



# New York State Education Department

## ***2016-2017 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

The Board of Regents and the New York State Education Department wish to specifically acknowledge and thank the State University of New York's Charter Schools Institute, the New York City Department of Education, and the Board of Education of the Buffalo City School District for their contributions and collaborative efforts in creating this Annual Report.

### **Charter Schools Institute**

The State University of New York  
41 State Street, Suite 700  
Albany, NY 12207  
[www.newyorkcharters.org](http://www.newyorkcharters.org)

### **New York City Department of Education**

52 Chambers Street  
New York, NY 10007  
<http://schools.nyc.gov/charters>

### **Board of Education of the Buffalo City School District**

712 City Hall  
Buffalo, NY 14202  
<http://www.buffaloschools.org/>

## Table of Contents

Introduction and Overview .....	4
Submission Instructions .....	5
Content Requirements.....	7
Entry 1 – School Information and Cover Page	7
Entry 2 – New York State School Report Card	7
Entry 3 – Progress Toward Goals	8
Entry 4 – Total Expenditures and Administrative Expenditures per Child	9
Entry 5 – Audited Financial Statements	9
Entry 6 – Fiscal Year 2017-2018 Budget	10
Entry 7 – Board of Trustees Disclosure of Financial Interest Form	11
Entry 8 – Board of Trustees Membership Table	11
Entry 9 – Board Meeting Minutes	12
Entry 10 – Enrollment and Retention	12
Entry 11 – Teacher and Administrator Attrition	12
Entry 12 – Percent of Uncertified Teachers	13
Entry 13 – Organizational Chart	14
Entry 14 – School Calendar	14

## 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 (NYSED) Charter School Office and to the school's charter entity, and to post the report on the charter school's website.<sup>1</sup>

The 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 you 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 2016-2017 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.<sup>2</sup> 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 in order to complete this statutory requirement. Schools are able to download a completed report to make available to the public.

Additionally, all charter schools in New York must comply with reporting requirements set forth in the Regulations of the Commissioner<sup>3</sup> and are held accountable for ensuring accurate data sharing through the Department's information management systems.

---

<sup>1</sup> [New York State Education Law](#) Section 2857(2).

<sup>2</sup> [New York State Education Law](#) Section 2857(2)(b).

<sup>3</sup> See, 8 NYCRR 119.3.

## Submission Instructions

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

Schools that changed authorizer (through education corporation merger) during the 2016-2017 school year should follow the submission requirements of the authorizer overseeing the school on June 30, 2017.

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 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 3:00 p.m. on August 1, 2017. This submission includes basic school information, the school's progress toward charter goals, fiscal performance data, board of trustee 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 [SUNY Charter Schools Institute website](#). 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 September 15 for schools with high school grades.

**DUE NOVEMBER 1: The second submission for all schools is due no later than 3:00 p.m. on November 1, 2017, and includes Audited Financial Statements. 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, you have any questions about the required information, format or deadlines for the Annual Report, please contact your authorizer:

- New York State Board of Regents (NYSED): [charterschools@nysed.gov](mailto:charterschools@nysed.gov)
- State University of New York Trustees (SUNY): [charters@suny.edu](mailto:charters@suny.edu)
- New York City Department of Education (NYCDOE): [charterschools@schools.nyc.gov](mailto:charterschools@schools.nyc.gov)

❑ Buffalo Board of Education: Contact Anne Fitzgerald: [afitzgerald@buffaloschools.org](mailto:afitzgerald@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 authorizer and/or responses to related items.

- a. School Name/BEDS #
- b. Charter Authorizer
- c. District/CSD of Location
- d. Primary Address, Telephone, Fax, and School Email Address  
Emergency Contact Name, Title, and Phone Number
- e. School Website Address
- f. Date of Initial Charter
- g. Date School First Opened for Instruction
- h. Approved School Mission and Key Design Elements (Regents, NYCDOE and Buffalo BOE authorized schools only)
- i. Total Enrollment on June 30, 2017
- j. Grades Served in 2016-2017
- k. Charter Management Organization/Educational Management Organization (if applicable), including contact information (name, email address, telephone number)
- l. Facility(ies) Information: physical address(es), phone number(s), district/CSD, grades served
- m. Co-Location Information
- n. Summary of Material and Non-Material Charter Revisions approved or pending in 2016-2017 (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 the 2016-2017 Annual Report
- p. 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.<sup>4</sup>

### Entry 3 – Progress Toward Goals

#### SUNY-Authorized Charter Schools ONLY

SUNY-authorized charter schools must download an Accountability Plan Progress Report template form from the [SUNY Charter Schools Institute](#). 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 Progress Toward Charter Goals by August 1, 2017.** If the goals are based on student performance data that the school will not have access to before August 1, 2017 (e.g., State assessment results), explain this in the "2016-2017 Progress Toward Attainment of Goal" column. The information can be updated when available but **must be fully completed no later than November 1, 2017.**

#### Academic Student Performance Goals<sup>5</sup>

2016-2017 Progress Toward Attainment of Academic Charter Goals			
Academic student performance goal	Measure used to evaluate progress toward attainment of goal	2016-2017 progress toward attainment of goal Met/Partially Met/Not Met	If not met or partially met, describe efforts the school will take to meet goal

#### Organizational Goals

2016-2017 Progress Toward Attainment of Organizational Charter Goals			
Organizational goal	Measure used to evaluate progress toward attainment of goal	2016-2017 progress toward attainment of goal Met/Partially Met/Not Met	If not met or partially met, describe efforts the school will take to meet goal

#### Financial Goals

2016-2017 Progress Toward Attainment of Financial Charter Goals			
Financial goal	Measure used to evaluate progress toward attainment of goal	2016-2017 progress toward attainment of goal Met/Partially Met/Not Met	If not met or partially met, describe efforts the school will take to meet goal

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



## Entry 4 – Total Expenditures and Administrative Expenditures per Child

### Required of ALL Charter Schools

- ❑ **Total Expenditures per Child:** To calculate “Total Expenditures per Child”, divide total expenditures (from the unaudited 2016-2017 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 2016-2017 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.

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, 2017**. Upload the independent auditor’s report and the internal controls report as one, combined .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.

### **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/annual-budgets-quarterly-reports-audits/>. After entering the information requested, 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” in the online portal. 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 in excess of the threshold of \$750,000.

1. Management letter
2. Federal Single Audit
3. CSP Agreed-Upon Procedure Report
4. Evidence of Required Escrow Account
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 2017-2018 Budget**

**Regents, NYCDOE, and Buffalo BOE authorized charter schools** should upload a copy of the school’s FY17 Budget using the 2017-2018 Projected Annual Budget template in the portal.

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 upload a copy of the school's FY17 Budget using the [Budget and Quarterly Report template](#).

## Entry 7 – Board of Trustees Disclosure of Financial Interest Form

### **Required of ALL Charter Schools by August 1**

Trustee Disclosure of Financial Interest Forms must be completed and signed by each trustee who served on a charter school education corporation governing one or more charter schools for any period during the 2016-2017 school year. The completed forms must be collected and uploaded by the individual responsible for completing the school’s Annual Report.

**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 unable to complete the form by the deadline, the education corporation is responsible for listing the transactions and/or providing the information required on the form.

## Entry 8 – Board of Trustees Membership Table

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

The table is reflective of the information collected through the online portal

Current Board Members					
Trustee Name and Email Address	Position on the Board (e.g., officers or constituent representatives)	Committee Affiliation(s)	Voting Member? (Y/N)	Area of Expertise, and/or Additional Role at School (parent, staff member etc.)	Number of Terms Served and Length of Each (include term start and end month/year)

	<b>Total members on June 30, 2017</b>				
	<b>Total members joining the board during the 2016-2017 school year:</b>				
	<b>Total members departing the board during the 2016-2017 school year:</b>				
	<b>Number of voting members in 2016-2017, as set by the board in bylaws, resolution or minutes:</b>				
	<b>Number of board meetings conducted in 2016-2017:</b>				
	<b>Number of board meetings scheduled for the 2017-2018 school year:</b>				

### **Entry 9 – Board Meeting Minutes**

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

Schools must either provide a link to a complete set of minutes (July 2016 – June 2017) posted on the charter school website, or upload a complete set of board meeting minutes (July 2016- June 2017). Board meeting minutes must be submitted by August 1, 2017. The minutes provided must be the final version that has received board approval.

### **Entry 10 – Enrollment and Retention**

**Required of ALL Charter Schools**

Describe the efforts the charter school has made in 2016-2017 toward meeting targets to attract and retain enrollment of students with disabilities, English language learners, 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 2017-2018.

### **Entry 11 – Teacher and Administrator Attrition**

**Required of ALL Charter Schools**

Charter schools must complete the two tables named **2016-2017 Teacher and Administrator Attrition** to report changes in teacher and administrator staffing in 2016-2017.

For **teachers and administrators only**, schools should provide the full-time equivalent (FTE) of staff on June 30, 2016; the FTE for any departed staff from July 1, 2016 through June 30, 2017; the FTE for added staff from July 1, 2016 through June 30, 2017; and the FTE of staff added in newly-created positions from July 1, 2016 through June 30, 2017.

The table below is reflective of the information collected through the online portal for changes in teaching staff.

<b>2016-2017 Teacher Attrition</b>				
FTE of Teachers on June 30, 2016	FTE of Teachers Who Departed 7/1/16 – 6/30/17	FTE of Teachers Filling Vacant Positions 7/1/16 – 6/30/17	FTE of Teachers Added in Newly Created Positions 7/1/16-6/30/17	FTE of Teachers on 6/30/17

The table below is reflective of the information collected through the online portal for changes in administrative staff.

<b>2015-2016 Administrative Staff Attrition</b>				
FTE of Administrative Positions on June 30, 2016	FTE of Administrators that Departed 7/1/16 – 6/30/17	FTE of Administrators Filling Vacant Positions 7/1/16 – 6/30/17	FTE of Administrators Added in Newly Created Positions 7/1/16-6/30/17	FTE Administrative Positions on 6/30/17

## Entry 12 – Percent of Uncertified Teachers

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

The table below is reflective of the information collected through the online portal for compliance with New York State Education Law 2854(3)(a-1) for teaching staff qualifications. 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. If more than one column applies to a particular teacher, please select one column for the FTE count. Please do not include paraprofessionals, such as teacher aides.

Uncertified Teaching Staff (June 30, 2017)						
FTE count of Teachers (June 30, 2017)  <i>Note: Columns to the right should sum to this column, and each teacher should be in only <u>one</u> column.</i>	FTE count of uncertified teachers (June 30, 2017)	FTE count of uncertified teacher with at least three years of elementary, middle or secondary classroom teaching experience (June 30, 2017)	FTE count of uncertified teachers who are tenured or tenure track college faculty (June 30, 2017)	FTE count of uncertified teachers with two years of Teach for America experience (June 30, 2017)	FTE count of uncertified teachers with exceptional business, professional, artistic, athletic, or military experience (June 30, 2017)	FTE count of uncertified teachers who do not fit into any of the prior four categories

### Entry 13 – Organization Chart

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

Upload the 2016-2017 **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 2017-2018. The school calendar should clearly indicate the start and end date of the instructional year and the total number of instructional days scheduled.