



New York State Education Department

2018-19 Annual Report Guidelines for New York State Charter Schools

The Regents of the University of the State of New York

Charter School Office
89 Washington Avenue
Albany, New York 12234

Acknowledgements

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SUNY Charter Schools Institute

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Albany, NY 12246

<http://www.newyorkcharters.org/>

New York City Department of Education

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New York, NY 10007

<http://schools.nyc.gov/charters>

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Introduction and Overview

By August 1 of each year, each charter school in New York State is required by law to complete and submit an Annual Report to the New York State Education Department's Charter School Office (NYSED CSO) and to the school's charter entity. **Each charter school is required to make the Annual Report publicly available by August 1 and post on the charter school's website.¹ Each school should post an updated and complete version to include accountability data and financial statements that are not or may not be available until after the August 1 deadline.**

The [2018-19 Annual Report Guidelines](#) include general instructions for submission, report content requirements, and key inquiries that highlight academic, organizational, and fiscal performance, as well as the extent to which a school is meeting the requirements of its charter. These Guidelines are intended to walk schools through and supplement the prompts in the online [Annual Report Portal](#). All New York State charter schools, regardless of authorizer, must submit their school's 2018-2019 Annual Report **through the online portal no later than the dates specified below**. Schools should make note of individual authorizer requirements in the Guidelines and within the portal.

A charter school's Annual Report provides information about its performance over the prior academic year, as well as a report on progress toward performance goals agreed upon in the charter contract.² The components to be included in each section of the Annual Report are outlined in the Guidelines below. Please note that all required information must be clearly documented to complete this statutory requirement.

Charter schools are not asked and are not required to submit personally identifiable student information. Please DO NOT include or attach this information.

Additionally, all charter schools in New York must comply with reporting requirements set forth in the Regulations of the Commissioner³ and are held accountable for ensuring accurate data sharing through the NYSED's information management systems.

Submission Instructions

All Annual Reports must be submitted through the NYSED's Charter School Office (NYSED CSO) [online portal](#). All four authorizers in New York State access the reports through this portal, and schools are not required to e-mail or submit hard copies of the Annual Report to their respective authorizers. Waivers or extended deadline requests cannot be granted.

Schools that changed to another authorizer (through education corporation merger) during the 2018-19 school year should follow the submission requirements of the authorizer overseeing the school as of June 30, 2019.

There are multiple components to the Annual Report, some of which are required of all schools—regardless of the authorizer—and others which are specific to one or more authorizers. Format

¹ [New York State Education Law](#) Section 2857(2).

² [New York State Education Law](#) Section 2857(2)(b).

³ See, 8 NYCRR 119.3.

specifications and due dates of some information may also vary by authorizer. Therefore, it is important for schools to read these Guidelines and instructions carefully. Schools must ensure that all required components are included as specified in these Guidelines. The information requested of schools is presented as “tasks” within the online system.

A charter school’s Annual Report must be a clear and accessible document for parents, the charter school’s authorizer, NYSED’s Charter School Office, and the general public. Any uploads submitted through the online portal should be clearly labeled. Uploads that consist of narrative must use standard one-inch margins, be clearly paginated, and use a clearly readable font no smaller in type size than 11 point. The text must be grammatically correct and free of jargon, undefined terms, and unexplained references.

DUE AUGUST 1: All schools must submit the first component of the Annual Report no later than 11:59 p.m. on August 1, 2019. This submission includes basic school information, the school’s progress toward charter goals, fiscal performance data, board of trustees’ meeting and membership information (including completed Trustee Financial Disclosure Forms), as well as other information. The specific requirements are described in the Content Requirements section beginning on page 7 of these Guidelines.

SUNY-authorized charter schools must download an Accountability Plan Progress Report template from the <http://www.newyorkcharters.org/category/operational-resources/accountability/> After completing, schools must upload the document into the portal within roughly 30 days after the release of the State test scores for K-8 schools and September 15 for schools with high school grades.

DUE NOVEMBER 1: The second submission for all schools is due no later than 11:59 p.m. on November 1, 2019 and includes Audited Financial Statements for the period ending June 30, 2019. For Regents, NYCDOE, and Buffalo BOE authorized schools, final Progress Toward Charter Goals must also be submitted by that date.

If, after reading the instructions carefully, there are questions about the required information, format or deadlines for the Annual Report, please contact the school’s authorizer:

- New York State Board of Regents (NYSED): charterschools@nysed.gov
- State University of New York Trustees (SUNY): charters@suny.edu
- New York City Department of Education (NYCDOE): charteroversight@schools.nyc.gov
- Buffalo Board of Education: Ebony Bullock EBullock@buffaloschools.org

Questions about the submission process may be directed to the [Charter School Office](#).

Content Requirements

Entry 1 – School Information and Cover Page

Required of ALL Charter Schools

Each Annual Report begins with a completed School Information and Cover Page. The information is collected in a survey format within the [online portal](#). When entering information in the portal, some of the following items may not appear, depending on the authorizer and/or responses to related items.

- a. Official School Name (as chartered) and Popular School Name
- b. Charter Authorizer as of June 30, 2019
- c. District/CSD of Location
- d. Date of Initial Charter
- e. Date School First Opened for Instruction
- f. Approved School Mission (Regents, NYCDOE and Buffalo BOE authorized schools only)
- g. Key Design Elements (Regents, NYCDOE and Buffalo BOE authorized schools only)
- h. School Website Address
- i. Total Maximum Approved Enrollment for 2018-19 SY
- j. Total Enrollment on June 30, 2019 – excluding Pre-K program enrollment
- k. Grades Served during the 2018-19 School Year
- l. Charter Management Organization/Educational Management Organization (if applicable), including contact information (name, email address, telephone number
- m. Facilities Contact Information: physical address(es), phone number(s), district/CSD, and grades served in 2018-19 and to be served in 2019-20; Emergency Contact Name, Title, and Phone Number (This information should match school information housed in the SEDREF system); Public (co-location) or Private Space Information for each site; and COO and Fire Inspection Documentation for each private site.
- n. Summary of Material and Non-Material Charter Revisions approved or pending in 2018-19 including updates to the school’s board of trustee bylaws, enrollment policy, discipline policy, or complaint policy
- o. Name and Position of Person who Completed/Submitted the 2018-19 Annual Report
- p. Names and Signatures of the Charter School Leader(s) and Board Chair

Entry 2 – New York State School Report Card

Required of ALL Charter Schools

Provide a direct web link to the most recent [New York State School Report Card](#) for the charter school. This report captures school-level enrollment and demographic information, staff qualifications, electronic student records, and attendance rates, as prescribed by New York State law.⁴

⁴ SRC data is included in the reporting requirements for New York charter schools in 8 NYCRR 119.3.

Entry 3 – Progress Toward Goals⁵

SUNY-Authorized Charter Schools ONLY

SUNY-authorized charter schools must download an Accountability Plan Progress Report template at <http://www.newyorkcharters.org/accountability/>. After completing, schools must upload the document into the portal with a **deadline of roughly 30 days after the release of the State test scores for K-8 schools, and of September 15 for schools with high school grades.**

Regents, NYCDOE, and Buffalo BOE Authorized Charter Schools ONLY

The following tables reflect formatting in the online portal required for Board of Regents, NYCDOE, and Buffalo BOE authorized charter schools only. **Schools should report all Progress Toward Charter Goals by November 1, 2019.**

Academic Student Performance Goals

2018-19 Progress Toward Attainment of Academic Charter Goals			
Academic student performance goals	Measure used to evaluate progress toward attainment of goal	2018-19 progress toward attainment of goal Met/Not Met	If not met, describe efforts the school will take to meet goal

Organizational Goals

2018-19 Progress Toward Attainment of Organizational Charter Goals			
Organizational goals	Measure used to evaluate progress toward attainment of goal	2018-19 progress toward attainment of goal Met /Not Met	If not met, describe efforts the school will take to meet goal

Financial Goals

2018-19 Progress Toward Attainment of Financial Charter Goals			
Financial goals	Measure used to evaluate progress toward attainment of goal	2018-19 progress toward attainment of goal Met /Not Met	If not met, describe efforts the school will take to meet goal

⁵ The information requested in the “Goals” tables reflects the information collected through the online portal; however, the format of the table may differ in appearance.

Entry 4 – Total Expenditures and Administrative Expenditures per Child⁶

Required of ALL Charter Schools

- ❑ **Total Expenditures per Child:** To calculate “Total Expenditures per Child”, divide total expenditures (from the unaudited 2018-19 Schedule of Functional Expenses) by the year-end FTE student enrollment.
- ❑ **Administrative Expenditures per Child:** To calculate “Administrative Expenditures per Child” first *add* together the following:
 1. The relevant portion from the “personnel services cost” row and the “management and general” column from the unaudited 2018-19 Schedule of Functional Expenses.
 2. Any contracted administrative/management fee paid to other organizations or corporations.

The relevant portion that must be included in this calculation is defined as: Administration and management of the charter school includes the activities and personnel of the offices of the chief school officer, the finance or business offices, school operations personnel, data management and reporting, human resources, technology, etc. It also includes those administrative and management services provided by other organizations or corporations on behalf of the charter school for which the charter school pays a fee or other compensation. Do not include the FTE of personnel whose role is to directly support the instructional program.

3. Divide the total by the year-end FTE student enrollment.

Employee benefit costs or expenditures should not be reported in these calculations. Information regarding the Schedule of Functional Expenses in the [Audit Guide](#) can help schools locate the amounts to use.

Entry 5 – Audited Financial Statements

Required of ALL Charter Schools by November 1

ALL charter schools must upload final, audited financial statements to the [online portal](#) no later than **November 1, 2019**. Upload the independent auditor’s report, any advisory and/or management letter, and the internal controls report as one submission, combined into a .PDF file, ensuring that security features such as password protection are turned off.

This task will be visible on August 1 in the online portal but will be clearly identified as a task due on November 1.

⁶ Note: In the 2020 Annual Report, pursuant to changes in federal law, NYSED will be changing the annual fiscal data reporting platform for all New York State charter schools. More information on these proposed changes, including the opportunity to provide public comment, can be found at <http://www.nysed.gov/essa/financial-transparency>.

Entry 5a – Audited Financial Statements Template

SUNY-Authorized Charter Schools ONLY

SUNY-authorized schools must download the Excel spreadsheet entitled “Audited Financial Report Template” at <http://www.newyorkcharters.org/fiscal/>. After entering the requested information, upload the file in Excel format.

Entry 5b – Audited Financial Statements Template

Regents-Authorized Charter Schools ONLY

Regents-authorized schools must download and complete the Excel spreadsheet entitled “Audited Financial Report Template” from the online portal or the website at [2018-19 Charter School Annual Report webpage](#). Upload the completed file in Excel format.

Entry 5c – Additional Financial Documents

Regents, NYCDOE and Buffalo BOE authorized schools must upload financial documents in this section. The items listed below should be uploaded, with an explanation if not applicable or available. For example, A “federal Single Audit was not required because the school did not expend federal funds of more than the \$750,000 Threshold.”

1. Advisory and/or Management letter
2. Federal Single Audit
3. CSP Agreed-Upon Procedure Report
4. Evidence of Required Escrow Account for each school⁷
5. Corrective Action Plan for Audit Findings and Management Letter Recommendations

Entry 5d – Financial Contact Information

Regents, NYCDOE, and Buffalo BOE authorized schools should enter financial contact information directly into the form within the portal.

Entry 6 – Fiscal Year 2019-2020 Budget

⁷ Note: For BOR schools chartered or renewed after the 2017-2018 school year, the escrow account per school is \$100,000.

Regents, NYCDOE, and Buffalo BOE authorized charter schools should upload a copy of the school's FY19 Budget using the 2019-2020 Projected Annual Budget template in the portal or from the Annual Report website.

The assumptions column should be completed for all revenue and expense items unless the item is self-explanatory. Where applicable, reference the page number or section in the application narrative that indicates the assumption being made. For instance, student enrollment would reference the applicable page number in Section I, C of the application narrative.

SUNY authorized charter schools should download the [2019-20 Budget and Quarterly Report Template](#) on the SUNY website or Epicenter and upload the completed template into the portal.

Entry 7 – Board of Trustees Disclosure of Financial Interest Form

Required of ALL Charter Schools by August 1

Each member of the charter school's Board of Trustees who served on a charter school education corporation governing one or more charter schools for any period during the 2018-19 school year must complete a signed [Disclosure of Financial Interest Form](#). All completed forms must be collected and uploaded into a single .PDF file by the individual responsible for submitting the school's Annual Report. (Forms completed from past years will not be accepted).

Trustees serving on an education corporation that governs more than one school are not required to complete a separate disclosure for each school governed by the education corporation. In the Disclosure of Financial Interest Form, trustees must disclose information relevant to any of the schools served by the governing education corporation.

If a trustee is not able or available to complete the form by the deadline, the education corporation is responsible for doing so on behalf of the trustee.

Entry 8 – Board of Trustees Membership Table⁸

ALL charter schools or education corporations governing multiple schools must complete the Board of Trustees Membership Table within the online portal.

⁸ The information requested in the "Trustee Membership" table reflects the information collected through the online portal; however, the format of the table may differ in appearance.

INFORMATION ON CURRENT VOTING MEMBERS OF THE BOARD OF TRUSTEES FOR ALL CHARTER SCHOOLS				
Voting Trustee Name and Email Address	Position on the Board (e.g., officers or constituent representatives)	Committee Affiliation(s)	Number of Terms Served	Current Term Start and End MM/YY
INFORMATION ON CURRENT NON-VOTING MEMBERS OF THE BOARD OF TRUSTEES FOR REGENTS, NYC DOE AND BUFFALO BOE CHARTER SCHOOLS				
Non-Voting Trustee Name and Email Address	Constituent Representative	Committee Affiliation(s)	Number of Terms Served	Current Term Start and End MM/YY
All Schools	Total number of Voting Members on June 30, 2019:			
	Total number of Voting Members added during the 2018-19 school year:			
	Total number of Voting Members who departed during the 2018-19 school year:			
	Total Number of Voting members in 2018-19, as set by the board in bylaws, resolution or minutes:			
Regents, NYCDOE, & Buffalo BOE Schools	Total number of Non-Voting Members on June 30, 2019:			
	Total number of Non-Voting Members added during the 2018-19 school year:			
	Total number of Non-Voting Members who departed during the 2018-19 school year:			
	Total Number of Non-Voting members in 2018-19, as set by the board in bylaws, resolution or minutes:			
All Schools	Number of board meetings conducted in 2018-19:			
	Number of board meetings scheduled for the 2019-2020 school year:			

Entry 9 – Board Meeting Minutes

Required of Regents, NYCDOE, and Buffalo BOE Authorized Schools ONLY

Schools must upload a complete set of board meeting minutes (July 2018-June 2019), which should match the number of meetings held during the 2018-19 school year, as indicated in the above table. Board meeting minutes must be submitted by August 1, 2019. The minutes provided must be the final version approved by the school’s Board of Trustees.

Entry 10 – Enrollment and Retention

Required of ALL Charter Schools

Describe the efforts the charter school has made in 2018-19 toward meeting targets to attract and retain the enrollment of Students with Disabilities (SWDs), English Language Learners/Multilingual Learners (ELLs/MLLs), and students who are economically disadvantaged. In addition, describe the school’s plans for meeting or making progress toward meeting its enrollment and retention targets in 2019-2020.

Entry 11 – Teacher and Administrator Attrition⁹

Required of ALL Charter Schools

Charter schools must complete the two tables labeled **2018-19 Teacher Attrition** and **2018-19 Administrator Attrition** to report changes in teacher and administrator staffing in 2018-19.

For **teachers and administrators only**, schools should provide the full-time equivalent (FTE) of staff on June 30, 2018; the FTE for any departed staff from July 1, 2018 through June 30, 2019; the FTE for added staff from July 1, 2018 through June 30, 2019; and the FTE of staff added in newly-created positions from July 1, 2018 through June 30, 2019.

2018-19 Teacher Attrition				
FTE of Teachers on June 30, 2018 ¹⁰	FTE of Teachers Who Departed or Were Terminated 7/1/18 - 6/30/19	FTE of Teachers Who are New Hires Filling Vacant Positions 7/1/18 - 6/30/19	FTE of Teachers Who are New Hires in Newly Created Positions 7/1/18 -- 6/30/19	FTE of Teachers on 6/30/19

⁹ The information requested in the “Attrition” tables reflects the information collected through the online portal; however, the format of the table may differ in appearance.

¹⁰ This FTE of Teachers on June 30, 2018 here should match the final FTE of Teachers on 6/30/18 as reported in the 2017-18 Annual Report.

2018-2019 Administrative Staff Attrition				
FTE of Administrative Positions on June 30, 2018 ¹¹	FTE of Administrators Who Departed or were Terminated 7/1/18 - 6/30/19	FTE of Administrators Who are New Hires Filling Vacant Positions 7/1/18 - 6/30/19	FTE of Administrators Who are New Hires in Newly Created Positions 7/1/18 -- 6/30/19	FTE Administrative Positions on 6/30/19

TEACH SYSTEM – EMPLOYEE CLEARANCE

Charter schools must ensure that all prospective employees¹² receive clearance through [the NYSED Office of School Personnel Review and Accountability](#) (OSPRA) prior to employment. **This includes paraprofessionals and other school personnel that are provided or assigned by the district of location.** After an employee has been cleared, schools are required to maintain proof of such clearance in the file of each employee. For the safety of all students, charter schools must take immediate steps to terminate the employment of individuals who have been denied clearance. Once the employees have been terminated, the school must terminate the request for clearance in the TEACH system.

In the Annual Report, charter schools are asked to confirm that all employees have been cleared through the NYSED TEACH system; and, if denied clearance, confirm that the individual or employee has been removed from the TEACH system, and is not employed by the school.

A Note about Emergency Conditional Clearances

Charter schools are **strongly discouraged** from using the emergency conditional clearance provisions for prospective employees. This is because the school must simultaneously request clearance through NYSED TEACH, and the school’s emergency conditional clearance of the employee terminates automatically once the school receives notification from NYSED regarding the clearance request. Status notification is provided for all prospective employees through the NYSED TEACH portal within 48 hours after the clearance request is submitted. Therefore, at most, a school’s emergency conditional clearance will be valid for only 48 hours after approval by the board.

Schools are not permitted to renew or in any way re-establish a prospective employee’s emergency conditional clearance after status notification is sent by NYSED through the TEACH portal.

¹¹ This FTE of Teachers on June 30, 2018 here should match the final FTE of Teachers on 6/30/18 as reported in the 2017-18 Annual Report.

¹² Employees that must be cleared include, but are not limited to, teachers, administrative staff, janitors, security personnel and cafeteria workers, and other staff who are present when children are in the school building. **This includes paraprofessionals and other school personnel that are provided or assigned by the district of location.** See 04/10/18 memorandum <http://www.p12.nysed.gov/psc/aboutcharterschools/lawsandregs/aprilmemo.pdf> or visit the NYSED website at: <http://www.highered.nysed.gov/tsei/ospra/fingerprintingcharts.html> for more information regarding who must be fingerprinted. Also see, 8 NYCRR §87.2.

Entry 12 – Percent of Uncertified Teachers

Required of Regents, NYCDOE, and Buffalo BOE Authorized Charter Schools ONLY

The table below reflects the information collected through the online portal for compliance with New York State Education Law 2854(3)(a-1) for teaching staff qualifications. Uncertified teachers are those not certified pursuant to the State Certification Requirements established by the NYSED Commissioner of Education.

Enter the relevant full-time equivalent (FTE) count of teachers in each column. For example, a school with 20 full-time teachers and 5 half-time teachers would have an FTE count of 22.5.

Uncertified Teaching Staff (June 30, 2019)¹³ Uncertified teachers are those not certified pursuant to the State Certification Requirements established by the NYSED Commissioner		
If more than one line applies to a teacher, please select one column for the FTE count. Please do not include paraprofessionals, such as teacher aides.		
1.	FTE count of uncertified teachers (June 30, 2019)	
2.	FTE count of uncertified teacher with at least three years of elementary, middle or secondary classroom teaching experience (June 30, 2019)	
3.	FTE count of uncertified teachers who are tenured or tenure track college faculty (June 30, 2019)	
4.	FTE count of uncertified teachers with two years of Teach for America experience (June 30, 2019)	
5.	FTE count of uncertified teachers with exceptional business, professional, artistic, athletic, or military experience (June 30, 2019)	
6.	FTE count of uncertified teachers who do not fit into any of the prior four categories (June 30, 2019)	
Total Count of UNCERTIFIED Teachers	FTE count of <u>Uncertified</u> teachers (June 30, 2019) (Sum of lines 1 through 6)	
Total Count of CERTIFIED Teachers	FTE count of <u>Certified</u> Teachers (June 30, 2019)	

Entry 13 – Organization Chart

Required of Regents, NYCDOE, and Buffalo BOE Authorized Charter Schools ONLY

¹³ The information requested in the “Uncertified Teachers” table reflects the information collected through the online portal; however, the format of the table may differ in appearance.

Upload the 2018-19 **Organization Chart**. The organizational chart should include position titles and reporting relationships. Employee names do not need to appear on the chart.

Entry 14 – School Calendar

Required of ALL Charter Schools

Upload the school calendar for 2019-2020. The school calendar should clearly indicate the start and end date of the instructional year and the total number of instructional days scheduled.