**NYS FIELD MEMO**

Date: September 29, 2016

To: Superintendent and Independent Receivers responsible for

 Persistently Struggling and Struggling Schools that may or may not also be v implementing a 1003(g) School Improvement Grant (SIG) or a School Innovation Fund (SIF) Grant, and Non-Receivership Schools implementing SIG or SIF.



From: Dr. Cheryl Atkinson

Re: **2016-17 Progress Reporting and Performance Management for**

 **Receivership Schools and Non-Receivership Schools implementing 1003(g) SIG or SIF grants**

 As part of the New York State Education Department’s effort to hold schools and districts accountable for the results to be achieved in Persistently Struggling and Struggling Schools, and in non-Receivership Priority schools implementing a SIG or SIF grant, the Department’s Office of Innovation and School Reform has re-established a progress reporting and performance management process for the 2016-17 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 to determine the extent to which schools under Receivership are on track to achieve their selected performance indicators and how well districts/EPOs are utilizing school-level data to monitor and adjust plan implementation. Each 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 made available to the public by 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 (SCEP, SIG, or SIF) 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. *Instructional Technology Plan* - Districts/EPOs are required to describe the current status of the implementation of the District Technology Plan pertinent to this school, as well as the use of technology in classrooms.
6. *Budget/Fiscal* – NYSED expects districts/EPOs to monitor the draw-down of funds 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 iswithin the budget, and the school is fully implementing thisstrategy *with impact*. |
| **Yellow** | Some barriers to implementation/ outcomes/ spending exist; withadaptation/correction school will be able to achieve desiredresults. |
| **Red** | Major barriers to implementation/ outcomes/ spendingencountered; results are at-risk for not being realized; majorstrategy adjustment is required. |

1. *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, 2016 | January 30, 2017 |
| April 28, 2017 | July 31, 2017 |

 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 Quarterly 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 under separate cover, and will also be posted on the OISR website.

**Quarterly Reporting for Non-Receivership Schools implementing SIG or SIF Grants**

 For non-Receivership schools that are implementing a SIG or SIF grant, quarterly reports are not required. Instead, non-receivership Priority schools implementing a SIG or SIF grant will be required to complete two reports annually. The first mid-year report will be due on January 30, 2017, and the second required report will be the SIG/SIF Continuation Plan for 2017-18 which will be due on April 28, 2017. These report templates will be sent to you under separate cover, and will also be posted on the OISR website.

**Performance Review Telephone Calls for Receivership Schools**

 Performance review conversations will be held with Superintendent/Independent Receivers, EPOs, and district-level staff directly involved in the oversight of schools under Receivership. These phone 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 and district/EPO 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.

 In most cases, performance review telephone calls will be scheduled quarterly to coincide with the submission of written reports. However, larger districts (New York City, Buffalo, Rochester, Syracuse and Yonkers) may have several performance review calls scheduled to allow time to discuss many schools, or instead, may have telephone calls on a monthly basis to avoid overly burdensome agendas. Monthly telephone calls to larger districts will use the most recent quarterly report as the basis of these discussions.

**Performance Review Telephone Calls for Non-Receivership Schools implementing SIG or SIF Grants**

 At this time, performance review calls will only be held with non-Receivership schools implementing a SIG or SIF grant 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 Receivership Schools**

 In addition to written quarterly reports and performance review conversations, NYSED staff will conduct on-site visits to any one or a number of schools under Receivership in a district. 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 school leadership and how well do they predict the likelihood of meeting school goals?

 Monitoring visits may be conducted with or without notification and district staff may or may not be present. Debriefing may occur on-site at the time of the visit, at the district office at the conclusion of a series of visits, or in written form as a document sent to the district electronically.

**On-site Monitoring for Non-Receivership Schools implementing SIG or SIF Grants**

 For schools implementing a SIG or SIF grant, that are not in Receivership, the same information as described above for Receivership 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.

**Public Hearing and Community Engagement Team Requirements for Receivership Schools**

 Last 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, it is expected that each school keep evidence of these activities, applicable to the 2016-2017 school year, on-site and available for review during on-site visits. Public Hearing and Community Engagement Team requirements can be found on the OISR website at: [Public Hearing and CET requirements](http://www.p12.nysed.gov/oisr/Receivership.html)

**Additional Information**

 Again, the *Receivership Quarterly Report* for the 1st quarter is attached with this memo.

Additional reports and Receivership resources may be found at the Office of Innovation and School Reform’s website at [OISR Website](http://www.p12.nysed.gov/oisr/), which will continually be updated.

 **Please note again, that the first report is due October 31, 2016, and should be submitted to the Office of Innovation and School Reform via the** **OISR@nysed.gov** **mailbox.**

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

 Please note that the Final Expenditure Forms or FS-10Fs, for 2015-16 Persistently Struggling School grants and SIG or SIF grants are due to the Department within 90 days of the end date of the grant. All 2015-2016 SIG and SIF budget periods ended no later than August 31, 2016.The FS-10F forms can be found here: [FS-10F Forms](http://www.oms.nysed.gov/cafe/forms/).

 For Receivership or non-Receivership Schools implementing SIG 7 models, during performance review calls and/or site visits (if applicable) please be prepared to discuss how you met the post-award requirements to be in place within 30 days of receipt of your preliminary award letters. (This information is delineated in the SIG 7 RFP, found here [SIG 7 RFP](http://www.p12.nysed.gov/funding/1003g-school-improvement-grant-sig-7/home.html) on pages 17-18.)

 Lastly, updated SIG and SIF “School-level Baseline Data and Target-Setting Charts”, or “Attachment Bs”, were due for all non-Receivership SIG 3, 4, 5, and 6 and SIF 3 schools by August 31, 2016; however, districts indicated that they would like the opportunity to update the charts based on receipt of additional data. Updated Attachment Bs should be emailed by October 31, 2016. If you are submitting a revised Attachment B, simply update the one you submitted in August. SIG 7 schools should reference the Attachment B submitted with the approved applications and revise, if necessary. Otherwise, we will reference that 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.