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NYS FIELD MEMO

Date: September 13, 2018

To: Superintendent and Independent Receivers responsible for Persistently Struggling and Struggling Schools that may or may not also be implementing a 1003(g) School Improvement Grant (SIG) and Non-Receivership Schools implementing SIG

From: Dr. Kimberly Young Wilkins, Assistant Commissioner

Re: **2018-19 Progress Reporting and Performance Management for Receivership Schools and Non-Receivership Schools receiving SIG 1003(g) funding**

As part of the New York State Education Department's (NYSED) effort to hold schools and districts accountable for the results to be achieved in Persistently Struggling and Struggling Schools, the Department's Office of Innovation and School Reform has re-established a progress reporting and performance management process for the 2018-19 school year. This process will continue to consist of quarterly reports, performance review conference calls, and on-site monitoring.

Quarterly Reporting for Receivership Schools

For schools in receivership, submission of quarterly reports by a superintendent or independent receiver is required by Education Law 211-f. The primary purpose of these reports is to assist the school community, Commissioner, and Board of Regents in determining the extent to which schools under receivership are on track to achieve their demonstrable improvement performance indicators and how well districts and/or educational partnership organizations (EPOs) are utilizing school-level data to monitor and adjust plan implementation.

For those schools that came out of receivership after the 2016-17 school year but are receiving either the Persistently Struggling Schools or Community Schools Grant, a different reporting tool will be utilized to ensure continued school improvement efforts are underway. That reporting tool will be sent to you under separate cover mid-year and in spring 2019.

Each receivership quarterly report consists of the following seven components.

1. **Executive Summary** – Districts/EPOs are required to provide a *plain-language summary* of the quarterly report that addresses the implementation of key strategies, engagement of the community, use of receivership authority, and progress towards achievement of the progress targets and goals for Level 1 and Level 2 indicators. The summary should be written in terms easily understood by the community-at-large and should be made available to the public in the school's district office and posted on the district's web-site.
2. **Demonstrable Improvement Indicators** - Districts/EPOs are required to report on Level 1 and Level 2 indicators with respect to the type, nature and frequency of actions/analyses used to

identify the status of each indicator during the current reporting quarter and any actions that have been taken to ensure that the indicators are achieved.

3. Key Strategies – Districts/EPOs are required to report on the extent to which key strategies delineated in a school’s intervention plan, either School Comprehensive Education Plan (SCEP) or SIG plan, are being successfully implemented and any specific actions and strategy modifications that are being made in response to evidence collected and analyses conducted.
4. Community Engagement Team and Receivership Powers – Districts/EPOs are required to report on the work of the community engagement teams (CET) and the use of superintendent receivership powers during the current reporting quarter.
5. Community Schools Grant (CSG) – Districts/EPOs are required to describe the status, challenges, and accomplishments of the planning, implementation, and/or operations of the programmatic and capital cost activities outlined in the CSG pertinent to this school.
6. Budget/Fiscal – NYSED expects districts/EPOs to monitor the draw-down of funds (Persistently Struggling Schools Grants, School Improvement Grants 1003(g), and Community Schools Grants as applicable) for approved activities at regular intervals throughout the project period to ensure that intended outcomes of the proposed activities are having their expected impact and that appropriate course corrections are made as applicable.

Districts/EPOs are required to self-assess the status of implementation for all strategies, actions and indicators included in the quarterly report. It is expected that the ratings represent rigorous reflection on the part of the superintendent/independent receiver and emphasize the impact of implementation on academic performance.

The following definitions should be used to determine the ratings of each item as requested.

Green	Expected results for this phase of the project are fully met, work is within the budget, and the school is fully implementing this strategy <i>with impact</i> .
Yellow	Some barriers to implementation/ outcomes/ spending exist; with adaptation/correction school will be able to achieve desired results.
Red	Major barriers to implementation/ outcomes/ spending encountered; results are at-risk for not being realized; major strategy adjustment is required.

7. Best Practices – Completion of this section is optional, and no implementation rating is assigned. The district/EPO may choose to take this opportunity to share one or more best practices currently being implemented in the school that has resulted in significant improvements in student performance, instructional practice, student/family engagement,

and/or school climate. The Department may request to share these best practices with other districts/schools in receivership.

Quarterly reports are intended to be completed by the superintendent/independent receiver (or his/her designee(s) and submitted electronically to OISR@nysed.gov. While school-level leadership may be contributing some of the information contained in the reports, NYSED expects that the superintendent/independent receiver and district/EPO staff review and validate accuracy of the information being reported.

Superintendent/independent receivers are expected to give CET's the opportunity to review the draft quarterly report and provide comments and suggestions to the receiver before the report is submitted. The report will require signed assurances by the superintendent/independent receiver and a representative of the community engagement team.

The district/EPO staff is required to submit quarterly reports on the following dates.

October 31, 2018	January 31, 2019
April 30, 2019	July 31, 2019

Please also be reminded that all quarterly reports must be made publicly available in the school district's offices and posted on the school district's website. On the front cover of the quarterly report, please provide the link(s) for where the report will be posted on the district and/or school website.

The first quarterly report template is attached here, and future report templates will be sent to you separately and will also be posted on the Office of Innovation and School Reform website at <http://www.p12.nysed.gov/oisr/>.

Quarterly Reporting for Non-Receiver School Implementing SIG

For non-receivership schools that are implementing a SIG, quarterly reports are not required. Instead, non-receivership schools implementing a SIG plan will be required to complete two reports annually. The first mid-year report will be due on January 31, 2019, and the second required report will be the SIG Continuation Plan which will be due on April 30, 2019. These report templates will be sent to you separately and will also be posted on the OISR website listed above.

Performance Review Conference Calls and On-site Monitoring for Receivership Schools

NYSED's Office of Innovation and School Reform plans to conduct performance review conference calls with receivership schools' district office staff and also plans to conduct on-site monitoring of these schools. Each receivership school should expect to receive approximately four "contacts" total, of a combination of calls and on-site visits.

The performance review conference calls will be held with superintendent/independent receivers, EPOs, and district-level staff directly involved in the oversight of schools under receivership. In some cases, receivership school leadership teams may be asked to join these calls. These conference calls are intended to complement and elaborate on the written quarterly reports. All participants are expected to have substantive knowledge of the school-level projects from an oversight and support perspective.

During the calls, superintendent/independent receivers, district/EPO staff, and other involved staff members will be asked to spend several minutes discussing the performance and progress of each school, highlighting areas of strength as well as challenges encountered. In addition, NYSED staff will ask follow-up questions centered on understanding the work that districts and schools are doing as they relate to intended results. An emphasis will be placed on the quality of evidence that is provided to support the assessment of performance to date, as well as on appropriate course-correcting actions.

NYSED's Office of Innovation and School Reform staff will conduct on-site visits to all schools under receivership. Monitoring visits will be scheduled in cooperation with district staff. The following guiding questions are used to frame the monitoring visits:

1. Does the school climate appear to be safe and conducive to learning?
2. How well does school leadership articulate key strategies for turning around the school?
3. What are the on-going results observed by district/EPO and school leadership staff members, and how well do the results predict the likelihood of meeting the demonstrable improvement progress targets for the 2018-19 school year?

Performance Review Telephone Calls for Non-Receiverhip Schools implementing SIG Plans

At this time, performance review calls will only be held with non-receivership schools implementing a SIG plan on a risk-analysis basis. If a performance review call is requested, we will contact the district to discuss the reasons and schedule the call.

On-site Monitoring for Non-Receiverhip Schools implementing SIG Plans

In regard to on-site monitoring of non-Receiverhip schools implementing a SIG plan, the same information as described above for Receiverhip schools may apply, and will depend on a risk-analysis, which will include a review of the school's NYS assessment data within the past three years. Please see the attached Risk Analysis Process.

Public Hearing and Community Engagement Team Requirements for Receiverhip Schools

At the start of the 2015-16 school year, the Department conducted a review of the documented evidence that each receivership school met the Public Hearing and Community Engagement Team requirements delineated in Education Law 211-f. This year, as was the expectation for the 2016-17 and 2017-18 school years, it is expected that each school keep evidence of these activities, applicable to the 2018-19 school year, on-site and available for review during on-site visits. In addition, the memo sent to you on September 10, 2018 via the OISR@nysed.gov email address, indicated that the district should let OISR liaisons know when public hearings were or will be held for the 2018-19 school year. Public hearing and community engagement team requirements can be found on the OISR website at: <http://www.p12.nysed.gov/oisr/Receiverhip.html>.

Fiscal Monitoring Process

Schools receiving SIG 1003(g), PSSG and CSG funding will also be subject to fiscal monitoring as delineated in the attached Fiscal Monitoring Process memo.

Additional Information

Again, the *Receivership Quarterly Report* for the 1st quarter is attached with this memo and is due on October 31, 2018 and should be submitted to the Office of Innovation and School Reform via the OISR@nysed.gov mailbox with the subject line reading: XXX District: Receivership QR#1.

Additional reports and Receivership resources may be found at the Office of Innovation and School Reform's website listed above, which will continually be updated.

The Office of Innovation and School Reform will continue to contact districts/EPOs directly to schedule site visits and upcoming performance review telephone calls, and as necessary, an agenda specific to these telephone calls will follow.

Please note that the Final Expenditure Forms or FS-10Fs, for 2017-18 School Improvement 1003(g) grants are due to the Department within 90 days of the end date of the grant. All 2017-18 SIG budget periods ended no later than August 31, 2018. The FS-10F forms can be found here: <http://www.oms.nysed.gov/cafe/forms/>.

Lastly, updated SIG "School-level Baseline Data and Target-Setting Charts", or "Attachment Bs", were due for all non-receivership SIG 5, 6, and 7 schools on August 31, 2018; however, some districts indicated that they would like the opportunity to update the charts based on receipt of additional data. Updated Attachment Bs should be emailed to your OISR liaison by October 12, 2018. If you are submitting a revised Attachment B, simply update the one you submitted in August. We will reference the Attachment B during calls and site visits.

If you have any additional questions, please feel free to contact the Office of Innovation and School Reform at 518-473-8852 or at OISR@nysed.gov.

Thank you in advance for your cooperation and support and thank you for your continued work to improve the educational outcomes of the students in New York State.