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Chancellor

ACCOUNTABILITY HANDBOOK
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Introduction

The purpose of this document is to provide an overview of the New York City Department of Education's ("NYCDOE") Office of Charter School's ("OCS") accountability framework. The oversight role of the NYCDOE as a charter entity is governed by Article 56, the New York State Charter Schools Act, and each school's Charter Agreement. The OCS serves as the Chancellor's designee to authorize, oversee and renew charter schools.

All charter schools are accountable for meeting their individual charter goals. The documents contained herein describe the framework, lens and tools through which the NYCDOE measures charter school performance (academic, fiscal, and organizational) annually, and upon renewal. As a quality authorizer, the NYCDOE provides transparency regarding its evaluative measures and tools, and its standards of excellence. We believe that by providing this clarity and detail, comprehensive feedback to schools based on our evaluations, and timely intervention, when appropriate, schools can chart a successful course toward renewal.

In addition to this document, schools and their boards should consistently make close reference to the goals and standards established in their charter, the executed contract between the board and the NYCDOE (the "charter agreement"), the Joint Authorizer's Memo and other NYSED and NYCDOE issued memoranda. Schools that are located in a NYCDOE building should also reference their Facility Agreement, which establishes the parameters of reporting to the NYCDOE and to the Special Commissioner of Investigations.

Given the changes to the Charter Schools Act, ongoing revisions to the standard charter agreement, and our continuing efforts to ensure rigorous accountability while respecting schools' autonomy, the OCS's oversight processes described in this handbook will continue to evolve.

This is the *Fourth Edition* of the NYCDOE Charter School Accountability Handbook.

Oversight Framework

The New York City Department of Education (NYCDOE) has defined Performance and Compliance Standards for all charter schools it authorizes. These Standards are organized under five categories:

- High Academic Attainment and Improvement
- Responsive Educational Program and Environment
- Responsible School Leadership, Governance and Management
- Financial Sustainability and Internal Controls
- Strong Culture and Supportive Relationships

The NYCDOE is responsible for monitoring a school's performance against these standards and has developed an oversight framework that collects information and data critical to fulfilling these responsibilities. The following is a description of how the NYCDOE conducts its oversight responsibilities. Under each standard is a list of reporting requirements, documents, or observational qualities that the OCS uses to determine a school's progress towards renewal in each area.

HIGH ACADEMIC ATTAINMENT AND IMPROVEMENT

Academic Attainment and Improvement is a component of oversight for monitoring whether students are attaining expected skills and knowledge.

Performance on State Standardized Tests

The New York Charter School Act requires charter schools to meet or exceed the State student performance standards for all other public schools. Furthermore, the NYCDOE has defined specific student performance standards for all charter schools for which it authorizes (see page 10). The OCS requires all charter schools to administer the appropriate state standardized tests for the grades it serves and to provide an analysis of this data in the Annual Report. The OCS requires that charter schools measure the value-added results on these exams by conducting same-student cohort analysis for the New York State Math and English Language Arts Tests as part of the Progress Report section in the Annual Report.

Graduation Rates

The NYCDOE has defined graduation standards for charter schools serving high school students in its Performance and Compliance Standards. The OCS requires such schools to report their graduation rates using the NYSED definition of cohort. More information will be shared with charter high schools regarding this definition.

Post-secondary Readiness

The NYCDOE believes that Regents exams and graduation rates alone are not sufficient indicators of the success of a charter high school. To that end, charter high schools will be required to incorporate goals and measures into their accountability plans that demonstrate the school's ability to prepare students for post-secondary success in college or the workforce.

Alternative/Internal Assessments and/or School-Specific Educational Goals

To supplement the common student performance standards for all NYCDOE-authorized charter schools, individual schools may, upon approval from the NYCDOE, define additional goals for demonstrating student achievement. The

OCS requires schools to report on progress, using reliable measures, against such goals. This reporting is done through the Annual Report.

RESPONSIVE EDUCATIONAL PROGRAM AND ENVIRONMENT

Educational Program and Environment is a component of oversight for monitoring whether the educational environment is safe, orderly, and supports highly effective teaching and learning. This standard evaluates all aspects of a school's daily environment, and the work being done at leadership and classroom levels to use data to inform instruction.

Quality Instruction

Curriculum

The New York Charter Schools Act requires that charter schools prepare students to meet or exceed the state's academic standards and therefore the NYCDOE requires charter schools to implement a comprehensive curriculum that is aligned with these standards. The OCS verifies that a comprehensive curriculum aligned with state standards guides instruction at the charter school.

School Calendar

The New York Charter Schools Act requires charter schools to meet, at a minimum, the state's requirement for instructional time in other public schools. The OCS requires schools to submit a copy of their school calendar and state the number of days and hours of instruction that will be provided to students.

Orderly Environment

Student Discipline Policy

The NYCDOE requires charter schools to document student discipline policies including procedures for the suspension and expulsion of students. The OCS requires schools to file their student discipline policies.

Criminal Background Checks

The New York Charter Schools Act requires administrators, teachers and staff who have regular access to students have criminal history and background checks conducted prior to employment through a fingerprinting process. The OCS verifies that criminal record checks have been properly conducted and documented on the Annual Site Visit.

Staff Qualifications

The New York State Charter Schools Act stipulates credentialing requirements for teachers in charter schools. Up to 30% of a charter school's teachers, or 5 teachers, which ever is less, are not required to hold state certification, but all charter school teachers must meet the federal No Child Left Behind "highly qualified teacher" requirements. The OCS and New York State Education Department (NYSED) verifies that charter school teachers possess the requisite credentials for their teaching assignment(s).

Student Engagement

Student Enrollment

The NYCDOE has defined standards for student enrollment in all charter schools for which it authorizes. The OCS requires charter schools to report actual student enrollment, including characteristics of the enrolled student population, such as the percentage of students eligible to receive free or reduced price lunch, demographics, and LEP or Special Education designations. New legislative provisions in the NY State Charter Schools Act require charter schools to actively recruit students with LEP and Special Education designations to reflect the composition of the Community School District in which the school is located. The OCS works to verify that each school it authorizes is indeed making efforts to recruit these students and ensure that they are served well at the school.

Student Attendance

The NYCDOE has defined standards for student attendance in all charter school for which it authorizes. The OCS requires charter schools to report actual student attendance data, and to measure this data against the school's goal for attendance in its charter. This data must also be reported each year for purposes of the NYCDOE Progress Report. Schools are encouraged to use ATS as a method for recording attendance.

Adherence to Contract Terms

Enrollment Policies

In accordance with the New York Charter Schools Act, admission to a charter school cannot be limited on the basis of disability, race, creed, gender, national origin, religion or ancestry, intellectual ability, measures of achievement or aptitude, or athletic ability. If the number of applicants exceeds the number of available seats, a random selection process, such as a lottery, must be used. Furthermore, NYCDOE requires charter schools to conduct aggressive and broad recruitment and outreach efforts in the school's Community School District in order to attract a student body representative of the City's public school population. The New York Charter Schools Act now specifies that charter schools must give preference to students who reside in the community school district in which the school is located during the admissions process. The OCS verifies that a school's enrollment policies are consistent with these requirements.

Immunization Records

The New York Charter Schools Act stipulates that all students enrolled in a charter school must have immunizations and physical examinations required for enrollment in a public school. The OCS, in collaboration with the Department of Health and Mental Hygiene (DOHMH) verifies that students enrolled in charter schools have had the requisite immunizations and physical examinations. In the event that a student applying for a seat at a charter school receives an immunization waiver, that waiver must be honored.

Special Education

In accordance with the New York Charter Schools Act, charter schools are required to comply with the federal Individuals with Disabilities Education Act, section 504 of the Rehabilitation Act of 1973, and Title II of the Americans with Disabilities Act of 1990. The OCS verifies that charter schools are implementing a comprehensive special education program that complies with applicable governing laws. For further guidance on provision of services to students with disabilities in charter schools, please reference the February 28, 2007 memorandum (this can be obtained through the OCS).

English Language Learners

In accordance with the New York Charter Schools Act, charter schools are required to serve English Language Learners in accordance with federal law, including Title VI of the Civil Rights Act of 1964 and the Equal Educational Opportunities Act of 1974. The OCS verifies that charter schools are implementing a comprehensive program for English Language Learners that complies with applicable governing laws. The OCS also verifies that the school is demonstrating “good faith efforts” to attract and retain English Language Learners by providing admissions materials in multiple languages and by working to recruit a population of limited English proficient students comparable to the school’s Community School District.

School-Specific Non-Educational Goals

To supplement the common non-educational standards for all NYCDOE-authorized charter schools, individual schools may, upon approval from the NYCDOE, define additional goals for demonstrating the success of the school’s overall program. The OCS requires schools to report on progress, using reliable measures, against such goals.

RESPONSIBLE SCHOOL LEADERSHIP, GOVERNANCE AND MANAGEMENT

Responsible School Leadership and Management is a component of oversight to ensure that competent leadership guides the school’s development.

Leadership Quality

School Leadership Roster

The OCS requires charter schools to submit information regarding the school’s leadership team, including pertinent contact information for key staff.

Board Stability

Board of Trustees Composition and Conflict of Interest Disclosures

The New York Charter Schools Act stipulates that a charter school shall be governed by a board of trustees and such boards are subject to the State’s public officers law. The OCS requires schools to submit information on each member of the Board of Trustees, including a conflict of interest disclosure and a roster of board members and their contact information.

Board of Trustees By-Laws and Meeting Schedule

The New York Charter Schools Act stipulates that charter schools are required to comply with the State’s Open Meetings Act. The OCS requires schools to submit the Board’s approved by-laws and a schedule for regular meetings for the Board of Trustees.

Minutes from Meetings of the Board of Trustees

The New York Charter Schools Act stipulates that charter schools are required to comply with the New York State Open Meetings Law. The OCS requires schools to keep accurate minutes from meetings of the board of trustees.

Education Service Provider Contracts

Contracts between a charter school board and an education service provider or a Charter Management Organization must be approved by the NYCDOE prior to the final execution of the contract. The school must submit the proposed and revised contract to the OCS for review. A school's board and the school leader must evaluate and revisit this contract on an annual basis.

FINANCIAL SUSTAINABILITY AND INTERNAL CONTROLS

Solid Financial Sustainability and Internal Controls is a component for monitoring whether a school is financially sustainable to meet its short-term financial obligations. It also examines the adequacy of internal controls that safeguard the school's assets and prevent/detect financial fraud.

Enrollment Stability

Student Enrollment

The NYCDOE has defined standards for student enrollment in all charter schools for which it authorizes. The OCS requires charter schools to report actual student enrollment, including characteristics of the enrolled student population. Schools must also report student attrition on an annual basis through the Annual Report. Any changes to enrollment must be submitted to OCS in writing as a charter revision request if these changes exceed 15% of the projected enrollment in the charter.

Financial Compliance

Annual Financial Audit

The New York Charter Schools Act requires charter schools to have an annual financial audit conducted by an independent auditor. The NYSED and OCS requires charter schools to submit a copy of the audit report as well as, if issued, the accompanying management letter and school's response.

Financial Viability & Adequate Controls

Annual Budget

The school's Board of Trustees must adopt an annual budget for the upcoming school year. Upon request, charter schools should submit a copy of the approved annual budget to OCS.

Quarterly Financials

The OCS requires schools to submit quarterly financials including a balance sheet and statement of activities.

Financial Policies and Procedures

OCS requires schools to have adequate internal control procedures to prevent and detect financial fraud. Policies covering areas such as petty cash, bank reconciliation, accounting procedure, revenue recognition, travel reimbursement, inventory etc. are considered integral to this area.

Insurance

The New York Charter Schools Act requires charter schools to obtain and maintain adequate insurance policies including officer's and general liability insurance. The OCS requires schools to file proof of insurance coverage.

Facility

The New York Charter Schools Act requires that facilities occupied by charter schools meet all applicable building and safety requirements. The OCS requires schools to file an occupancy permit and signed lease/mortgage agreement.

STRONG CULTURE AND SUPPORTIVE RELATIONSHIPS

Strong Culture and Supportive Relationships is a component of oversight for monitoring whether educators, family and community are committed to improving student achievement together. This standard helps the OCS assess the degree to which teachers, parents, and other community stakeholders are empowered to participate meaningfully in the school community, and to what extent these parties are satisfied with the school.

Staff Professionalism

Staff Retention

The OCS requires schools to report staff retention information in the Annual Report and monitors schools to see that attrition is reasonable and appropriate.

Parent Satisfaction

Parent Survey

Providing parents and students with expanded quality public school options is a core component of the NYCDOE's charter school program. The OCS requires schools to administer a survey to assess parental satisfaction with the quality of the charter school's overall program. This survey can be a school-created survey, but all schools are highly encouraged to use the NYCDOE's Learning Environment Survey.

The full Performance and Compliance Standards follow beginning on the next page.

Performance and Compliance Standards for Chancellor-Authorized Charter Schools

The New York Charter Schools Act of 1998 (Act) enables the creation of independent and autonomous charter schools. These schools are afforded more freedom over the school's educational program and operations than traditional public schools in return for a commitment to meet higher standards of accountability. As defined in the Act [§2850(2)], the purposes for charter schools are to:

- Improve student learning and achievement;
- Increase learning opportunities for all students, with special emphasis on expanded learning experiences for students who are at-risk of academic failure;
- Encourage the use of different and innovative teaching methods;
- Create new professional opportunities for teachers, school administrators and other personnel;
- Provide parents and students with expanded choices in the types of educational opportunities that are available within the public school system; and
- Provide schools with a method to change from rule-based to performance-based accountability systems by holding the schools accountable for meeting measurable student achievement results.

These are by no means easy objectives to accomplish, yet they speak to our urgent obligation to create more quality opportunities for students to achieve at high levels. Therefore, the New York City Department of Education (NYCDOE) implements a rigorous and comprehensive application process and grants charters only to school founding groups who demonstrate strong capacity establishing and operating a quality charter school.

Renewal

The authority granted by the charter to operate a charter school doesn't extend into perpetuity. In fact, the Act states that a public school charter shall be granted for a five-year period at which time the school can apply for renewal of its charter for an additional five year period.

The NYCDOE does not automatically grant charter renewal. Rather, a school must prove that it has earned renewal and is worthy of continuing the privilege of educating New York City students. To make such determinations, the Department analyzes two significant categories of evidence: a school's prior track record (retrospective analysis) and a school's future prospects of success (prospective analysis). In reviewing this information, a school must be able to demonstrate that it can satisfy the following questions:

1. Is this school an academic success?
2. Is this a viable organization?
3. Is the school in compliance with applicable laws and regulations?

The Retrospective Analysis is based on a school's performance, over the term of its charter, in achieving the high standards the Department has articulated for the charter schools it authorizes:

- High academic attainment and improvement
- Responsive educational program and environment
- Responsible school leadership, governance and management
- Financial sustainability and internal controls
- Strong culture and supportive relationships.

While the academic performance of students is the first and foremost determining factor of a school's success, a school's ability to demonstrate it has created and sustained an effective educational program, a financially viable organization, and a strong learning community are important factors that inform a renewal decision.

For each of these five standards, the NYCDOE has identified an outcome-based renewal expectation and specific indicators and measures that can assess a school's achievement of a given expectation. Schools applying for charter school renewal will have their performance ranked against these indicators. Performance on each indicator will be rated as:

1. High - Clearly meets/exceeds expectation
2. Middle - Meets the minimal expectation and/or is inconclusive and may require further evaluation
3. Low - Clearly does not meet expectation

It is important to note that the performance levels are not to be used as a scorecard, per se, since they do not have equal weight. In addition, the OCS uses other tools to evaluate schools that measure school performance using a five-point scale, such as the Annual Site Visit Protocols. Each of these evaluative tools are used to form a comprehensive picture of the extent to which a school has met student performance, educational, and operational standards over the term of its charter. OCS evaluates schools holistically and will not make determinations about a school's accountability status based on a single indicator.

STANDARD 1: HIGH ACADEMIC ATTAINMENT AND IMPROVEMENT

Renewal Expectation: Students' academic performance meets or exceeds local, state, and national standards.

	Indicator	Measurement	High Performance	Middle Performance	Low Performance
1.A	Absolute Performance	Percent Proficient on State ELA and Math Exams <i>(schools serving grades K-8)</i>	≥75%	At least 60%	<60%
		Percent passing of cohort on Regents Exams <i>(schools serving grades 9-12)</i> - schools should indicate goals of passing above 65 or 55	≥75%	At least 60%	<60%
1.B	Value-Added Performance	Progress Towards Proficiency on State ELA and Math Exams <i>(schools serving K-8 grades)</i>	Reduce by one-half the gap between percent proficient on the previous year's State ELA and Math exams and 75% proficient on the following year's State ELA and Math exams	Reduce by 20% the gap between percent proficient on the previous year's State ELA and Math exams and 75% proficient on the following year's State ELA and Math exams	Reduce by < %20 the gap between percent proficient on the previous year's State ELA and Math exams and 75% proficient on the following year's State ELA and Math exams
1.C	Comparative Performance	Percent Proficient in ELA and Math exams Above similar schools*	Percent proficient in the top quartile of similar schools	Percent proficient in the middle quartiles of similar schools	Percent proficient in the bottom quartile of similar schools
1.D	AYP Status	AYP Determinations in All Tested Subjects	AYP met in the aggregate and in all subgroups for in all tested subjects	AYP met in the aggregate and in a majority of subgroups for all tested subjects	AYP not met in the aggregate and/or in majority of tested subjects

1.E	Graduation Rates <i>(high schools only)</i>	Percent of Cohort who Graduate	At least 75% of each cohort graduate after five years	At least 66% of each cohort graduate after five years	Less than 66% of Each cohort graduate after five years
1.F	Post-secondary Success <i>(high schools only)</i>	PSAT and SAT scores, % of students successfully completing 1 semester of college or other post-secondary program, AP test passing rates, college credits completed (To be determined in conjunction with OCS for each charter high school).	To be determined for each Indicator	To be determined for each Indicator	To be determined for each Indicator
1.G	Alternative/Internal Assessment(s)	Percent of Students Who Meet Standard at Levels to be Determined in Contract	To be determined for each Indicator	To be determined for each Indicator	To be determined for each Indicator
1. H	School-Specific Educational Goal(s)	Attainment of School-Specific Educational Goal(s)	To be determined for each Indicator	To be determined for each Indicator	To be determined for each Indicator

* The NYCDOE will determine "similar schools" based on characteristics, including but not limited to, geographic location and student ethnic, racial and low-income status. NYCDOE is currently using both Community School District and Progress Report peer horizon schools as comparison points.

STANDARD 2: RESPONSIVE EDUCATIONAL PROGRAM AND ENVIRONMENT

Renewal Expectation: A quality educational program enables all students to achieve academically and socially.

	Indicator	Measurement	High Performance	Middle Performance	Low Performance
2.A	Quality Instruction	Curriculum Aligned with State Standards	The school implements a quality curriculum that prepares students to meet State performance standards	The school has a curriculum that generally aligns with State standards	The school lacks a comprehensive, cohesive curriculum
		Teacher Qualifications	Teachers are competent in their assigned areas and have the requisite qualifications under state and federal law	Teachers are competent in their assigned areas and, with few exceptions, have the requisite qualifications under state and federal law. The school has taken action to rectify teacher qualification issues	The teaching staff is not competent to deliver to a quality education program and/or has significant problems in meeting state and federal qualifications with little action to rectify such issues
		Data Driven Instruction	Evidenced data inform and transform all teaching and learning processes	Evidenced data inform some teaching and learning processes	Data does not inform teaching and learning processes
2.B	Orderly Environment	Discipline Practices	The school has documented discipline policies and procedures that are consistently applied and lead to an environment conducive to learning	The school has documented discipline policies and procedures that are generally applied	The school lacks discipline policies and procedures and/or discipline policies and procedures are inconsistently applied that create an environment not conducive to learning

2.C	Student Engagement	School-Wide Average Daily Attendance Rate	≥ 95%	At least 90%	< 90%
		Retention of Students Enrolled the Previous School Year	≥ 90%	At least 85%	< 85%
		Student Population Characteristics	The school enrolls a student population that is representative of its surrounding community.	The school enrolls a student population that is progressing in its representation of the surrounding community's composition.	The school's student population is not representative of its surrounding community.
2.D	Adherence to Contract Terms	Legal, Regulatory, and Contract Compliance	The school complies with all applicable laws, rules, regulations, and contract terms including, but not limited to, the NY Charter Schools Act, Freedom of Information Law, and Open Meetings Law, and federal IDEA and FERPA.	The school is generally in compliance with applicable laws, rules, regulations, and contract terms. In case of non-compliance, appropriate action is taken to bring the school into compliance.	The school consistently struggles to comply with applicable laws, rules, regulations and/or contract terms and takes insufficient action to bring the school into compliance.
2.E	School-Specific Non-Academic Goals	Attainment of School-Specific Non-Academic Goal(s)	To be determined for each Indicator	To be determined for each Indicator	To be determined for each Indicator

STANDARD 3: RESPONSIBLE SCHOOL LEADERSHIP, GOVERNANCE AND MANAGEMENT

Renewal Expectation: Leadership furthers the school’s mission, program and goals and is strategic to ensure adequacy, alignment and coherence of actions.

	Indicator	Measurement	High Performance	Middle Performance	Low Performance
3.A	Leadership Quality	Leadership Expertise	Leadership demonstrates exceptional education and business expertise	Leadership demonstrates sufficient education and business expertise and turnover has been stable	Leadership demonstrates insufficient education and business expertise and/or turnover has been damaging to the school
		Leadership Retention	Leadership turnover has been manageable and appropriate	Leadership turnover has been stable	Leadership turnover has been damaging to the school
		Leadership Execution	Leadership has created and makes continuous progress in strengthening a professional environment for quality teaching and learning.	Leadership is making significant progress in creating and promoting a professional environment for quality teaching and learning.	Leadership has not created professional environment for quality teaching and learning.
3.B	Board Stability	Board Size/Structure and Functions as Stipulated by Contract	Board membership is complete and contributes a broad skill set	Board membership has some unanticipated turnover and/or is reasonably balanced in expertise	Board membership is incomplete and/or not well balanced in expertise
3.C	Strategic Vision	Continuous Improvement Process	The school documents and employs processes for continuous improvement leading to positive enhancements in the school’s education program over time.	The school employs processes for continuous improvement leading to some mid-course corrections when needed.	There is a lack of engagement in the improvement process and/or responding to problems that negatively impact the quality of the education program.

STANDARD 4: FINANCIAL SUSTAINABILITY AND INTERNAL CONTROLS

Renewal Expectation: The school is a well-run organization and capable of achieving long-term success.

	Indicator	Measurement	High Performance	Middle Performance	Low Performance
4.A	Enrollment Stability	Enrollment and Waitlist Trends	Actual enrollment at least 85% of target enrollment	Actual enrollment at least 75% of target enrollment	Actual enrollment ≤ 75% of target enrollment
4.B	Financial Compliance	Financial Audit Findings	Unqualified opinion and no findings	Unqualified opinion and only minor finding(s)	Significant findings, on-going Concern and/or qualified opinion
4.C	Financial Viability	Prior Year Budgets and Pro-Forma Budget	Prior and projected budgets balance and the school maintain a stable cash flow.	The school has experienced past problems balancing the budget, but future budgets are balanced and the school maintains a stable cash flow.	Prior and projected budgets aren't balanced and/or the school continuously struggles to maintain a cash flow to support the operation of the school's program.

STANDARD 5: STRONG CULTURE AND SUPPORTIVE RELATIONSHIPS

Renewal Expectation: There is high social trust among the school community and a culture of excellence.

	Indicator	Measurement	High Performance	Middle Performance	Low Performance
5.A	Staff Professionalism	Staff Retention	Staff turnover has been manageable and appropriate	Staff turnover has been stable	Staff turnover has been damaging to the school
		% of Staff who Express Job Satisfaction	≥ 80%	At Least 66%	< 66%
5.B	Community Investment in School	Community Partnership Outcomes	The school maintains meaningful relationships with community partners that enhance the academic and social growth of the school's students.	The school has made progress in engaging community partners in the academic and social growth of the school's students.	The school has failed to engage community partners in the academic and social growth of the school's students.
5.C	Parent Satisfaction	% of Parents Who Express Satisfaction with the School's Program	≥ 80%	At Least 66%	< 66%

Performance Goals for Chancellor-Authorized Charter Schools - Template

The following document is given to all new charter applicants to the NYCDOE to complete as part of their charter applications. At renewal, schools may be asked to revise their goals in a meaningful way that will reflect the performance and compliance standards.

Introduction

The New York Charter Schools Act enables the creation of charter schools, which are independently run and publicly funded. Charter schools are granted greater flexibilities than traditional public schools in return for high levels of accountability.

The Charter Schools Act states that charter schools shall be held to “performance-based” accountability systems and must meet measurable student achievement results. As such, the NYCDOE has high standards in evaluating the accountability plans (and, hence, goals) of proposed charter schools.

The NYCDOE has articulated specific educational and organizational goals (NYCDOE common goals) that all charter schools authorized by the NYCDOE must write into their school goals and must achieve over the term of their first charter. Most charter schools also elect to supplement the goals beyond what the NYCDOE requires because this allows the school’s accountability plan to more meaningfully reflect the programmatic nature and culture of the school. Performance goals that are proposed by a school must be measurable and externally verifiable, and should be designed to measure distinct elements of the school’s program.

Your accountability plan, including the benchmarks specified within the NYCDOE common goals and the school’s individualized goals, will guide your school in self-evaluation as you serve students on an ongoing basis. Furthermore, your accountability plan will guide NYCDOE in its evaluation of your school performance across all five Performance and Compliance Standards on a yearly basis. The NYCDOE’s review will culminate at the five year renewal, during which a school’s achievement towards the goals outlined in their accountability plan guide the NYCDOE’s determination on whether to renew the charter and grant authorization to continue to operate.

During the first year of a school’s operation, the school will have the opportunity to work with the NYCDOE to revise and tighten its goals and accountability plan. While we will work with each school in its first year to refine these goals, applicants should be thoughtful about designing goals in their charter application that carefully reflect how the school proposes that it be held accountable.

Please note that most NYCDOE common goals set targets for 75% of students achieving proficiency. Planning teams must evaluate the average performance levels of their proposed community school district, and should consider increasing these goals in cases where the average CSD proficiency exceeds 75% in given subject areas.

Instructions

Please complete the template below, and include it in your charter application. The template contains both the NYCDOE common goals, as well as opportunities for your school to input its own school specific goals.

Standard 1: High Academic Attainment and Improvement

Expectation: Students' academic performance meets or exceeds local, state, and national standards.

Absolute Performance

Each year, 75 percent of ___ -- ___ graders will perform at or above Level 3 on the New York State ELA examination. *(Relevant for schools serving grades 3-8.)*

Each year, 75 percent of ___ -- ___ graders will perform at or above Level 3 on the New York State Mathematics examination. *(Relevant for schools serving grades 3-8.)*

Each year, 75 percent of ___ -- ___ graders will perform at or above Level 3 on the New York State Science examination. *(Relevant for schools serving grades 4 and 8.)*

Each year, 75 percent of ___ -- ___ graders will perform at or above Level 3 on the New York State Social Studies examination. *(Relevant for schools serving grades 5 and 8.)*

Value-Added Performance/ Progress

For years 2 through 5 of the proposed charter, grade-level cohorts of the same students (i.e. students who are in the school for two years in a row) will reduce by one-half the gap between the percent at or above Level 3 on the previous year's State ELA exam and 75 percent at or above Level 3 on the current year's State ELA exam. For schools in which the number of students scoring above proficiency in a grade level cohort exceeded 75 percent on the previous year's ELA exam, the school is expected to demonstrate growth (above 75 percent) in the current year *(relevant for schools serving grades 3-8).*

For example, if 35% of a school's students score proficient in year 1, the school must ensure that at least 55% of its students are proficient the following year, thereby reducing the gap between the first year's performance of 35% proficient and the goal of 75% proficient (or whatever level the school sets above 75%).

For the 2010-11 through 2013-14 school years, grade-level cohorts of the same students will reduce by one-half the gap between the percent at or above Level 3 on the previous year's State Math exam and 75 percent at or above Level 3 on the current year's State Math exam. For schools in which the number of students scoring above proficiency in a grade level cohort exceeded 75 percent on the previous year's Math exam, the school is expected to demonstrate growth (above 75 percent) in the current year. *(Relevant for schools serving grades 3-8.)*

High School and Post-Secondary Success Goals

Each charter high school has a very different design and mission. In order to accommodate the variety of program designs, we have created a list of goals that schools can choose to adopt. Each school should carefully consider which of the goals below will help them measure the attainment of their mission. Goals for performance on English and Math Regents as well as Graduation goals are all required. Schools should also choose at least one other performance goal below, or design a different goal that will more appropriately measure the effectiveness of the school's program.

By the end of year 4 in the charter, 75 percent of the first cohort will have scored at least 65 on the New York State Regents examinations in ELA. *(Relevant for schools serving grades 9-12.)*

By the end of year 4 in the charter, 75 percent of the first cohort will have scored at least 65 on the New York State Regents examinations in Math. *(Relevant for schools serving grades 9-12.)*

By the end of year 4, 75 percent of the initial cohort will have scored at least 65 on the New York State Regents examinations in Science (Living Environment, Chemistry, or other). *(Relevant for schools serving grades 9-12.)*

By the end of year 4, 75 percent of the initial cohort will have scored at least 65 on the New York State Regents examinations in History (Global Studies or U.S. History). *(Relevant for schools serving grades 9-12.)*

Each year, the average performance of students in the 10th grade will exceed the state average on the PSAT tests in Critical Reading and Mathematics.

Each year, the average performance of students in the 12th grade will exceed the state average on the SAT or ACT tests in reading and mathematics.

Each year, the school will demonstrate the preparation of its students for post-secondary success through at least one measure of its own design. Such measures might be based on:

- Attainment of Advanced Regents Diplomas
- Performance on AP, IB, or SAT II exams
- College credits earned during high school
- Attainment of Honors Regents Diploma
- Attainment of industry certification or licensing in a Career and technical education program

Each year (after the first class has graduated), at least 75% of students will successfully complete their first semester of college by passing all classes in which they are enrolled.

Graduation Rates

Each year, at least 75% of each student cohort (as defined by the New York State Education Department) graduates within five years.

Comparative Performance

- **Note: The NYCDOE will determine similar schools based on characteristics, including, but not limited to previous student performance, geographic location and student ethnic, racial, and low-income status. (Peer groups may be determined by the NYCDOE Progress Report.)**

Each year, the percent of students performing at or above Level 3 on the State ELA exam in each tested grade will place the school in the top quartile of all similar schools. *(Relevant to schools serving grades K-8.)*

Each year, the percent of students performing at or above Level 3 on the State Math exam in each tested grade will place the school in the top quartile of all similar schools. *(Relevant to school serving grades K-8.)*

Each year, the percent of students in the high school accountability cohort passing an English Regents exam with a score of 65 or above by the end of their fourth year will exceed that of the students in the high school accountability cohort from a group of similar schools. *(Relevant to school serving grades 9-12.)*

Each year, the percent of students in the high school accountability cohort passing a Math Regents exam with a score of 65 or above by the end of their fourth year will exceed that of the students in the high school accountability cohort from a group of similar schools. *(Relevant to schools serving grades 9-12.)*

AYP Status

Each year, the school will be deemed "In Good Standing."

Alternative/Internal Assessment Indicators¹

Each year, _____

Each year, _____

School-Specific Educational Indicators²

Each year, _____

Each year, _____

Standard 2: Responsive Educational Program and Environment

Expectation: A quality educational program enables all students to achieve academically and socially.

Student Engagement

Each year, the school will have an average daily student attendance rate of at least 95 percent.

Each year, 95 percent of all students enrolled during the course of the year return the following September.

Adherence to Contract Terms

Each year, the school will comply with all applicable laws, rules, regulations and contract terms including, but not limited to, the New York Charter Schools Act, the New York Freedom of Information Law, the New York Open Meetings Law, the federal Individuals with Disabilities Education Act, and federal Family Educational Rights and Privacy Act.

School-Specific Non-Academic Indicators³

Each year, _____

Each year, _____

¹ Schools may voluntarily include alternative/internal indicators by which their performance will be measured. Such measures must be externally verifiable, for example, portfolio assessments by external community jury.

² Schools may voluntarily include school-specific educational indicators by which their performance will be measured. Such measures must be externally verifiable and may include measures such as performance on nationally-normed assessments or college acceptance rates.

³ Schools may voluntarily include school-specific non-educational indicators by which their performance will be measured. Such measures must be externally verifiable and may include indicators such as civic involvement of students and professional growth of teachers.

Standard 3: Responsible School Leadership, Governance and Management

Expectation: Leadership furthers the school's mission, program and goals and is strategic to ensure adequacy, alignment and coherence of actions.

- School-specific goals to be input by individual teams -

Standard 4: Financial Sustainability and Internal Controls

Expectation: The school is a well-run organization and capable of achieving long-term success.

Enrollment Stability

Each year, student enrollment will be within 15% of full enrollment as defined in the school's contract. This will be maintained on an ongoing basis and monitored bi-monthly.

Financial Compliance

Upon completion of the school's first year of operation and every year thereafter, the school will undergo an independent financial audit that will result in an unqualified opinion and no major findings⁴.

Financial Viability

Each year, the school will operate on a balanced budget⁵ and maintain a stable cash flow.

Standard 5: Strong Culture and Supportive Relationships

Expectation: There is high social trust among the school community and culture of excellence.

Parent Satisfaction

Each year, parents will express satisfaction with the school's program, based on the NYCDOE Learning Environment Survey in which the school will receive scores of 7.5 or higher in each of the four survey domains: Academic Expectations, Communication, Engagement, and Safety and Respect.

⁴ The NYCDOE will determine a finding to be "major" if it indicates a deliberate act of wrongdoing, reckless conduct or causes a loss of confidence in the abilities or integrity of the school or seriously jeopardizes the continued operation of the school.

⁵ A budget will be considered "balanced" if revenues equal or exceed expenditures.

Staff Satisfaction and Retention

Each year, teachers will express satisfaction with school leadership and professional development opportunities as determined by the teacher section of the NYCDOE Learning Environment Survey in which the school will receive scores of 7.5 or higher in each of the four survey domains: Academic Expectations, Communication, Engagement, and Safety and Respect.

*Schools are strongly recommended to set a goal for staff retention for each year of the charter.

NYC DOE Charter School Quality Map

Benchmarks	Vision/Application “Will this be a quality school?”	Operation/Oversight “Is the school making progress towards quality?”	Outcomes/Renewal “Is this a quality school?”
<p>High Academic Attainment and Improvement</p> <p><i>Indicators:</i></p>	<p>Expectations for student performance are high. .</p> <p><i>Rigorous academic goals</i></p>	<p>Students are attaining expected skills and knowledge.</p> <p><i>Interim assessments; student learning plans</i></p>	<p>Students' academic performance meets or exceeds local, state and national standards.</p> <p><i>Absolute, value-added, and comparative performance data; AYP status; graduation rates alternative/ internal assessments; school-specific educational goals</i></p>
<p>Responsive Educational Program and Environment</p> <p><i>Indicators:</i></p>	<p>A theory of change girds the design for increasing educational opportunities for all students.</p> <p><i>Compelling mission and vision; research-based educational philosophy and curriculum; high academic standards; discipline code; broad and aggressive student recruitment and outreach plan; non-academic student goals</i></p>	<p>The educational environment is safe, orderly, and supports highly effective teaching and learning.</p> <p><i>Data-driven instruction; curriculum alignment with state standards; effective classroom management and routines; teacher development; curriculum, quality student support services, program and activities consistent with legal and regulatory requirements</i></p>	<p>A quality education program enables all students to achieve academically and socially.</p> <p><i>Quality instruction; orderly environment; student engagement; adherence to contract terms; school-specific non-academic goals</i></p>
<p>Responsible School Leadership, Governance and Management</p> <p><i>Indicators:</i></p>	<p>There is the capacity and will to create and sustain a quality school.</p> <p><i>Mission unity; clear governance and management structures and responsibilities; solid human resource plan; Effective board oversight</i></p>	<p>Competent leadership guides the school's development.</p> <p><i>Strong school leadership; organizational structure and responsibilities maintained through transitions; comprehensive evaluation processes; Solid governance structure</i></p>	<p>Leadership furthers the school's mission, program and goals and is strategic to ensure adequacy, alignment, and coherence of actions.</p> <p><i>Leadership quality; strategic vision; board stability; responsiveness; strategic vision</i></p>
<p>Financial Sustainability and Internal Controls</p> <p><i>Indicators:</i></p>	<p>Organizational structures support the development of a quality education program.</p> <p><i>Realistic enrollment projections; solid business plan; sound fiscal management planning and capacity</i></p>	<p>The school maintains sustainability, solvency, and credibility.</p> <p><i>Stable enrollment; efficient operating systems; sound fiscal practices and reporting; adequate facilities</i></p>	<p>The school is a well-run organization and capable of achieving long-term success.</p> <p><i>Enrollment stability; financial compliance; financial viability</i></p>
<p>Strong Culture and Supportive Relationships</p> <p><i>Indicators:</i></p>	<p>School, home and community relationships are defined to support the academic and social growth of students.</p> <p><i>Community connections and partnerships; family involvement; plan for continuum of student services; teacher recruitment</i></p>	<p>Educators, family, and community are committed to improving student achievement together.</p> <p><i>Teacher recognition; family engagement; active community partnerships that enrich student achievement</i></p>	<p>There is high social trust among the school community and a culture of excellence.</p> <p><i>Staff professionalism, community investment in school; parent satisfaction</i></p>

Monitoring Visits

As the NYCDOE moves to a more performance-based system of accountability, the Office of Charter Schools (OCS) is revamping the way that its system of Annual Site Visits is used to gather data about charter school performance and compliance. After reviewing charter school performance data on NYS assessments, the NYCDOE Progress Report and data from qualitative measures of the Annual Site Visit-Quality Review, OCS has found that in most cases, strong performance on state exams is highly correlated with a well-developed learning environment, strong board capacity, and organizational viability.

Rationale for Annual Site Visits

OCS views the purpose of Annual Site Visits as twofold:

1. to gather data on a school's educational environment, board capacity, leadership, and financial viability to be able to make informed renewal decisions; and
2. to provide schools with formative feedback.

For schools that demonstrate strong student progress and achievement, smooth operations, effective leadership, highly satisfied parents, effective internal controls, and most importantly, an ability to self-reflect and constantly improve, an Annual Site Visit may not be necessary each year. OCS understands that the preparation for monitoring visits is often time consuming for charter schools, and can take school leaders away from the core focus of their work: educating students. Therefore, those schools that have demonstrated early success through strong performance results may be exempted from an Annual Site Visit. Please note that all schools without testing grades will receive an annual visit until they post their first set of state test results.

For schools in which academic performance is strong, but there are concerns about board capacity and financial viability (or vice versa), a partial Annual Site Visit may be conducted. Schools that have received a full term renewal will be subject to fewer monitoring visits if their performance results continue to be strong.

The chart on the following page outlines how the OCS will determine which schools are eligible for an exemption from Annual Site Visits. For visits in the spring of 2009, schools will be notified shortly of their visit date.

Year of Operation	Visit Type	Visit Focus	Visit Length	Determining Factors for Visit
1	Post-Opening Visit	Academic/ Educational Environment	2-3 hours	All first year schools receive this visit.
	Annual Site Visit	Educational Environment/ Financial Viability & Internal Controls/	1 day	All first year schools receive this visit. Schools in subsequent chartering periods may be exempt from this visit.
2	Visit from NYSED (Comprehensive Monitoring Visit)	Compliance / some focus on financial viability & educational environment	1 day	All schools receive this in year 2 or 3 of each charter (initial and subsequent).
3	Annual Site Visit from NYCDOE	Educational Environment/ Financial Viability & Internal Controls/ Compliance	1 day	Schools may be exempt ⁶ if they have demonstrated the following: 1) Grade of A or B on the most recent NYCDOE Progress Report 2) Evaluations of Proficient or Well-developed on the first five Quality Statements from the school's previous Annual Site Visit (at least 3 of 5 statements must be rated well-developed) AND/OR 1) No major findings from November external audit 2) No significant concerns about board oversight or internal controls raised at previous visit (must have evaluations of proficient or higher on QS 6 and QS 7 from previous visit)
4	Annual Site Visit from NYCDOE	Educational Environment/ Financial Viability & Internal Controls/ Compliance	1 day	Schools may be exempt if they have demonstrated: 1) Grade of A or B on the most recent NYCDOE Progress Report 2) Evaluations of Proficient or Well-developed on the first five Quality Statements from the school's previous Annual Site Visit (at least 3 of 5 statements must be rated well-developed) AND/OR 1) No major findings from November external audit 2) No significant concerns about board oversight or internal controls raised at previous visit (must have evaluations of proficient or higher on QS 6 and QS 7 from previous visit)
Spring of Year 4 or Fall of Year 5	Renewal Visit from NYCDOE	Educational Environment/ Financial Viability & Internal Controls/ Compliance	2-3 days	All schools in their first chartering period will receive a 2-3 day visit. Schools undergoing subsequent renewals will receive a renewal visit that is shorter in length.

⁶ NYCDOE reserves the right to visit any school unannounced or announced at any point. Schools that have demonstrated strong performance on the NYCDOE Progress Report and/ or Quality Review may still receive visits if the school has undergone board, leadership, or teacher turnover. Schools that have only one year of strong test results, but also have had positive findings from a previous site visit may be eligible for an exemption.

Post Opening Visit Protocol

Overview

The Office of Charter Schools (OCS) will conduct an informative first year fall visit to each charter school it authorizes. The purpose of the visit is to preliminarily assess the school's performance primarily on two of the DOE's Performance and Compliance Standards, which are summarized below:

1. High academic attainment and improvement
2. Responsive educational program and environment

The visit consists of classroom observations (with or without the principal) and walk-throughs of the school. The morning of the visit, the team will meet with the school leader to outline the visit schedule. This serves as a brief orientation for the team and the school. This initial visit is an opportunity for the OCS to observe the school's daily practices, implementation, processes, and routines. This review is preliminary, with a focus on the initial progress made in teaching and learning practices as they relate to the use of data and assessment to drive instruction. Much of the review in these areas is completed through classroom visits.

Visit Team Composition

The first year fall visit team is composed of between two and three representatives of the Office of Charter Schools. Team members focus on different Standards, based on their area of expertise, and knowledge base.

Observations

School Leaders should make teachers and assistants aware that their classrooms will be visited. Visit team members spend a *minimal* amount of time visiting classrooms to observe the teaching and learning process. Team members may ask that teachers be available to speak with the visit team during the visit.

School Leaders should also make teachers aware that the visit is a preliminary evaluation of the school's progress, not of the individuals, and not of individual teachers' practices. Reviewers will not provide feedback to teachers directly, but may speak with students while they are observing a lesson, if appropriate, but should not interrupt the lesson for any reason. Reviewers may ask students about what work they are completing during a group activity, about a recently completed work, or other questions relevant to the review. Reviewers should not provide instruction to students at any point.

Interviews

During the course of the visit, the visit team interviews various stakeholders, including:

- Principal
- Business/Operations Manager
- Counselors

Annual Site Visit Protocol

Overview

The Office of Charter Schools (OCS) conducts an annual visit to each charter school it authorizes. The purpose of the visit is to assess progress toward the school's goals, and performance of the school in

relationship to the DOE's Performance and Compliance Standards. Unlike the informative First Year Fall Visits, the Annual Site Visit is planned far in advance and requires the school to prepare documentation and set up interviews in advance. A report of the findings from this visit is made publicly available on the OCS website after the visit and is used as evidence towards renewal decision-making.

The visit consists of classroom observations and interviews with board members, school leadership, partner organization (if needed) and school staff. The morning of the visit, the team will meet with the school leader to review the visit schedule and talk through the school's documentation. This serves as a brief orientation for the team and the school.

OCS has contracted with Cambridge Education to support the OCS and the annual site visit team in conducting these school visits. The Cambridge Record Book for Site Visits is contained in a separate document. Cambridge co-leads site visits to provide an objective, experience-based school evaluation, with a primary focus on collecting evidence to evaluate the school's progress towards meeting the standard of Responsive Educational Program and Environment. This review is heavily focused on how each school uses data to inform instruction and meet goals.

This annual review is an opportunity for the OCS to observe the school's daily practices, implementation, processes, and routines. While documentation should be available on site, the school should not collect documents for review in a location outside of where they are usually organized (except as outlined below). Although the team reviews various documents, the school should not prepare any *additional* binders or folders of information, specifically for the visit team. The team will review documents where they are typically located, as they are normally arranged, stored or organized (except as outlined below).

The review is comprehensive, with a focus on teaching and learning practices as they relate to the use of data and assessment to drive instruction, fiscal controls, and leadership. Much of the review in these areas is completed through classroom visits, thorough review of documentation (on and off site), and interviews with school leaders. These important aspects of the school provide further evidence around the goals that were set in the charter.

Visit Team Composition

The annual visit team is composed of (in most cases) between two and four representatives of the Office of Charter Schools, one reviewer from Cambridge Education, members of other Department of Education offices (such as the Office of Special Education and the Office of English Language Learners), and the State Education Department. Team members focus on different Standards, based on their area of expertise, and knowledge base.

Documentation

The following documents should be prepared for collection at the visit.

- Board minutes
- Board meeting calendar
- Updated board roster with affiliation (Incl. contact ph. & business address)
- An organizational chart indicating clear reporting relationships.
- List of **all** (FTE & P/T, if any) staff with fingerprinting clearance and/or status and certification/HQ
- Approved budget vs. Year-to-Date expenses
- Bank and petty cash reconciliation guidelines
- Chart of accounts

- 501©(3) status (certificate, or proof of submission)

NOTE► All documents are required each year during the oversight visit.

Meeting Room

The school should make available for the visit team a room of its own where it can work and discuss observations in privacy during its visit.

Other Visit Documentation

The following is a list of possible documentation to be reviewed during the visit. Although the team reviews various documents, the school should not prepare any *additional* binders or folders of information, specifically for the visit team. The team reviews curricular and other documents where they are typically located, as they are normally arranged, stored or organized (except as outlined above).

- Disciplinary Policy
- Admissions Policy*
- Attendance Policy*
- Curricular maps/pacing guides – explanation of academic program
- Lesson plans
- Professional development plans
- Program information for special needs students
- ELL program information
- Parent, teacher and/or student handbooks
- Explanation of internal assessment program and any relevant samples
- Student Performance Data
- Staff Satisfaction Surveys
- Parent Satisfaction Surveys
- Current building safety documents: Occupancy permit, fire inspection, safety inspection
- Staff evaluation tools and documents
- Hiring and termination procedures
- Attendance and attrition data
- Any other relevant documentation, as necessary

NOTE► All policies* mentioned above are only required in year 1. Other documents are required each year during the oversight visit.

Interviews

During the course of the visit, the visit team interviews various stakeholders, including:

- Administrators (i.e. Business Manager, Special Ed./ELL Coordinators, Data Analyst)
- School Leaders (i.e. Principal, Executive Director, School Leader, Director)
- Board chair or designee
- Parents
- Students

Responsibilities of the Visit Lead

The NYCDOE will designate a visit “Lead” for each charter school visit. Schools may or may not have the same Lead from year to year. As such, Lead reviewers will be provided with the following documentation:

- 1) NYCDOE previous year visit report
- 2) Charter School’s most recent annual report
- 3) Copies of any approved changes to the operating charter

Lead reviewers contact School Leaders via telephone and/or email no less than two weeks prior to the scheduled visit to discuss the following topics:

- 1) Confirmation of the visit date
- 2) Scheduling key activities of the visit (interviews with Board, parents, students, School Leaders)
- 3) Any school questions regarding documentation, etc.
- 4) Directions, space accommodations and any other logistical matters

Lead reviewers communicate with the visit team regarding any changes to the schedule after communicating with the school. The Lead is primarily responsible for coordinating the visit team on the day of the visit, including scheduling adequate time to collect all input and feedback from team members prior to debriefing with the School, in order to reach consistency in evaluation. Finally, the Lead collects all evidence and writes a draft report that is shared with the school, giving the school time to comment on the draft before compiling a final report. Reports are completed as per the joint authorizing plan on p. 40.

After the Visit

Approximately 60-90 days after the Annual Visit, the OCS will issue a report containing the findings of the visit. All schools will have roughly 30 days to review the report for factual errors and will submit requested revisions in a response document no longer than 5 pages. Once the OCS has incorporated the appropriate revisions, it will post all of the reports and responses online.

Visit Schedule

The visit schedule for any given school is dependent on their individual school schedules, the availability of staff to speak with visit team members, and other school specific variables.

Tentative Schedule*

Time	Activity
8:00 – 8:15	Arrival and Team Meeting
8:15-9:30	Meeting with School Leadership (includes planning and confirming visit schedule and activities)
9:00-12:00	Classroom Visits and Interviews with School Leadership, Board, Business Mgr. and Parents
12:00-1:00	Team Lunch Meeting (Schools should not order/buy lunch)
1:00-2:00	Additional Data Gathering / Summary Writing
2:00-2:45	Internal Debrief (DOE Staff)
2:45-3:45	Meeting and Debrief with School Leadership***

*This schedule is subject to change and is meant to provide an outline of the activities to be conducted. The details of the visit at any particular school will be determined in collaboration with the Principal/School Leader on the morning of the visit.

**Additionally, some larger schools may require a longer (1.5-2 day) visit.

***A school leader, Director of Instruction or teacher representative, and a board member should each be present at the debrief.

Calendar of Reporting Requirements for Chancellor-Authorized Charter Schools

Due Date*	Requirement	Submit To	Applies to Schools:		
			In first year of operation	In second – fifth year of charter term	Making changes during its charter term**
June 1	<i>Bi-Monthly Invoice</i> for per-pupil operating funds for period July 1- August 31	OCS	√	√	
July 1	<i>Copy of Tax-Exempt Status Certificate</i>	OCS		√	
July 1	<i>Special Education Data (PD-5C, 8): Exiting and Suspension Data</i>	VESID		√	
July 1	<i>Project SAVE</i> – school safety plan	OCS, SED, local and state police	√	√	
July 27	<i>Annual Report</i> including SED and OCS requirements (Due to NYSED August 1, DOE sends on behalf of schools)	OCS		√	
July 31	<i>Reconciliation Report</i> for previous fiscal year	OCS	√	√	
August 1	<i>Bi-Monthly Invoice</i> for per-pupil operating funds for period Sept. 1 – Oct. 31	OCS	√	√	
August 15	<i>Management and Staff Roster</i> including staff qualifications and fingerprint clearance	OCS		√	√
August 15	<i>Board of Trustees Roster</i>	OCS		√	√
August 15	<i>Board of Trustees Meeting Calendar</i>	OCS	√	√	√
August 15	<i>School Year Calendar</i>	OCS		√	√
October 15	<i>Annual Report Addendum</i>	OCS		√	
October 4	<i>BEDS Survey</i>	SED (online), copy to OCS			
October 1	<i>Bi-Monthly Invoice</i> for per-pupil operating funds for period November 1 – December 31	OCS	√	√	

October 30	<i>Annual Financial Audit</i> including accompanying management letter, if received, and response by school (4 copies)	OCS		√	
October 31	<i>Quarterly Financial Statements</i> for period covering July 1 – September 30	OCS	√	√	
October 31	<i>Initial Statement of Financial Controls</i>	OCS	√		
December 1	<i>Bi-Monthly Invoice</i> for per-pupil operating funds for period January 1- February 28	OCS	√	√	
January 31	<i>Quarterly Financial Statements</i> for period covering Oct. 1 – Dec. 31	OCS	√	√	
Nov /Dec. (TBD)	<i>Violent and Disruptive Incident Report (VADIR)</i> for 05-06 SY	SED (online) and copy to OCS		√	
February 1	<i>Bi-Monthly Invoice</i> for per-pupil operating funds for period March 1 – April 30	OCS	√	√	
March 1	<i>Special Education Data (PD-6: Personnel Data)</i>	VESID		√	
April 1	<i>Bi-Monthly Invoice</i> for per-pupil operating funds for period May 1 – June 30	OCS	√	√	
April 30	<i>Quarterly Financial Statements</i> for period covering January 1 – March 31	OCS	√	√	
Ongoing	<i>Criminal Incident Report</i>	OCS and SCI	√	√	
Ongoing	<i>Suspected Child Abuse</i>	Central Register of Child Abuse	√	√	

* If a due date falls on a Saturday, Sunday, or Holiday, submit documents on the next business day.

** At any time during the year, changes that affect information provided in these reports (i.e. hiring of new staff, departure of a board member) must be reported to the OCS within 5 business days of such changes.

Guidance on Board Minutes:

Board meeting minutes should be accompanied by documents (financials, grievances, academic scores, etc.) received by the board prior to the meetings. As a general guideline, board minutes should reflect discussion of educational issues, fiscal issues, management and operational issues, major decisions made at board meetings, follow up to any major concerns raised and the point person responsible for that follow up.

When to submit: Only as requested by OCS on a case-by-case basis. The request will follow with instructions on whether monthly or quarterly submission will be required. Additionally, minutes should always be available for review on site.

Guidance on Quarterly Financials:

Quarterly financials should include a Balance Sheet and Statement of Activities reflecting year-to-date expense with variance.

Guidance on the Initial Statement of Financial Controls:

An initial statement should be developed by an accounting firm on the adequacy of initial controls put in place. This covers areas around school's accounting procedures manual, payroll procedures, revenue recognition, cash disbursements, etc. This is **only** required in the school's first year of operation.

Guidance on Submission of Documents

All reports should be received by the Office of Charter Schools on the day listed in the calendar.

*Send all reports listed above by email **and** mail.*

charterschoolreports@schools.nyc.gov

Please send reports by mail (with signature, when appropriate) to:

NYC Department of Education
Office of Charter Schools
Attn: (Name of Report)
52 Chambers Street, Room 405
New York, NY 10007

Programmatic and Other Changes to the Charter

Prior to a school commencing operation, the NYCDOE requires schools to provide critical information for demonstrating a school's readiness to operate. These procedures are described in greater detail in the NYCDOE's *Charter School Pre-Opening Procedures*. Information collected through these procedures is kept on file and are considered material terms to the school's agreement with the NYCDOE. Therefore, a school seeking to make changes, amendments or modifications to any of the below documents requires the school to seek approval of the OCS in order to implement such changes. On a case-by-case basis, the OCS will determine if such changes warrant an amendment to the school's contract with the NYCDOE.

Some changes are considered material in nature, and require a formal change to the charter, which requires the Board of Regents to vote on the matter. Material changes include, but are not limited to

- Name of the school
- Actual/projected student enrollment of more than 15%
- Grade configuration or grades served
- Location
- Education service provider contract
- Facility occupancy permit
- Facility lease/mortgage

Changes that may or may not require Regents approval, depending on the degree of departure from the charter and nature of the change include:

- Curriculum
- School calendar (change in number of school days or instructional hours per day)
- Student discipline policy/code of ethics
- Student enrollment policy
- Board of Trustees by-laws
- Insurance policy
- Goals/Accountability Plan

Any changes to the above information should be requested in a letter describing the nature of the changes and documentation of approval by the school's Board of Trustees, if required, along with the revised policy and/or document. This request should be sent to Jhenderson@schools.nyc.gov or chawkins5@schools.nyc.gov within 5 business days of such changes. OCS then reviews the proposed changes and requests clarification from the school. Under the NYS Charter Schools Act, NYCDOE must then schedule a public hearing with the school to hear public comment on the proposed revisions. Once these steps have been completed, OCS sends the proposed revisions to NYSED for review. NYSED may then have more clarifications for the school before putting the revisions in front of the Board of Regents for final approval.

Remedies for Sub-Standard Performance

Status*	Possible Triggers	Possible Actions / Consequences
Notice of Concern	Signs of weak performance: Identified through routine monitoring; through implementation, compliance, or performance review; or by other means	Letter to the Board of Trustees detailing areas of concern
Notice of Deficiency	Failure to meet multiple performance targets Failure to comply with applicable law Failure to comply with conditions of the charter	Letter to the Board of Trustees detailing areas of deficiency Development and implementation of a Performance Improvement Plan (with specific improvement objectives, timelines, and approved by Office of Charter Schools)
Notice of Probation	Continued failure to meet performance targets Failure to meet objectives of Performance Improvement Plan Continued failure to comply with applicable law Continued failure to comply with conditions of the charter	Letter to the Board of Trustees to serve as notification of probationary status and terms of probation Creation of a Corrective Action Plan, as per Article 56 Office of Charter Schools to review and modify PIP, when necessary
Charter Review	Failure to successfully address terms of Probation Extended pattern of failure to comply with applicable law Extended pattern of failure to comply with conditions of the charter	Recommendation to revoke, not revoke, or impose lesser sanctions Decision to commence or not commence revocation proceedings
Charter Revocation	Charter Review results in recommendation to revoke	Letter stating reasons for proposed revocation to Board of Trustees Informal Hearing Decision to revoke/not revoke

*Please note that the outlined remedies are *not* step by step process. DOE reserves the right to put schools at any status without going through steps.

Renewal Site Visit Protocol

**This is a brief overview of the OCS's renewal processes. A more detailed guide is contained in the OCS 2009 Renewal Handbook.*

The OCS schedules and conducts a comprehensive visit over 3 days after receiving the school's Renewal Application Part I: Retrospective Analysis. The purpose of the visit is to assess the quality and performance of the school in relationship to the renewal benchmarks, which address three essential questions:

1. Is the School an Academic Success?
2. Is the School a Viable Organization?
3. Is the School in Compliance with Applicable Laws and Regulations?

Additionally, the visit is meant to supplement and verify the information presented in Part I of the school's renewal application. The renewal visit should be viewed as one component leading to a renewal determination.

The main focus of the renewal visit is essential question #1, "Is the School An Academic Success?". Benchmarks included under academic success address the following areas: Instructional Program (including but not limited to: curriculum implementation, services to ELL and special education students, use of assessments and data) and Teaching and Learning (including, but not limited to: curriculum implementation, delivery of instruction, professional development, school culture and discipline, and overall school management).

While the visit focuses on essential question #1, there is also onsite review of essential questions 2 and 3, including school governance, financial practices, stakeholder satisfaction, and compliance. Most review in these areas is completed through a thorough review of submitted and historical documentation. These important aspects of the school provide further evidence around the goals that were set in the charter.

The renewal visit consists of three days of classroom observations, interviews with school staff, board members, parents, teachers and students, as well as extensive document review. The day before the full renewal team convenes at the school, the visit team conducts a phone conference with the school leader to review the proposed visit schedule and talk through the school's documentation. This serves as an orientation for the renewal team, and the school. During this meeting a detailed proposed visit schedule is provided to School Leaders for review. School leaders review the proposed visit schedule, make any necessary changes, and ask any remaining questions about the visit. The renewal team asks general questions about where and how school documents are maintained/collected/shared, how they are used, and what they are called at the school.

The renewal visit is an opportunity for OCS to observe the school's daily practices, implementation, processes, and routines. While documentation should be available on site, the school should not collect documents for review in a location outside of where they are usually organized. Although the renewal team reviews various documents, the school should not prepare any additional binders of information, specifically for the visit team, unless requested. The team will review curricular and other documents where they are typically located, as they are normally arranged, stored or organized.

OCS recommends that all school staff and parents be made aware of the renewal process and of the importance of this milestone in the life of a charter school.

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NYSED/NYCDOE Joint Oversight Plan for DOE-Authorized Charter Schools

Stage	Pre-Opening	Year 1	Year 2	Year 3	Year 4	Year 5
Action	Pre-Opening Visit	Post-Opening Visit Annual Visit	Annual Visit	Comprehensive Visit	Annual Visit	Renewal Visit
Timing	2-12 wks prior to opening	Fall Spring	Winter/Early Spring		Winter	Fall
Lead	DOE	DOE	DOE	SED	DOE	DOE
Joint	SED	SED	SED	DOE shadow	SED	SED
Lead Role	Coordinate Visit Provide school with authority to open notification Provide copy to SED	Coordinate Visit Provide SED with draft of report sections reviewed by SED within 14 days of visit Provide school with draft report within 30 days of visit School will have 15 days to provide a response Report is public (cc to SED) within 45 days of review	Coordinate Visit Provide SED with draft of report sections reviewed by SED within 14 days of visit Provide school with draft report within 30 days of visit School will have 15 days to provide a response Report is public (cc to SED) within 45 days of review	Coordinate Visit	Coordinate Visit Provide SED with draft of report sections reviewed by SED within 14 days of visit Provide school with draft report within 30 days of visit School will have 15 days to provide a response Report is public (cc to SED) within 45 days of review	Coordinate Visit Provide SED with draft of report sections reviewed by SED within 14 days of visit Provide school with draft report within 30 days of visit School will have 15 days to provide a response Report is public (cc to SED) within 45 days of review
Joint Role		Provide DOE with assessment of compliance areas within 7 days of visit	Provide DOE with assessment of compliance areas within 7 days of visit	Provide feedback on matrix	Provide DOE with assessment of compliance areas within 7 days of visit	Provide DOE with assessment of compliance areas within 7 days of visit

Years 1, 2, 4 and 5: SED will provide expertise in compliance evaluations in the following areas: teacher cert, fingerprinting, immunization/health compliance, facility

Annual Reporting

As you know, the New York City Department of Education (NYCDOE) and the New York State Education Department (NYSED) require you to report annually on your school's progress as part of our oversight and accountability framework. As the school's authorizer, our office sees the Annual Report as an extremely valuable tool for measuring your progress towards renewal. In order to do this, the Annual Report should be completed with precise, clear data and honest reflection about the progress your school has made towards the goals outlined in your charter. We also ask that you not only reflect on your progress, but explain the course of action you will take in order to meet and exceed any goals that have not been met in the previous school year.

Each year in late June, you will receive an Annual Report template via email from NYSED. It is important that you follow all instructions in that template and provide the additional information requested in the guidance below. In addition, it is important that you follow the guidance below for reporting your progress. Our office will evaluate the quality of reporting in the document you submit. The last page of this guidance provides the checklist we will use when evaluating the quality of your report.

General Annual Report Guidance

Deadline for submission to NYCDOE: July 31, 2009 by 12 noon. (Please note that NYCDOE deadlines supersede deadlines mentioned in NYSED instructions.)

Please provide 1 original, plus 7 hard copies directly to the NYCDOE. NYCDOE will deliver the original plus 5 copies to Public School Choice Office in Albany, 1 copy to Dr. Lisa Long in Brooklyn, and 1 copy will be retained at our office. NYCDOE is responsible for delivering all copies of your Annual Report to NYSED by August 2, 2008.

Deliver/Mail to:

Jeannemarie Hendershot
New York City Department of Education, Office of Charter Schools
52 Chambers Street, Room 405
New York, NY 10007

- Page numbers refer to pages in the SED 2008-09 Annual Report for Charter Schools document which is attached and can also be found on the web at <http://www.emsc.nysed.gov/psc/>
- Please note that the Board of Trustees Disclosure form is **NOT OPTIONAL** for Chancellor-Authorized Charter Schools. This is a required component.
- Four (4) hard copies of the financial statements for the fiscal year ending June 30, 2009 must be submitted to our office by **October 29, 2009**. We will forward copies to the appropriate offices at SED by November 1.
- While the official audit is not due until October 29, 2009 to us, you are required to submit at this time the Report of Fiscal Performance (p.23) to report on Revenues and Expenditures. Please use the template provided. Pages 17-22 provide SED guidance on how to produce this report.
- Please follow the template provided by SED and format your report according to the guidelines in this document.

Guidance for Completing Progress Towards Goals Report (p. 13)

I. In order to complete this section, please refer first to your charter and any amendments to the charter and report out on each stated goal using the format provided by SED. Our office also requires that you provide some additional information (the format can be used for student achievement goals as well as organizational/finance/compliance related goals as well):

The following chart can be found on page 13 of the Annual Report template. Be sure to complete all of the fields required, using the examples in italics and the hints in blue text as a guide. The chart does not ask for illustrations of your results for each goal, but please be sure to include these in the subsequent pages of the report. In addition, the chart does not provide room for you to reflect clearly on goals that were met or to articulate actions you will take for goals that were not met. Please be sure to reflect on both of these areas (see the example below for including an action plan). If you met a goal for the first time this year as a result of very purposeful action at your school, please be sure to tell us about it in the subsequent pages.

<p>Goal/Objective: Desired Level of Attainment</p> <p><i>(This should not contain the 'big goals' but rather the specific measures in your charter)</i></p>	<p>Actual Result: Observed Level of Attainment</p> <p><i>(Just include the straight results here, but be sure to provide clear evidence through charts or graphs on the following pages that illustrate these.)</i></p>	<p>Measure Used To Indicate Attainment of The Goal/Objective</p>	<p>Was the Goal/ Objective Met? (Y/N)</p> <p><i>(There are only two possible answers here – 'moving towards' or 'close' are not acceptable to SED, but you can provide further reflection on the following pages)</i></p>	<p>Explanation if Not Met</p> <p><i>(In addition, for all goals not met, please provide an action plan for how you intend to meet those goals)</i></p>
<p><i>Each year, at least 75% of students in grades 3-8 will score a level 3 or 4 on the NYS ELA Exam.</i></p>	<p><i>72% of students scored a level 3 or 4 (see chart on page 14 for a grade by grade breakdown).</i></p>	<p><i>NYS English Language Arts Exam</i></p>	<p><i>No</i></p>	<p><i>All grades but grades five and six achieved this goal, and we believe that in the two grades that did not meet the goal, this was due to two things: a new program we implemented in reading which was very different from what the students were used to in the previous year and a lack of consistency among those two grade levels in their use of data to target student needs.</i> <i>Action Plan:</i> <i>In order to address the low performance in these grades, we have created differentiated summer professional development that will allow our teachers in the upper grades to receive intensive PD on the use of data with the new ELA program we have purchased. In addition, we will begin a 6-week interim assessment program to measure student progress and facilitate teacher planning sessions</i></p>

				<i>after each interim assessment.</i>
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II. Additional Evidence/ Reflection on Progress Towards Goals

Please use this section to provide any graphs, tables, or charts you feel are necessary to illustrate specific results or growth made under each goal. This is also an area where you can provide additional evidence of student performance and growth, explain how certain goals were met, or elaborate further on your plans for action for those goals that were not met.

III. Value-Added Two-Year Cohort Analysis:

To be completed by schools that have at least 2 testing grades (Grades 3-8), or schools that can demonstrate progress with norm-referenced test over the course of two years.

While the annual report you submit to SED does not require a cohort analysis, and while you may not have a specific goal in your charter about cohort growth, we are asking that you submit this as part of your school's evidence of your progress towards renewal. Unlike an absolute measure of proficiency, a value-added outcome measure is intended to chart student progress attributable to the impact of a school's instructional program over the course of one school year. To determine student progress, the outcome is expressed as the year-to-year difference between test scores of the *same* students (two-year cohort). To show added value requires giving a test on two occasions and looking at the progress of the same group (or cohort) of students from one administration of the test to another. This is different from the NYCDOE Progress Report in that it allows you to demonstrate growth among a specific group of students, by cohort. It also allows you to demonstrate growth that your students may have made on another norm-referenced test if you feel such a test can better illustrate the growth made by your students.

The illustration below shows 5 students taking a pre-test in Year 1 (students 1-5) and four students taking a post-test in Year 2 (students 3-7). Two students did not return the second year and one new student enrolled in the second year. These three students would not be included in the analysis. Only students 3-6 would be included in the *same student two-year cohort*.

Year 1 Students	status	Year 2 Students
1	Did not return year 2	1
2	Did not return year 2	2
3	Same student two-year cohort	3
4	Same student two-year cohort	4
5	Same student two-year cohort	5
6	Same student two-year cohort	6
	New student in year 2	7

In order to continue doing this year to year, a school must keep track of their individual students' results for comparison. Once a two-year cohort has been determined, the school should **compare the percent of students in the two-year cohort who scored at Levels 3 and 4 to the percent of those same students who scored proficient the previous year.** Also, schools that start as middle schools would not have a comparison for their starting grade unless they are able to obtain 4th grade test results from students' previous schools.

Quality of Reporting Guidelines

We will use the following guidelines to evaluate the content, format, and submission of your annual report. Please use these guidelines to structure your report in a clear, organized way that will allow us to use it as a meaningful tool for evaluating your school's progress towards renewal.

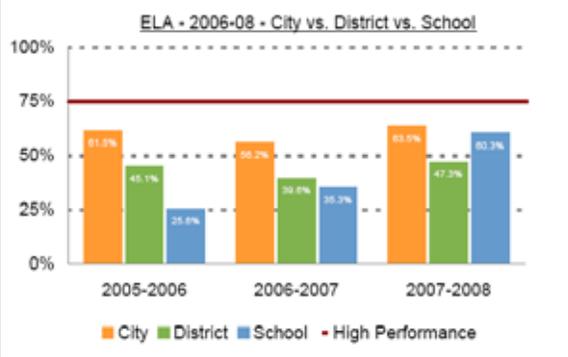
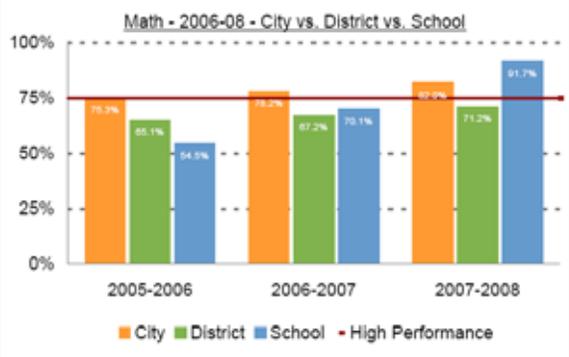
- Submission** – 1 original and seven hard copies submitted by 12 noon on July 30, 2009, as well as one electronic copy via email or CD-Rom to Jeannemarie Hendershot. All parts of the report are complete.
- Organization** – information is organized according to guidelines and templates provided; progress report breaks out information by each of the school's outcome measures from the charter
- Clarity** – information is consistent, succinctly communicated and tables and charts are used to illustrate outcomes on each measure as applicable. Financial documents are complete and transparent.
- Appropriate Calculations** – all analysis is explained thoroughly and calculated correctly
- Reflection** – within the progress report section, the report provides thoughtful evaluation of results and appropriate action plans

The quality of your annual report submission will be based upon the above criteria and will be deemed either "satisfactory" or "in-need of improvement."

Annual Performance Evaluations (APE)

The OCS will create an Annual Performance Evaluation (APE) for each school in January (beginning in the year following your first school visits and assessments), after all of the documentation from the previous school year has been submitted. The APE is an accountability tool that brings together indicators from the school's Annual Report, external audit, DOE Office of Accountability Progress Report, and the Annual Site Visit. Using these four inputs, the OCS creates a snapshot that presents an overview of each school's accountability and progress toward the five performance and compliance standards of the OCS. Schools can expect to receive their APE in mid-November after the external audit has been submitted. At renewal, the APE is used as a dashboard for evaluating the school's progress across the five Performance and Compliance Standards for each year of its charter.

See next page for an example of an APE used in the past year.

 Annual Performance Evaluation (APE) - 2007-08 EXAMPLE CHARTER SCHOOL		Board Chair: XXXXX																																																										
Department of Education		School Leader(s): XXXXX																																																										
2007-08 Enrollment: 327 Enrollment at Capacity: 568 Community School District: 12	Grades Served 07-08: 0K,01,02,03,04,05 Grades Served at Capacity: K-12 Year (toward renewal): 4	Progress Report 2007-08 A																																																										
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2 Educational Program & Environment																																																												
1	Gather Data: School leaders and faculty consistently gather and generate data and use it to understand what each student knows and is able to do and to monitor the student's progress over time.	P																																																										
2	Plan and Set Goals: School leaders and faculty consistently use data to understand each student's next learning steps and to set suitably high goals for accelerating each student's learning.	P																																																										
3	Align Instructional Strategy to Goals: The school aligns its academic work, strategic decisions and resources, and effectively engages students around its plans and goals for accelerating student learning.	W																																																										
4	Align Capacity Building to Goals: The development of leadership, teachers and other staff capacity is aligned to the school's collaboratively established goals for accelerating the learning of each student.	P																																																										
5	Monitor and Revise: The school has structures for evaluating each student's progress throughout the year and for flexibly adapting plans and practices to meet its goals for accelerating learning.	W																																																										
3 Responsible School Leadership, Governance & Management																																																												
6	Monitor Effectiveness: The Charter School Board is proactive and diligent in undertaking its administrative responsibilities.	W																																																										
4 Financial Sustainability and Internal Controls (Additional details on the other side)																																																												
7	Maintain Financial Viability: The Charter School and its Board maintain financial viability and control over the course of the academic year.	P																																																										
5 Strong Culture and Supportive Relationships (Additional details on the other side)																																																												
8	Integration of Parents and the Community: The Charter School has adequate structures to integrate parents and community partners with the school.	W																																																										

 Annual Performance Evaluation (APE) - 2007-08 EXAMPLE CHARTER SCHOOL		Board Chair: XXXXX	
Department of Education		School Leader(s): XXXXX	
4 Financial Sustainability and Internal Controls			
<u>Short-Term Sustainability</u>		<u>2006-2007</u>	<u>2007-2008</u>
Current Asset-to-Liability Ratio		2.05	2.86
<u>Long-Term Sustainability</u>		<u>2006-2007</u>	<u>2007-2008</u>
Debt-to-Asset Ratio		56%	34%
% Spent on Educational Activities		92%	86%
% Spent on Management & General		8%	14%
<u>Internal Controls</u>		For information regarding the internal financial controls of your individual school, please refer to the audit findings reported by the school's independent auditors.	
5 Strong Culture and Supportive Relationships			
<u>Other Measures</u>		<u>2005-2006</u>	<u>2006-2007</u>
Attendance Rates		92.4%	94.0%
Teacher Retention Rates		40.0%	82.0%
Student Retention Rates		93.1%	91.0%
<u>Learning Environment Survey Results</u>		<u>Absolute</u>	
Academic Expectations		8	
Communications		7.2	
Engagement		6.8	
Safety and Respect		8.8	
Response Rate		28.0%	
<u>Comparative Demographic Information</u>		<u>City</u>	<u>District</u>
% Free Lunch		29.8%	37.7%
% English Language Learners		15.7%	18.1%
% Special Education		16.0%	19.7%
% African American & Hispanic		67.7%	85.6%
		<u>School</u>	
		62.9%	
		7.7%	
		8.9%	
		40.4%	
K Key and Sources			
Key 		Sources (Click for a link) 2007-08 Progress Report 2005-08 ELA, Math, Science & Social Studies Exams: ELA Math Science: Check with your school, not posted online. Social Studies: Check with your school, not posted online. Annual Site Visit - Quality Statements 2007-08 Annual Report (Submitted by School) Financial Measures Learning Environment Survey 2007-08 Progress Report Demographic Information	

How to Read Your Charter School's Annual Performance Evaluation (APE)

Progress Report 2007-08:

The school's overall grade on the 2007-08 Progress Report as issued by the NYC - Department of Education.

2007-08 Enrollment: 327	Grades Served (07-08): 0K, 01, 02, 03, 04, 05	Progress Report 2007-08 A
Enrollment at Capacity: 568	Grades Served at Capacity: K-12	
Community School District: 12	Year (to next renewal): 4	

Absolute Performance: The school's absolute performance on the NY State ELA, Math, Science or Social Studies tests over the past three years. The "LMH Bar" to the right of the absolute values places a "Low," "Middle," or "High" value on each 2007-08 scores entered. The thresholds of "Low," "Middle," or "High," performance have been determined by the expectations set forth in the 2007-08 Accountability Handbook & the NYCDOE Performance & Compliance Standards for Chancellor—Authorized Charter Schools.

1 Academic Achievement				L	M	H
Absolute Performance						
		2005-2006	2006-2007	2007-2008		
ELA - Composite 3-8		58.9%	61.8%	65.2%	M	H
Math - Composite 3-8		72.3%	77.6%	84.1%	H	H
Science - Grade 4			98.0%	93.9%	M	H
Science - Grade 5			41.7%	74.5%	M	H
Social Studies - Grade 5			81.5%	80.2%	M	H
Social Studies - Grade 6			42.2%	53.2%	L	H

- L** - Exams on which less than 60% of students achieved proficiency.
- M** - Exams on which at least 60% of students but less than 75% of students achieved proficiency.
- H** - Exams on which 75% or more students achieved proficiency.

Comparative Performance (Grade Specific)					L	M	H
ELA	2007-2008	City	District	School			
	2006-2007	57.8%	54.2%	65.2%	M	M	H
	2005-2006	50.7%	46.6%	58.9%	M	M	M
Math	2007-2008	74.3%	71.3%	84.1%	M	M	H
	2006-2007	65.1%	61.2%	77.6%	M	M	M
	2005-2006	57.0%	50.4%	72.3%	M	M	M

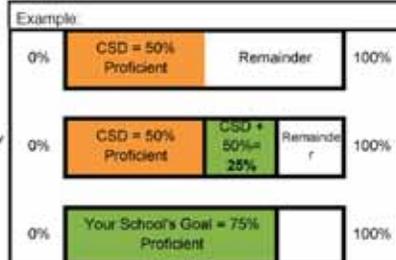
- L** - Schools that are underperforming their host district.
- M** - Schools that are outperforming their host district, but not by a margin greater than 50% of the difference between the district's performance and 100% proficiency.
- H** - Schools that have achieved scores equal to or above half the difference of the district and 100% proficiency.

Comparative Performance:

Schools have been compared to their counterparts in the city and their host district with respect to the grade levels that the school serves. For example, schools that serve grades 4, 5, and 6 will only be compared to the performance of grades 4, 5, and 6 across the city and in their host district. The NYCDOE—Office of Charter Schools has classified the LMH distinction in this category by deeming "High Performance" as schools that have scored at or above half the difference of their host district's score and 100% proficiency. As of now, this measure is not used for accountability decision-making, but the OCS is considering including a form of this measure in future accountability plans.

For Example:

- 1 - Your host district's schools have 50% of their students achieve proficiency.
- 2 - Half the difference between your host district's score (50%) and 100% ($50\% + 2 = 25\%$).
- 3 - Add the halved-difference to your host district's score ($50\% + 25\% = 75\%$). Your charter school must surpass this number to be considered "Well-Developed" on the APE.



Quality Statements		U	UP	P	W	O
2 Educational Program & Environment						
1	Gather Data: School leaders and faculty consistently gather and generate data and use it to understand what each student knows and is able to do and to monitor the student's progress over time.			P		
2	Plan and Set Goals: School leaders and faculty consistently use data to understand each student's next learning steps and to set suitably high goals for accelerating each student's learning.				W	
3	Align Instructional Strategy to Goals: The school aligns its academic work, strategic decisions and resources, and effectively engages students around its plans and goals for accelerating student learning.				W	
4	Align Capacity Building to Goals: The development of leadership, teachers and other staff capacity is aligned to the school's collaboratively established goals for accelerating the learning of each student.				W	
5	Monitor and Revise: The school has structures for evaluating each student's progress throughout the year and for flexibly adapting plans and practices to meet its goals for accelerating learning.				W	
3 Responsible School Leadership, Governance & Management						
6	Monitor Effectiveness: The Charter School Board is proactive and diligent in undertaking its administrative responsibilities.				W	
4 Financial Sustainability and Internal Controls						
7	Maintain Financial Viability: The Charter School and its Board maintain financial viability and control over the course of the academic year.				W	
5 Strong Culture and Supportive Relationships						
8	Integration of Parents and the Community: The Charter School has adequate structures to integrate parents and community partners with the school.				W	

- U** Underdeveloped
- UP** Underdeveloped with proficient features
- P** Proficient
- W** Well-Developed
- O** Outstanding

Quality Statements:

These 8 statements are taken directly from the 2007-08 Quality Review matrix which has been shared with every school to receive an Annual Site Visit. Schools are judged on these 8 statements by the above criteria. If this section is blank, your school either received a Third Year Compliance Monitoring visit from the NY State Education Department or had its renewal visit last year.

How to Read Your Charter School's Annual Performance Evaluation (APE)

4 Financial Sustainability and Internal Controls			
<u>Short-Term Sustainability</u>		<u>2007-2008</u>	
Current Asset-to-Liability Ratio	1.25		UD
			UD
<u>Long-Term Sustainability</u>		<u>2007-2008</u>	
Debt-to-Asset Ratio	74%		WD
% Spent on Educational Activities	88%		WD
% Spent on Management & General	10%		WD

	<u>Current Asset-to-Liability Ratio</u>	<u>Debt-to-Asset Ratio</u>	<u>% Spent on Edu. Activities</u>	<u>% Spent on Mgt. & Gen. Expenses</u>
UD	07-08: Below 1.5 08-09: Below 1.8	07-08: Above 60% 08-09: Above 60%	07-08: Below 70% 08-09: Below 77%	07-08: Above 30% 08-09: Above 23%
WD	07-08: Equal to or above 1.5 08-09: Equal to or above 1.8	07-08: Equal to or below 60% 08-09: Equal to or below 60%	07-08: Equal to or above 70% 08-09: Equal to or above 77%	07-08: Equal to or below 30% 08-09: Equal to or above 23%

All of the financial metrics are taken directly from the quarterly audits submitted by the schools.

Current Asset-to-Liability Ratio (A-to-L):

This metric is equal to the sum of all cash, receivables, inventory and prepaid expenses divided by the school's current liabilities.

$$A\text{-to-L Ratio} = \frac{\text{Cash} + \text{Receivables} + \text{Inventory} + \text{Prepaid Expenses}}{\text{Current Liabilities}}$$

A school's current ratio, a comparison of current assets to current liabilities, is especially important if a school wants to borrow funds or access credit. Creditors may use this ratio to measure a school's liquidity or ability to pay off short-term debts. A current ratio of 1.8 means that for every \$1.00 the school owes it has \$1.80 available in current assets. Changes in a school's current ratio over a period of years can point out problems and successes. A declining current ratio could be pointing to financial problems. An improving ratio however, could be the result of a better financial picture. A ratio of 2.0 or higher is generally considered healthy for non-profit organizations.

Debt-to-Asset Ratio (D-to-A):

This metric is equal to the school's current liabilities divided by their total liabilities, D-to-A Ratio = Current Liabilities + Total Liabilities

This number shows the portion of a school's asset that has been paid for with borrowed or financed funds. A 60% D-to-A ratio means that entities other than the school (banks, creditors, other institutions) have provided about 60 cents of every dollar of the school's assets. A school with a high D-to-A ratio may struggle while borrowing money or may have to pay a higher interest rate on a loan or line of credit than it would if its ratio were lower. It may also face problems attracting investors to finance the acquisition of private space. A ratio of 50% or lower is generally considered healthy for non-profit organizations.

% Spent on Educational Activities:

This ratio shows the amount of money a school is dedicating to educational activities compared to the schools' total expenses. This number provides insight as to how much of a school's total budget is used to provide direct service. A value of over 65% is considered healthy for non-profit organizations, however, since schools are unique in their operations, a higher threshold of 70% or above is considered favorable.

% Spent on Management & General Expenses:

This ratio illustrates the amount of money a school spends on administrative and overhead expenses compared to the schools total expenses. Generally, the ratio should be under 30%. A value of under 20% is considered healthy for non-profit organizations, however, since schools are unique in their operations, a higher threshold of 30% or below is considered favorable.

Sources: 2007-08 Financial Statements conducted by auditors external to the schools.

5 Strong Culture and Supportive Relationships

<u>Other Measures</u>	<u>2005-2006</u>	<u>2006-2007</u>	<u>2007-2008</u>	
Attendance Rates		93.0%	93.5%	P
Staff Retention Rates	70.6%	85.3%		
Student Retention Rates	0.949	85.3%	92.7%	

	<u>Attendance Rates</u>	<u>Teacher Retention Rates</u>	<u>Student Retention Rates</u>
UD	Below 90%	Below 70%	Below 85%
P	Equal to or above 90%, but less than 95%	Equal to or above 70%, but less than 90%	Equal to or above 85%, but less than 95%
WD	Equal to or above 95%	Equal to or above 90%	Equal to or above 95%

Attendance Rates: The OCS has decided upon the above thresholds based on the 2007-2008 Accountability Handbook.

Teacher Retention Rates: The OCS has decided upon the above thresholds after researching trends from Charter Schools and research from the National Center of Education Statistics

Student Retention Rates: The OCS has decided upon the above thresholds based on the 2007-2008 NYCDOE Performance & Compliance Standards for Chancellor—Authorized Charter Schools.

Source: 2007-08 Annual Report submitted to NYDOE-OCS by each individual school.

How to Read Your Charter School's Annual Performance Evaluation (APE)

Learning Environment Survey Results	Absolute	City Horizon	1st	2nd	3rd	4th
Academic Expectations	7.7	66.7	1st	2nd	3rd	4th
Communications	7.7	68.2	1st	1st	3rd	3rd
Engagement	7.8	61.7	1st	1st	3rd	3rd
Safety and Respect	8.8	60.8	1st	1st	3rd	3rd
Response Rate	37.0%	n/a	1st	2nd	3rd	3rd

1st	1st Quartile (Bottom 25%)
2nd	2nd Quartile (Bottom 50%)
3rd	3rd Quartile (Top 50%)
4th	4th Quartile (Top 25%)

The quartiles are of all NYCDOE Charter School respondents. There are approximately 8 schools in each quartile.

<u>Academic Expectations:</u>	Encourage students to do their best by developing rigorous and meaningful academic goals.
<u>Communication:</u>	Provide information about the school's educational goals and offer appropriate feedback on each student's learning outcomes.
<u>Engagement:</u>	Engage all parents, teachers, and students in an active and vibrant partnership to promote student learning.
<u>Safety and Respect:</u>	Ensure that all members of the school community feel physically and emotionally secure, allowing everyone to focus on student learning.
<u>Response Rate:</u>	The percent of parents in each school who responded to the survey.

Source: Learning Environment Survey—2007-2008 Parent Results