



New York State Education Department

***2012-2013 Annual Report Guidelines for
New York State Charter Schools***

Updated June 2013

The Regents of The University of the State of New York
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Acknowledgements

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Introduction and Overview

These Annual Report Guidelines are intended to be a helpful supplement to the online portal <https://nysed-cso-reports.myreviewroom.com>. *ALL New York State charter schools, regardless of authorizer, must use the online portal to submit their school's 2012-2013 Annual Report.* Please make note of individual authorizer requirements for submission.

By August 1 of each year, each public charter school in New York State is required by statute to complete and submit an Annual Report to the New York State Education Department's (SED) Charter School Office (CSO) and to the school's charter authorizer.¹ The following Annual Report Guidelines (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 faithful to its charter.

A school's Annual Report should provide information on the performance for the prior academic year, as well as a discussion of progress toward the achievement of goals established within a school's binding charter contract. This process delineates important information about the school's performance and will contribute to and inform authorizer monitoring and decision making.

New York State charter law requires all charter schools to report annually on progress toward performance goals agreed upon in their charter contracts.² Charter schools are required to submit the Annual Report to their authorizer and to the Board of Regents. The SED's Charter School Office has collaborated with the other New York state authorizers to streamline the Annual Report process using an online portal for the 2012-2013 submissions.

All charter schools in New York must comply with reporting mandates via the Codes, Rules and Regulations of the State of New York.³ Much of this data is captured in the following management information systems: Student Information Repository System (SIRS), the Basic Educational Data System (BEDS), the School Report Card Database (SRC) and the Violent and Disruptive Incidents Report (VADIR). Though Guidelines do not ask for schools to replicate information presented within these systems, all schools will be held accountable for ensuring accurate data sharing through such mechanisms.

The components to be included in each section are outlined in the Guidelines below. Please note that all required information must be clearly documented in order to complete this statutory requirement. Schools will be able to download a completed report to make available to the public.

Please Note: All Annual Reports shall be made publicly available and posted on the charter school website by August 1 every year.

¹ Per [New York State Education Law](#) (Section 2857, Subdivision 2, Section 23 as amended by Chapter 101 and 102 of the Laws of 2010), the public charter school annual report must be submitted to the charter authorizer and to the Board of Regents, and posted on the school website by August 1 every year.

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

³ Per the Official Compilation of Codes, Rules, and Regulations of the State of New York (8-NYCRR-119.3), charter schools are required to report on the following indicators: basic education data, enrollment by grade, student data by district of residence, teacher qualifications, ELL data, FRLP data, technology and media resources, academic performance data, as well as electronic records for students who meet criteria listed in 8-NYCRR 100.2(b)(2)(ii),(iii), or (iv).

Report Submission Instructions

All Annual Reports must be submitted through the SED's Charter School Office online portal found at: <https://nysed-cso-reports.myreviewroom.com>. All authorizers in the state of New York will access the reports through this portal; therefore, this year **schools are not required to e-mail authorizers a 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.

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 the authorizers. Format specifications and due dates of some information may also fluctuate 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 will be presented as “tasks” within the online system. **Instructions for using the online portal can be found at:** <http://www.p12.nysed.gov/psc/2012-2013AnnualReportPage.html>.

A charter school's Annual Report must be a clear and accessible document for parents, the charter school's authorizer, SED'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.

All schools must submit the first component of the Annual Report by 3:00 p.m. on Thursday, August 1, 2013. This submission includes basic school information, the school's progress toward goal achievement, fiscal performance data, board of trustee membership information and disclosures. The specific requirements are described in the Report Content Requirements on Pages 6-8 of these Guidelines.

The second submission includes the Independent Financial Audit and a final completion of Progress Toward Charter Goals. Since independent financial audits for all schools are not available until after August 1, all charter schools are asked to upload final 2012-2013 independent financial audits, along with corresponding reports, management letters (the independent auditor's report on the financial statements, report on compliance, report on internal control over financial reporting, management letter, and federal Single Audit, if applicable) to SED's Charter School Office portal by **November 1, 2013**.⁴ Because the release of 2012-2013 NYS assessment data is also not expected until after August 1, 2013, and schools may need additional time to analyze the data, this component of the Annual Report should also be completed **by 3:00 p.m. on Friday, November 1, 2013**.

If, after reading instructions carefully, you have any questions about the required information, format or deadlines of the Annual Report, contact your authorizer:

- New York State Board of Regents (SED): charterschools@mail.nysed.gov
- State University of New York Trustees (SUNY): charters@suny.edu
- New York City Department of Education (NYCDOE): charterschools@schools.nyc.gov
- Buffalo Board of Education: acullen@buffaloschools.org

For general questions about the submission process, send an email to: charterschools@mail.nysed.gov.

⁴ New York State Education Law 2857 (2)(c). Please refer to <http://www.p12.nysed.gov/psc/audits.html> for additional detail.

Report Content Requirements

I. School Information and Cover Page

Each Annual Report must begin with a completed School Information and Cover Page. The information will be collected in a survey format within the online portal at <https://nysed-cso-reports.myreviewroom.com>. The specific information is included on page 9 of these Guidelines and can be found as a stand-alone document on the SED's Charter School Office website: <http://www.p12.nysed.gov/psc/2012-2013AnnualReportPage.html>.

Note: **Schools should include a description of past charter revisions** in this section. Summarize any material and/or nonmaterial revisions to the school's charter proposed by the school's board of trustees and approved by the school's authorizer and/or the Commissioner and Board of Regents (as appropriate) during the 2012-2013 school year. If you have a revision that is under review with your authorizer, please make a note of its status.

II. New York State School Report Card

Provide a direct web link to the most recent New York State School Report Card for the charter school (see <https://reportcards.nysed.gov/>). This report captures school-level enrollment and demographic information, staff qualifications, electronic student records, and attendance rates, as prescribed by New York State statute.⁵

III. Key Focus Areas

This section of the Annual Report provides substantive evidence of a school's performance relative to goals established within its charter contract. Schools will also provide information on the school's financial viability, enrollment and retention data and strategies, charter revisions, and governance structure.

A. Progress Toward Goal Achievement

1. Given the timing of the release of 2012-2013 NYS state assessment data, this component of the Annual Report should be submitted in a format determined by each authorizer by a date specified by each authorizer. Regents, NYCDOE, and Buffalo BOE-authorized schools will upload information they have available to them by **August 1, 2013** directly into the online portal, with a final submission of all information by **November 1, 2013** (see 2 below). Using the tables provided in **Appendix A (Progress Toward Charter Goals)** or the designated format established by respective authorizers, list each goal and measure contained in the school's current charter relating to the success of the academic program. For each listed measure, state whether the school has met, is making progress toward meeting, or has not met the goal. Measures must be the same as those listed in the school's approved charter. Provide data or other evidence supporting the statement. If the goal has not been met, describe why it was not met, and the efforts that the school is undertaking to attain it.

SUNY-authorized charter schools must download an Accountability Plan Progress Report template form SUNY's Charter School Institute at <http://www.newyorkcharters.org>. After completing, schools must upload the document into the portal with the deadline roughly 30 days after the release of the state test scores for K-8 schools and September 15 for high schools.

⁵ SRC data is included in reporting requirements for New York charter schools in 8 NYCRR 119.3.

2. **Board of Regents-authorized schools, NYC Department of Education, and Buffalo BOE-authorized schools must use the tables in Appendix A to report progress toward Academic Goals.** If the results are not available by August 1, list the goals and explain in this in “progress toward goal attainment” column. This task will reopen for the school to finalize information on progress toward academic goals by the **November 1, 2013** due date.

Note: Board of Regents-authorized schools that began instruction for the first time during the fall of 2012 or that were renewed in 2012-2013 will be held accountable to the indicators in the Performance Framework⁶ which includes the charter-specific student performance goals in Benchmark 1 (Indicator 5). Schools will complete the Academic/Student Performance Table in Appendix A using the student academic performance goals in the school’s charter.

B. Financial Information

1. Total expenditures and administrative expenditures per child

This information is required of ALL charter schools. Provide the following measures of fiscal performance of the charter school in **Appendix B (Total Expenditures and Administrative Expenditures Per Child)**:

- Total expenditures (FY 2013) per pupil (BEDS Day Count): the sum of all expenditures divided by the total number of enrolled students; and,
- Administrative expenditures per pupil: the sum of all general administration salaries and other general administration expenditures divided by the total number of enrolled students.

Employee benefit costs or expenditures should not be reported.

2. Unaudited Financial Statements

Board of Regents-authorized schools only are required to provide the charter school’s unaudited financial statements for the fiscal year ending June 30, 2013 (FY 2013). The unaudited financial statement must including the Statement of Financial Position (Balance Sheet) and the Statement of Activities (Income Statement). The information must be directly entered into the template provided for schools in the online portal <https://nysed-cso-reports.myreviewroom.com/res/>. The template can also be found on the SED’s Charter School Office website <http://www.p12.nysed.gov/psc/2012-2013AnnualReportPage.html> as a stand alone document. Download the document to enter information, then upload it back into the school’s Annual Report in **Appendix C (Unaudited Financial Statements)**. DO NOT turn the document into a PDF—it should be uploaded as an Excel document.

3. **Final Audited Financial Statements.** ALL charter schools must submit final, audited financial statements to SED’s Charter School Office no later than **November 1, 2013**. Note: This task will be visible on August 1, 2013 in the online portal and clearly identified as a task due on November 1.

Regents, NYDOE, and Buffalo DOE-authorized schools should upload copies of the entire auditor’s report as described on page 5 of these guidelines.

⁶ <http://www.p12.nysed.gov/psc/documents/CSPerformanceFramework022113.pdf>

SUNY-authorized schools must download the Excel Spreadsheet for SUNY's Fiscal Dashboard from the SUNY Charter School Institute website at <http://www.newyorkcharters.org>. After entering the information requested, then upload the file in Excel format.

4. Regents, Buffalo BOE, and SUNY-authorized schools must upload a copy of the school's FY14 Budget, **Appendix D (FY 2014 Budget)**. No template is provided for Regents and Buffalo BOE-authorized schools.

SUNY-authorized charter schools should upload a copy of the school's FY14 Budget using the template found at <http://www.newyorkcharters.org/schoolsFiscalOperation.htm>.

C. Board of Trustees Information

1. The Boards of Trustees of **ALL charter schools must complete** the form in **Appendix E (Disclosure of Financial Interest Form)** for each active trustee who served on the school's board during the 2012-2013 school year. The online portal allows for members to access the form and complete it online. Instructions for granting access to the online form can be found at: <http://www.p12.nysed.gov/psc/2012-2013AnnualReportPage.html>.
2. **ALL charter schools must complete** the Board of Trustees Membership Table within the online portal in **Appendix F (Board of Trustees Membership Table)**.
3. **Regents-authorized charter schools** must upload a complete set of Board of Trustee Meeting Minutes from July 2012-June 2013 into **Appendix G (Board minutes)**.

D. Enrollment and Retention

Describe the efforts the charter school has utilized in 2012-2013 to attract and retain a greater enrollment of students with disabilities, English language learners, and students who are eligible for free and reduced priced lunch; and describe the school's plans for meeting or making progress toward its enrollment and retention targets in 2013-2014 in **Appendix H (Enrollment and Retention Efforts)**.

ALL charter schools must complete this section. Regents-authorized schools must attach documentation of the school's efforts (e.g., recruitment materials, programmatic supports) to attract and retain such students. Other schools must provide information in the format specified by their authorizer.

School Information and Cover Page
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Required of ALL charter schools. Note: some questions may not appear depending on responses to certain questions.

- 1. School Name/BEDS #**
- 2. Charter Authorizer**
- 3. District/CSD of Location**
- 4. Primary address, Telephone, Fax, School email address**
 - 4.a Emergency Contact name, title, phone number**
- 5. School web address**
- 6. Date of Initial Charter**
- 7. Date school first opened for instruction**
- 8. Total number of students 2012-2013 Enrollment (on BEDS day)**
- 9. 2012-2013 Grades Served**
- 10. Charter Management Organization/Educational Management Organization (if applicable)**
 - 10. a CMO/EMO Contact information (including by function, name, phone #s, e-mail address)**
- 11. Facilities Information**
- 12. School Sites: Physical Address(es), Phone Number(s), District/CSD, Grades Served by Site, Facility Agreement**
 - 12. a-c Contact information by site**
- 13. Co-Location information**
- 14-15. Summary of Charter Revisions**
- 16. Signatures, Head of Charter School and President of the Board of Trustees**

Required Forms: Appendices

Appendix A: Progress Toward Charter Goals

Required of ALL charter schools in the formats prescribed by their respective authorizers

The following Tables reflect formatting in the online portal required for **Board of Regents-authorized charter schools and NYCDOE-authorized charter schools only**. Schools should list **Progress Toward Charter Goals by August 1, 2013**. If the goals are based on student performance data that the school will not have access to by August 1, 2013 (e.g., the NYS Assessment results), explain this in the "2012-2013 Progress Towards Attainment of Goal" column. The information can be updated when available. **Appendix A must be fully completed no later than November 1, 2013.**

Academic Student Performance Goals⁷

2012-2013 Progress Toward Attainment of Academic Charter Goals			
Academic Student Performance goal	Measure used to evaluate progress toward attainment of goal	2012-2013 progress toward attainment of goal	If not met, describe efforts the school will take to meet goal

Organizational Goals Table

2012-2013 Progress Toward Attainment of Organizational Charter Goals			
Organizational goal	Measure used to evaluate progress toward attainment of goal	2012-2013 progress toward attainment of goal	If not met, describe efforts the school will take to meet goal

Financial Goals Table

2012-2013 Progress Toward Attainment of Financial Charter Goals			
Financial goal	Measure used to evaluate progress toward attainment of goal	2012-2013 progress toward attainment of goal	If not met, describe efforts the school will take to meet goal

⁷ Board of Regents-authorized charter schools who began instruction for the first time in the fall of 2012 or who were renewed in 2012-2013 will be held accountable to the Student Performance Benchmark 1 in the Performance Framework which includes the charter-specific student performance goals addressed in this table.

Appendix B: Total Expenditures and Administrative Expenditures per Child
Required of ALL charter schools

UPLOAD REQUIRED DOCUMENTATION– No form provided

Appendix C: Unaudited Financial Statements
Required of Regents-authorized charter schools only

UPLOAD REQUIRED DOCUMENTATION – Template Provided

Appendix D: FY 2014 Budget
Required of Regents and SUNY-authorized charter schools only

UPLOAD REQUIRED DOCUMENTATION – No form provided for Regent-authorized schools

SUNY-authorized schools should obtain template from authorizer

Appendix E: Disclosure of Financial Interest Form
Required of ALL charter schools

The table is reflective of the information collected through the online form
This Disclosure is a public record, but asterisked data fields will be redacted automatically through the online system.

Annual Report 2012-2013 Board of Trustee Disclosure

1. Trustee Name (print) _____
2. Charter School Name _____
3. Charter Authorizer Entity _____
4. Home Address* _____
5. Business Address* _____
6. Daytime Phone* _____
7. E-Mail Address* _____

8. List all positions held on board (e.g., chair, treasurer, parent representative)

9. Is the trustee an employee of the school? ___ **Yes** ___ **No**

If **Yes**, please provide a description of the position you hold and your responsibilities, your salary and your start date.

10. Is the trustee an employee or agent of the Management Company or institutional partner of the charter school? ___ **Yes** ___ **No**

If **Yes**, please provide a description of the position you hold and your responsibilities, your salary and your start date.

11. Identify each interest/transaction (and provide the requested information) that you or any of your immediate family members or any persons who live with you in your house have held or engaged in with the charter school during the time you have served on the board, and in the six-month period prior to such service. If there has been no such financial interest or transaction, write **None**. Please note that if you answered **Yes** to Question 2-4 above, you need not disclose again your employment status, salary, etc.

Date(s)	Nature of Financial Interest/Transaction	Steps taken to avoid a conflict of interest, (e.g., did not vote, did not participate in discussion)	Name of person holding interest or engaging in transaction and relationship to yourself
<i>Please write "None" if applicable. Do not leave this space blank.</i>			

12. Identify each individual, business, corporation, union association, firm, partnership, committee proprietorship, franchise holding company, joint stock company, business or real estate trust, non-profit organization, or other organization or group of people doing business with the school **and** in which such entity, during the time of your tenure as a trustee, you and/or your immediate family member or person living in your house had a financial interest or other relationship. If you are a member, director, officer or employee of an organization formally partnered with the school that is doing business with the school through a management or services agreement, please identify only the name of the organization, your position in the organization as well as the relationship between such organization and the school. If there was no financial interest, write **None**.

Organization conducting business with the school	Nature of business conducted	Approximate value of the business conducted	Name of Trustee and/or immediate family member of household holding an interest in the organization conducting business with the school and the nature of the interest	Steps Taken to Avoid Conflict of Interest
<i>Please write "None" if applicable. Do not leave this space blank.</i>				

Appendix F: Board of Trustees Membership Table

Required of ALL charter schools

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 (Yes/No)	Area of expertise, and/or additional role at school (parent, staff member etc.)	Number of terms served and length of each, including date of election and expiration
Total Members joining the board the 2012-2013 school year					
Total Members departing the board during the 2012-2013 school year					

Appendix G: Board Minutes

Required of Regents-authorized charter schools only

UPLOAD DOCUMENTATION – No form provided

Appendix H: Enrollment and Retention Efforts

Required of ALL charter schools

UPLOAD DOCUMENTATION – No form provided

Describe the efforts the charter school has utilized in 2012-2013 and a plan for efforts to be taken in 2013-2014 to attract and retain a greater enrollment of students with disabilities, English language learners, and students who are eligible for free and reduced priced lunch.