or authorized by the Board in good faith and without unjustified favoritism and (b) 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. The Board of Trustees and employees of the school shall not engage in any less-than-arm’s-length (LTAL) transactions.

5. A Trustee, officer, or employee having an interest in a contract, other transaction or program presented to or discussed by the Board of Trustees for authorization, approval, or ratification shall make a prompt, full and frank disclosure of his or her interest to the Board prior to its acting on such contract or transaction. Such disclosure shall include all relevant and material facts known to such person about the contract or

transaction that might reasonably be construed to be adverse to the Board's interest. A person shall be deemed to have an "interest" in a contract or other transaction if he or she is the party (or one of the parties) contracting or dealing with the school, or is a Director, Trustee or Officer of or has a significant financial or influential interest in the entity contracting or dealing with the school.

6. Trustees representing any entity proposing to do business with the charter school shall disclose the nature and extent of such business propositions.

7. No Trustee, officer, or employee of a for-profit corporation having a business relationship with the charter school shall serve as voting member of the Board of Trustees for the duration of such business relationship, provided, however, that this provision shall not apply to the following:

- a) Individuals associated with a partnership, limited liability corporation, or professional corporation, including but not limited to doctors, accountants and attorneys;
- b) Individuals associated with an educational entity (including but not limited to schools of education), some of whose faculty may be providing paid services directly or indirectly to such charter school;
- c) Individuals associated with a bank, insurance, mutual fund, investment bank, stock brokerage, financial planning, or other financial services organization;  
or
- d) Members of the faculty of the charter school.

8. In no instance shall a Trustee, officer, or employee of a for-profit educational management organization having a business relationship with the charter school serve as a voting member of the Board of Trustees for the duration of such business relationship.

9. Trustees, officers, or employees of any single organization shall hold no more than 40 percent of total seats comprising the Board of Trustees.

10. Trustees shall avoid at all times engaging in activities that would appear to be unduly influenced by other persons who have a special interest in matters under consideration by the Board. If this occurs, a Trustee shall write a letter disclosing all known facts prior to participating in a Board discussion of these matters, and the Trustee's interest in the matter will be reflected in the Board minutes.

11. Trustees shall make all appropriate financial disclosures whenever a grievance of conflict of interest is lodged against them.
12. Trustees shall not use his or her position with the charter school to acquire any gift or privilege worth \$50 or more that is not available to a similarly situated person, unless that gift is for the use of the charter school.
13. Charter school Trustees, officers, or employees never may ask a subordinate, a student, or a parent of a student to work on or give to any political campaign.



February 22, 2012

To Whom It May Concern,

I am writing on behalf of the Board of Directors of the Great Oaks Foundation to express the commitment of the Foundation's Board of Trustees to supporting the successful launch of the Great Oaks Charter School in Community School District 2, New York City.

The Foundation was incorporated in New York City in 2011 to create and support a new kind of public school model.

Our first project was the launch of the Great Oaks Charter School of Newark. For that school, the Foundation played a key role in supporting the charter application process, facilities acquisition, significant fundraising and helping the school's Board with recruitment of the initial team of staff and the first cohort of students.

The Great Oaks Foundation is excited to play the same role for the creation of the next Great Oaks school in Lower Manhattan. We are committed to providing the resources to support the launch of a great new school for families in CSD 2.

Please find attached a copy of our 501(c)(3) determination letter from the IRS and a copy of our Certificate of Incorporation for New York State. The Great Oaks Foundation is a not-for-profit, organized as a public charity. We are not a Charter Management Organization and we do not assess fees from the schools we support. I have been involved in education reform for over ten years as have many of my fellow board members and we are committed to the Foundation and its goals and priorities.

Please don't hesitate to contact me if you have any questions about the Foundation's work or our involvement in the proposed Great Oaks Charter School in New York City. We look forward to working with you as we bring this new school option to fruition.

Sincerely,

A handwritten signature in blue ink, appearing to read "Adam Weinstein", with a long, horizontal flourish extending to the right.

Adam Weinstein, Treasurer

Great Oaks Foundation



**Great Oaks Foundation - Board of Directors**

Steven Klinsky, Chair – Founder and Chief Executive, New Mountain Capital;

L. Jay Cross – President, Related Hudson Yards; Former President, New York Jets LLC

Peggy Shaughnessy – Managing Director, Goldman Sachs

Adam Weinstein, Treasurer – Controller, New Mountain Capital

Maureen Sherry – Author; Education Activist

Stig Leschly – Founder, Newark Charter School Fund; Trustee, MATCH School

Gregorio Mayers – Senior Policy Adviser to the Mayor, City of New York

Fred Brown – Chairman, National Black Republican Council; President, New York State Black Republican Council

Mary Brabeck (Special Advisor to the Board) – Dean, Steinhardt School of Culture, Education and Human Development, NYU

Michael Thomas Duffy - President, Great Oaks Foundation

Great Oaks Charter School - Attachment 7  
INTERNAL REVENUE SERVICE  
P. O. BOX 2508  
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: DEC 13 2011

GREAT OAKS FOUNDATION INC  
C/O MICHAEL T DUFFY  
72 E 93RD ST  
NEW YORK, NY 10128

Employer Identification Number:  
27-5281234  
DLN:  
101211070  
Contact Person:  
ROXANNE M HAYTHORN ID# 52416  
Contact Telephone Number:  
(877) 829-5500  
Accounting Period Ending:  
June 30  
Effective Date of Exemption:  
February 8, 2011  
Addendum Applies:  
No

Dear Applicant:

We are pleased to inform you that upon review of your application for tax exempt status we have determined that you are exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code. Contributions to you are deductible under section 170 of the Code. You are also qualified to receive tax deductible bequests, devises, transfers or gifts under section 2055, 2106 or 2522 of the Code. Because this letter could help resolve any questions regarding your exempt status, you should keep it in your permanent records.

Organizations exempt under section 501(c)(3) of the Code are further classified as either public charities or private foundations. We determined that you are a private foundation within the meaning of section 509(a) of the Code. You are required to file Form 990-PF annually.

Please see enclosed Publication 4221-PF, Compliance Guide for 501(c)(3) Private Foundations, for some helpful information about your responsibilities as an exempt organization.

We have sent a copy of this letter to your representative as indicated in your power of attorney.

Sincerely,



Lois G. Lerner  
Director, Exempt Organizations

Enclosure: Publication 4221-PF

Letter 1076 (DO/CG)

CERTIFICATE OF INCORPORATION  
OF  
GREAT OAKS FOUNDATION, INC.

Under Section 402 of the Not-for-Profit Corporation Law of the State of New York.

THE UNDERSIGNED, a natural person of the age of eighteen (18) years or over, for the purpose of forming a not-for-profit corporation under Section 402 of the Not-for-Profit Corporation Law of the State of New York, does hereby certify:

FIRST: The name of the corporation is GREAT OAKS FOUNDATION, INC. (hereinafter referred to as the "Corporation").

SECOND: The Corporation is a corporation as defined in subparagraph (a)(5) of Section 102 of the Not-for-Profit Corporation Law of New York and shall be a Type B corporation as defined under Section 201 thereof.

THIRD: The purposes for which the Corporation is formed are within the purview of Section 501(c)(3) of the Internal Revenue Code of 1986, as amended (hereinafter referred to as the "Code")(or the corresponding provisions of any future United States Internal Revenue Law), as follows:

- (1) The purposes of this corporation shall be to exclusively carry out charitable and educational purposes including to help establish one or more charter schools in the state of New York;

(2) To work with educators, schools and communities to form and foster charter schools that aim to close the achievement gap between urban and suburban students;

(3) To provide educational career development and training for charter school educators and administration;

(4) To provide support for the creation of newly formed charter schools, as well as for the development, sustenance and growth of both newly formed and outstanding charter schools, or other schools or otherwise for educational purposes, including providing help with application writing and designing a model for the school day which is centered around fostering student achievement;

(5) To solicit, raise, hold, invest and expend funds for the advancement and furtherance of such purposes;

(6) To provide guidance on charter school facility options;

(7) To undertake such other activities as shall be consistent with the foregoing; and

(8) To conduct all lawful activities, provided that such activities shall be in furtherance of any one or more of the aforesaid exempt purposes of the Corporation.

Nothing herein shall authorize this Corporation, directly or indirectly, to engage in or include among its purposes any activities mentioned in subdivision (a) through (v) of Section 404 of the Not-for-Profit Corporation Law.

The Corporation, in furtherance of its corporate purposes above set forth, shall have all the powers enumerated in Section 202 of the New York Not-for-Profit

Corporation Law, subject to any limitations provided in the New York Not-for-Profit

Corporation Law or any other statute of the State of New York, including the following:

To manage one or more charter schools in the State of New York pursuant to management agreements entered into with the non-profit entity holding the charter, consistent with Article 56 of the Education Law;

To acquire any property, real or personal, by grant, gift, purchase, lease, devise, bequest, or otherwise, and to hold, use, enjoy, manage, sell, deal with, lease, pledge, and dispose of the same in such manner, on such terms and for such considerations as the Corporation may determine;

To invest and reinvest its funds in such mortgages, bonds, debentures, shares of preferred and common stock, and in such other securities and property as the Corporation shall deem advisable, subject to the limitations and conditions contained in any gift, devise or bequest; and

To borrow money and contract debts in connection with the acquisition of property or otherwise in aid of any of the purposes of the Corporation; and to issue or dispose of its obligations for any amount so borrowed, and to mortgage or pledge its property to secure the payment of such obligations, or of any debt contracted for such purposes.

Notwithstanding any other provision of this document, the organization shall not carry on any other activities not permitted to be carried on (a) by an organization exempt from federal income tax under section 501(c)(3) of the Code (or corresponding section of any future United States Internal Revenue Law), or (b) by an organization, contributions to which are deductible under section 170(c)(2) of the Code, (or the corresponding section of any future United States Internal Revenue Law).

The corporation is not organized for pecuniary profit and no part of its net earnings shall inure to the benefit of any member, director, officer or to any other individuals other than those who shall properly benefit from the carrying out of its purposes; provided that subject to the prohibitions contained in Section 515 of the Not-for-Profit Corporation Law, the Corporation shall be authorized to pay reasonable salaries or other compensation to its officers, directors and members and to other persons, including members, for personal services actually rendered in connection with the carrying out of any proper corporate purpose or purposes.

No substantial part of the activities of the organization shall be the carrying on of propaganda, or otherwise attempting to influence legislation, and the organization shall not participate in, or intervene in (including the publishing or distribution of statements) any political campaign on behalf of any candidate for public office.

In the event of dissolution or liquidation of this Corporation, whether voluntary or involuntary, or by operation of law, no member, trustee, officer of the Corporation, or any private individual shall be entitled to share in the distribution of the corporate assets. The assets of the Corporation remaining after the payment or satisfaction of its liabilities shall be distributed, subject to the approval of a Justice of the Supreme Court of the State of New York, exclusively for one or more exempt purposes within the meaning of Section 501(c)(3) of the Code (or the corresponding provisions of any future United States Internal Revenue Law) only to one or more organizations whose purposes are exclusively religious, charitable, scientific, literary and/or educational, or for

the prevention or cruelty to children or animals, and which organization or organizations shall qualify as exempt at such time under Sections 501(a) and 501(c)(3) of such Code (or the corresponding provisions of any future United States Internal Revenue Law) or shall be distributed to the federal government, or to a state or local government, for an exclusively public purpose.

In any taxable year in which the Corporation may be treated as a private foundation as described in Section 509(a) of the Code, the Corporation shall contribute its income for said period at such time and manner as not to subject it to tax under Section 4942 of the Code; and the Corporation shall not (a) engage in any act of self-dealing as defined in Section 4941(d) of the Code; (b) retain any excess business holdings as defined in Section 4943(c) of the Code; (c) make any investments in such manner as to subject the Corporation to tax under Section 4944 of the Code; or (d) make any taxable expenditures as defined in Section 4945(d) of the Code.

FOURTH: The names and addresses of the initial directors of the Corporation, each of whom is of full age, are as follows:

Name	Address
Steven B. Klinsky	New Mountain Capital 787 7th Avenue, 49th Floor New York, New York 10019
Jay Cross	Related Companies 60 Columbus Circle New York, New York 10023
Peggy Shaughnessy	Goldman Sachs 200 West Street New York, New York 10282

FIFTH: The Corporation shall not have members.

SIXTH: The office of the Corporation is to be located in the County of New York, State of New York.

SEVENTH: The Secretary of State is hereby designated as agent of the Corporation upon whom process against the Corporation 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:

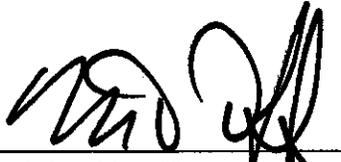
Steven B. Klinsky  
c/o New Mountain Capital  
787 7th Avenue, 49th Floor  
New York, New York 10019

EIGHTH: The number of the Corporation's directors shall not be less than three (3) nor more than fifteen (15).

IN WITNESS WHEREOF I, the sole incorporator, have executed and  
subscribed this certificate and do affirm the foregoing as true under penalties of perjury.

Dated: 12/16, 2010

GREAT OAKS FOUNDATION, INC.

By:   
Michael Duffy  
125 West 31<sup>st</sup> Street  
New York, New York 10019

## **Hiring and Personnel Policies and Procedures**

### **Hiring Process**

Staff recruiting will begin in mid-February each year for the following school year. The School's leadership team will meet to identify staffing needs for the next year and to project the financial resources available to fill staffing needs. After creating/revising job descriptions, the school will create job postings in online job boards and newspapers as well as enlisting the support of the school's Board, the Great Oaks Foundation and individual staff members' professional networks to publicize the vacancies as broadly as possible.

Initial candidate screening will be an ongoing process, conducted by the Director of Operations. Resumes and cover letters will be screened for basic fit with the job description: educational requirements, experience and mission alignment. Those candidates who qualify for further consideration will first be invited to a phone interview and then an in-person interview that will include a sample lesson and a sample coaching meeting to gauge the candidate's response to feedback. After all screening steps are taken, the successful candidates will be issued a formal offer letter.

All candidates will be subject to fingerprinting and background checks prior to commencement of any employment. Though Great Oaks will not require certification to be considered for a teaching position, all job descriptions will state that proper certification is preferred and we will ensure that we are in compliance with New York state law regarding the proportion of teachers who must hold valid certification.

### **School Leader Responsibilities and Qualifications**

The Executive Director will be the chief executive of the school, responsible for the overall success of the school.

Responsibilities: For both the middle school and the high school programs, the E.D. will supervise a Director Curriculum and Instruction, a Tutor Corps Director and a Director of Operations and will serve as the key point of accountability for the Board's oversight of the school's operation. The Executive Director will take the lead in annual budget planning, facilities planning and all other strategic matters.

Key qualifications for the Executive Director include experience in a leadership position in a No Excuses charter school, capacity to manage multiple individuals, expert time-management skills and strength with budgets and financial projections.

### **Key Administrative Positions – Responsibilities and Qualifications**

The leadership teams for the middle and high school will each consist of the below:

- Director of Curriculum and Instruction – The Director of Curriculum and Instruction will have primary responsibility for the success of the school's academic program, including direct oversight of the teaching staff, school curriculum and data analysis. The DCI will manage and evaluate teachers and make annual determinations about teacher retention. The

Director of Curriculum and Instruction will also oversee the annual curriculum development and evaluation process.

- Key qualifications for the Directors of Curriculum and Instruction include a track record of success as a teacher and coaching teachers, familiarity with current best practices in curriculum and assessment practices and tools and an ability to work with parents and students to engage them in the school’s mission
- Tutor Corps Director – The Tutor Corps Director will be responsible for the successful implementation of the integrated tutoring model. The Corps Director will coach, supervise and evaluate the member of the Tutor Corps, including managing logistical and operational issues, ensuring a high level of tutorial quality and recruiting each year’s new Corps members.
  - Key qualifications for the Tutor Corps Directors include a history of motivating young people in a service or volunteer capacity, belief in the power of the MATCH model and an experience managing large numbers of individuals.
- Director of Operations – The Director of Operations will be responsible for ensuring that the non-instructional aspects of the school are conducted smoothly and in a way that minimizes disruptions to student learning. The Director of Operations will be the principal liaison between the school and all external vendors and suppliers and will be tasked with maintaining a smooth flow of supplies and materials for the teachers and staff.
  - Key qualifications for the Directors of Operations will include high level project management skills, extraordinary abilities to follow-through and problem solve with minimal guidance and a commitment to the value of school operations in creating an environment where educators and students can do their best work.

### Teaching Staff Responsibilities and Qualifications

The teachers at Great Oaks Charter School are critical to preparing each of our students for college success by designing and delivering rigorous classroom lessons and maintaining consistently high expectations for conduct. Teachers will be models of the hard work, desire for learning and self-control that we expect our students to learn and display.

### **Responsibilities**

#### 1) Curriculum & Instruction

- Demonstrating solid knowledge and understanding of the content matter
- Establishing, communicating, and demanding high expectations for student learning, and quality of work
- Using a multitude of instructional strategies and activities that are academically rigorous and highly engaging.
- Executing detailed lesson plans mapped to a year-long academic plan to address learning needs.
- Taking full responsibility for student failure and constantly working to respond to the students’ learning needs.

- Consistently sending the message that succeeding in college is important, that the student can do it, and that we will not give up on a student.

2) Data

- Track and analyze student data to identify student learning needs and set ambitious, attainable goals for student progress
- Planning and implementing strategies to achieve targets related to student learning outcomes
- Working collaboratively with the principal and other teachers to develop and revise curriculum based on assessment data

3) Classroom Environment

- Maintaining an efficient, respectful and positive tone in your classroom
- Displaying extraordinary time management to maximize student learning while communicating a constant, tangible sense of urgency
- Ensuring that all students are on task at all times during a lesson
- Clearly and consistently communicating and enforcing school rules, values and expectations
- Building relationships with students that demonstrate an open concern and a sense of responsibility for students' academic and personal growth
- Supervising students during lunch and classroom transitions

4) Other

- Putting in an extraordinary amount of time and effort to contribute to student and school success.
- Demonstrating leadership by independently assuming additional responsibilities when necessary
- Keeping parents informed of successes and struggles through frequent phone calls and meetings
- Contributing to an orderly school culture
- Occasionally leading professional development sessions
- Other duties that may be necessary to fulfill the mission of the school

**Qualifications**

- Belief that all students have what it takes to be successful
- At least two years of experience improving student achievement in an urban school
- Demonstrated mastery of subject area
- Extremely strong classroom management abilities. Experience in a No Excuses culture preferred
- Bachelor's degree from a competitive college or university required. Advance degrees in subject area preferred
- New Jersey or out-of-state teaching certification preferred