



New York State Education Department

[Final 2020-2021 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 (BOR) and the New York State Education Department (NYSED) wish to specifically acknowledge and thank the State University of New York's Charter Schools Institute (SUNY CSI), the New York City Department of Education (NYCDOE), and the Board of Education of Buffalo Public Schools for their contributions and collaborative efforts in creating this Annual Report.

SUNY Charter Schools Institute

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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 (Since August 1, 2021 falls on a weekend this year, the deadline for submission of the 2020-2021 Annual Report is August 2, 2021). **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 deadline.**

The [2020-2021 Annual Report Guidelines](#) include general instructions for submission, report content requirements, and key inquiries that highlight academic, organization, 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 2020-2021 Annual Report through the online portal by **August 2, 2021** or no later than the dates specified in the applicable sections of the guidance. 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) [Annual Report Portal](#). All four authorizers in New York State access their respective annual reports through this portal. Therefore, charter schools are not required to e-mail or submit hard copies of the Annual Report to their respective authorizers. Waivers or extended deadline requests will not be granted.

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.

Schools that changed to another authorizer (through an education corporation merger) during the 2020-2021 school year should follow the submission requirements of the authorizer overseeing the school as of June 30, 2021.

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.

All schools must submit the first component of the Annual Report no later than 11:59 p.m. on August 2, 2021 unless otherwise indicated for specific tasks. This submission includes basic school information, progress toward charter goals, board of trustees’ meeting and membership information (including completed Trustee Financial Disclosure Forms). The specific requirements are described in the section heading labeled “Content Requirements” of the Guidelines.

SUNY-authorized charter schools must download an [Accountability Plan Progress Report template](#) and, after completion, schools must upload the document into the SUNY Epicenter system by **August 16, 2021**. SUNY CSI will forward to NYSED CSO.

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 [Annual Report Portal](#). When entering information in the portal, some of the following items may not appear, depending on your authorizer and/or your responses to related items.

- a. Official School Name (as chartered) and Popular School Name
- b. Charter Authorizer as of June 30, 2021
- 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)
Key Design Elements (Regents, NYCDOE and Buffalo BOE authorized schools only)
- g. School Website Address
- h. Total Approved Chartered Enrollment for 2020-2021 SY
- i. Total Enrollment on June 30, 2021 – excluding Pre-K program enrollment
- j. Grades Served during the 2020-2021 School Year
- k. [Charter Management Organization/Educational Management Organization](#) (if applicable), including contact information (name, email address, telephone number)
- l. Facilities Information: physical addresses, phone numbers, district/CSD, and grades served in 2020-2021 and to be served in 2021-2022; Emergency Contact Name, Title, and Phone Number; Public (co-located) or Private Facility; COO and Fire Safety Inspection Documentation for each private site.⁴
- m. Summary of Material and Non-Material Charter Revisions approved or pending in 2020-2021 including updates to the school's board of trustee bylaws, enrollment policy, discipline policy, or complaint policy
- n. Name/ Position of Person Completing/Submitting the 2020-2021 Annual Report
- o. 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 Via Entry 14

This task will appear in Entry 14 the 2020-2021 Annual Report. Even if there is no school data yet reported, 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.⁵

⁴ <http://www.p12.nysed.gov/psc/regentoversightplan/otherdocuments/fireinspec.html> and <http://www.p12.nysed.gov/psc/aboutcharterschools/lawsandregs/Fire19.pdf>

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

Entry 3 – Progress Toward Goals⁶

SUNY-Authorized Charter Schools ONLY- Complete Template and Upload to Epicenter

SUNY-authorized charter schools must download an Accountability Plan Progress Report template at [Accountability Plan Progress Report](#). After completing, SUNY-authorized charter schools must upload the document into the SUNY Epicenter system by **August 16, 2021**. SUNY CSI will forward to NYSED CSO.

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. These charter schools should report all Progress Toward Charter Goals as per their currently approved charters no later than **November 1, 2021**.

Academic Student Performance Goals

2020-2021 Progress Toward Attainment of Academic Charter Goals			
Academic student performance goals	Measure used to evaluate progress toward attainment of goal	2020-2021 progress toward attainment of goal Met/Not Met/Unable to Assess Due to COVID-19	If not met, describe efforts the school will take to meet goal. If unable to assess goal due to COVID-19, type N/A for Not Applicable

Organization Goals

2020-2021 Progress Toward Attainment of Organization Charter Goals			
Organization goals	Measure used to evaluate progress toward attainment of goal	2020-2021 progress toward attainment of goal Met/Not Met	If not met, describe efforts the school will take to meet goal.

Financial Goals

2020-2021 Progress Toward Attainment of Financial Charter Goals			
Financial goals	Measure used to evaluate progress toward attainment of goal	2020-2021 progress toward attainment of goal Met/Not Met	If not met, describe efforts the school will take to meet goal.

⁶ 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 – Audited Financial Statements

Required of ALL Charter Schools⁷

ALL SUNY-authorized charter schools must upload the financial statements in .PDF format into the SUNY Epicenter system no later than **November 1, 2021**. SUNY CSI will forward to NYSED CSO.

ALL Regents, NYCDOE, and Buffalo BOE authorized charter schools must upload final, audited financial statements to the [Annual Report Portal](#) no later than **November 1, 2021**. 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.

Entry 4a – Audited Financial Report 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 completing, schools must upload the document into the SUNY Epicenter system no later than **November 1, 2021**. SUNY CSI will forward to NYSED CSO.

Entry 4b – Audited Financial Report 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 2020-2021 Charter School Annual Report webpage](#). Upload the completed file in Excel format.

EDUCATION CORPORATIONS WITH MORE THAN ONE SCHOOL SHOULD COMPLETE THE EXCEL SPREADSHEET FOR THE EDUCATION CORPORATION AS A WHOLE, NOT FOR THE INDIVIDUAL SCHOOLS. PLEASE SUBMIT THE SAME EXCEL SPREADSHEET FOR EACH OF THE SCHOOLS.

⁷ NOTE: This task appears as visible and optional task in the online portal until August 2, 2021, but will be identified as a required task thereafter and due on November 1, 2021.

Entry 4c – 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 school⁸
5. Corrective Action Plan for Audit Findings and Management Letter Recommendations

Entry 4d – Financial Contact Information

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

Entry 5 – Fiscal Year 2021-2022 Budget

SUNY-authorized charter schools should download the [2021-2022 Budget and Quarterly Report Template](#) on the SUNY website and upload the completed template into Epicenter. SUNY CSI will forward to NYSED CSO.

Regents, NYCDOE, and Buffalo BOE authorized charter schools should upload a copy of the school’s FY21 Budget using [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.

⁸ Note: For BOR schools chartered or renewed after the 2017-2018 school year, the escrow account per school is \$100,000.

Entry 6 – Board of Trustees Disclosure of Financial Interest Form

Required of ALL Charter Schools

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 2020-2021 school year must complete a signed:

- **SUNY-Authorized Charter Schools:** [SUNY Financial Disclosure Form.pdf](#)
- **Regents, NYCDOE, and Buffalo BOE Authorized Schools:** [Disclosure of Financial Interest Form](#)

All completed forms must be collected and uploaded in .PDF format for each individual member. **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.** (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.

Entry 7 – Board of Trustees Membership Table⁹

ALL charter schools or education corporations governing multiple schools must complete the Board of Trustees Membership Table within the online portal. Please be sure to include and identify parents who are members of the Board of Trustees and indicate whether parents are voting or non-voting members.

⁹ 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, parent or other 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, NYCDOE AND BUFFALO BOE CHARTER SCHOOLS				
Non-Voting Trustee Name and Email Address	Parent or other Constituent Representatives	Committee Affiliation(s)	Number of Terms Served	Current Term Start and End MM/YY
All Schools	Total number of Voting Members on June 30, 2021:			
	Total number of Voting Members added during the 2020-2021 school year:			
	Total number of Voting Members who departed during the 2020-2021 school year:			
	Total Number of Voting members in 2020-2021, as set by the board in bylaws, resolution, or minutes:			
Regents, NYCDOE, & Buffalo BOE Schools	Total number of Non-Voting Members on June 30, 2021:			
	Total number of Non-Voting Members added during the 2020-2021 school year:			
	Total number of Non-Voting Members who departed during the 2020-2021 school year:			
	Total Number of Non-Voting members in 2020-2021, as set by the board in bylaws, resolution or minutes:			
All Schools	Number of board meetings conducted in 2020-2021:			
	Number of board meetings scheduled for the 2021-2022 school year:			

Entry 8 – Board Meeting Minutes

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

Schools must upload a complete set of monthly board meeting minutes (July 2020-June 2021), which should match the number of meetings held during the 2020-2021 school year, as indicated in the above table. The minutes provided must be the final version approved by the school's Board of Trustees and may be uploaded individually or as one single combined file. Board meeting minutes must be submitted by **August 2, 2021**.

Entry 9 – Enrollment and Retention

Required of ALL Charter Schools

Describe the good faith efforts the charter school has made in 2020-2021 toward meeting targets to attract and retain the enrollment of Students with Disabilities (SWDs), English Language Learners (ELLs), 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 2021-2022.

Entry 10 – Employee Fingerprint Requirements Attestation

A. TEACH System – Employee Clearance

Charter schools must ensure that all prospective employees¹⁰ 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, or related/contracted service providers.** 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.

¹⁰ 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, as well as related/contracted service providers.** See NYSED memorandum dated October 1, 2019 at <http://www.p12.nysed.gov/psc/aboutcharterschools/lawsandregs/EmployeeFingerprintOct19.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.

B. 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.

Schools are asked to attest that they have reviewed and understand these requirements. More information can be found in the memo at [NYSED CSO Employee Clearance and Fingerprint Memo 10-2019](#).

- I hereby attest that <SCHOOL NAME> has reviewed, understands, and will comply with these requirements.

Entry 11 – 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, 2021)¹¹
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 count in only one FTE uncertified category. Please **do not** include paraprofessionals, such as teacher aides.

A. 30% OR 5 UNCERTIFIED TEACHERS WHICHEVER IS LESS		ENTER TOTAL FROM BELOW >
i.	FTE count of uncertified teacher with at least three years of elementary, middle or secondary classroom teaching experience (June 30, 2021)	
ii.	FTE count of uncertified teachers who are tenured or tenure track college faculty (June 30, 2021)	
iii.	FTE count of uncertified teachers with two years of Teach for America experience (June 30, 2021)	
iv.	FTE count of uncertified teachers with exceptional business, professional, artistic, athletic, or military experience (June 30, 2021)	
B. PLUS FIVE UNCERTIFIED TEACHERS IN DISCIPLINES		ENTER TOTAL FROM BELOW >
i.	Mathematics	
ii.	Science	
iii.	Computer Science	
iv.	Technology	
v.	Career and Technical Education	
C. PLUS 5 ADDITIONAL UNCERTIFIED TEACHERS		ENTER TOTAL FROM BELOW >
i.	FTE count of uncertified teacher with at least three years of elementary, middle or secondary classroom teaching experience (June 30, 2021)	
ii.	FTE count of uncertified teachers who are tenured or tenure track college faculty (June 30, 2021)	
iii.	FTE count of uncertified teachers with two years of Teach for America experience (June 30, 2021)	
iv.	FTE count of uncertified teachers with exceptional business, professional, artistic, athletic, or military experience (June 30, 2021)	
D. NUMBER OF UNCATEGORIZED TEACHERS		ENTER TOTAL >
SUMMARY TOTALS		
Total Count of Uncertified Teachers	FTE Count of <u>Uncertified</u> Teachers (June 30, 2021) (Sum of Categories A, B AND C)	
Total Count of Uncategorized Teachers	FTE Count of <u>Uncategorized, Uncertified</u> Teachers (June 30, 2021) (Category D)	
Total Count of Certified Teachers	FTE Count of <u>Certified</u> Teachers (June 30, 2021)	
Total	Total Number of Teachers in School	

¹¹ 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.

Entry 12 – Organization Chart

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

Upload the 2020-2021 **Organization Chart**. The organization chart should include position titles and reporting relationships. Employee names should not appear on the chart.

Entry 13 – School Calendar

Required of ALL Charter Schools

Given these uncertain and changing times, charter schools may or may not have a school calendar ready to upload by the submission deadline this year of August 2, 2021. If the charter school has a tentative calendar based on available information and guidance at the time, please submit with the August 2, 2021 submission. Charter schools will be able to upload an updated school calendar into the portal at any time but no later than **September 15, 2021**.

School calendars must meet the [minimum instructional requirements](#) as required of other public schools “... *unless the school’s charter requires more instructional time than is required under the regulations.*”

Board of Regents-authorized charter schools are required to submit school calendars that clearly indicate the start and end date of the instructional year AND the number of instructional hours and/or instructional days for each month.

Entry 14 – Links to Critical Documents on School Website

Required of ALL Charter Schools noting that SUNY-authorized charter schools are not required to submit item 5: Authorizer-approved DASA policy

By law, each charter school is required to maintain certain notices and policies listed on its website. Please insert the link from the school’s website for each of the items:

1. Most recently filed Annual Report (i.e., 2019-2020 Annual Report);¹²
2. Most recent board meeting notice, documents to be discussed at the meeting (if any), and webcast of Board meetings (if held virtually per Governor’s Executive Order);
3. Link to New York State School Report Card;
4. Lottery Notice announcing date of lottery;

¹² Post on website all three components i.e. August 2, 2021 submission: Accountability Plan Progress Report and annual financial audits.

5. Authorizer-approved DASA Policy (**For Regents, NYCDOE, and Buffalo BOE Authorized Charter Schools ONLY**);
6. District-wide safety plan and authorizer-approved Discipline Policy (as per August 29, 2020 [Emergency Response Plan Memo](#));
7. Authorizer-approved FOIL Policy; and
8. Subject matter list of FOIL records.

Entry 15 – Staff Roster Template

Required of Regents-Authorized Charter Schools ONLY

Please click on the MS Excel [Staff Roster Template](#) and provide the following information for **ANY and ALL instructional and non-instructional employees**.

- Full name for any and all employees
- TEACH IDs for any and all employees
- Using the drop-down menu, select a role/position (or the best fit) for each employee in the charter school. (Please provide additional information to the Notes Section of the Staff Roster Template as necessary)
- Date of hire and employment start dates
- Number of years each employee has had in their respective professions
- Number of years each employee has had in their current role in the charter school
- Using the drop-down menu, select the correct explanation as to why a teacher is teaching outside of their certification area.

Reminders: Please use the notes section provided to add any additional information as deemed necessary. Failure to adhere to the guidelines and validations in the Staff Roster Template will result in a resubmission of a fully corrected roster.