



## New York State Education Department

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The purpose of the Monitoring Plan is to provide internal and external stakeholders with a snapshot of monitoring activities performed by the New York State Education Department (NYSED) Charter School Office (CSO) over the course of a school's charter term. Such activities will support comprehensive oversight of charter schools authorized by the Board of Regents. In accordance with the Board of Regents' Oversight Plan<sup>1</sup>, CSO is authorized to oversee all school operations, including (but not limited to) inspecting school functions via site visits, records review, and evaluation.

On behalf of the Board of Regents, CSO will evaluate schools against performance benchmarks presented in the [Charter School Performance Framework](#).<sup>2</sup> The priorities that will be considered by the CSO and the Board of Regents during the renewal process are set forth in the Renewal Policy<sup>3</sup> authorized by the Board of Regents and Section 119.7 of the Regulations of the Commissioner. Evidence collected throughout the charter term—such as annual reports, independent financial audits, state testing data, and all site visit reports—will be used by the CSO to make decisions about the frequency and type of site visits to each school and will be also used to directly inform renewal decisions.

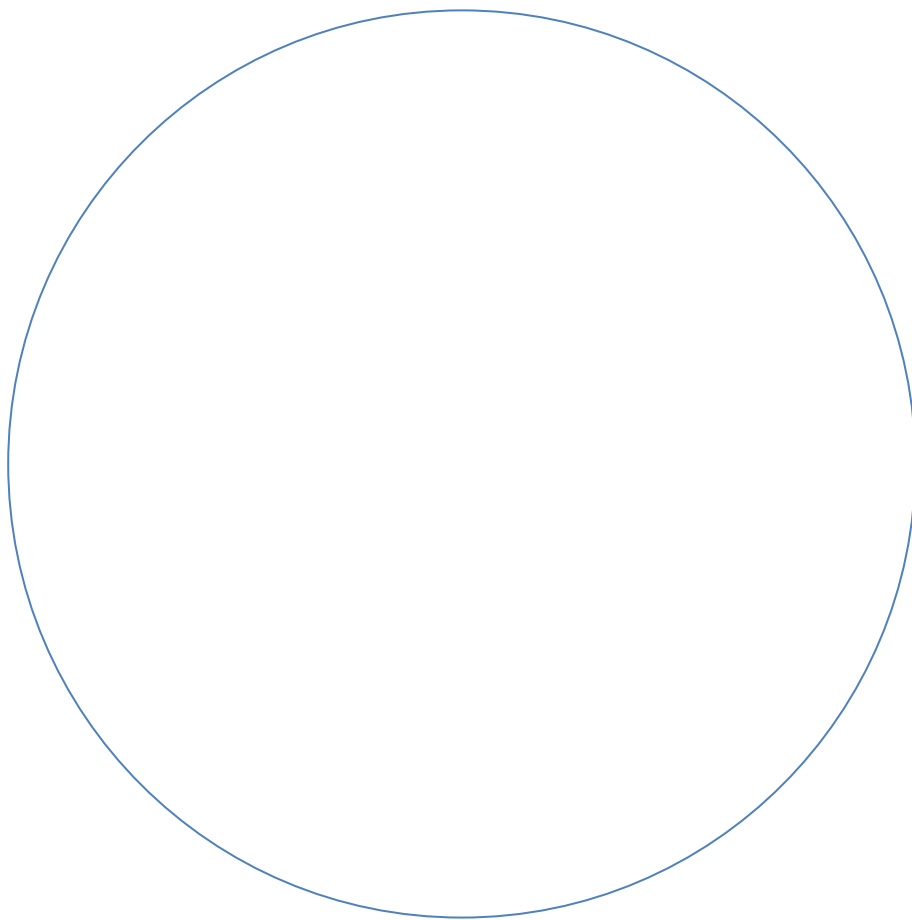
The events outlined in this Monitoring Plan allow the CSO to collect evidence on the school's performance in three areas:

1. The school's academic success and ability to operate in an educationally sound manner;
2. The school's organizational viability and its ability to operate in a fiscally sound manner; and
3. The school's faithfulness to the terms of its charter and adherence to the applicable laws and regulations.

The CSO documents all evaluative findings related to school performance. All documentation contributes to the school's record of performance, which will, in turn, be used to support renewal decision making.

The goal of the CSO Monitoring plan is to enable the review of Board of Regents-authorized charter school performance as required by statute and to identify high-

This chart seeks to clarify the roles and responsibilities of key charter school stakeholders. The oversight structure of charter schools loosely parallels that of traditional public schools: ongoing oversight, monitoring, and technical support provided by the CSO; key policy-setting, performance goal setting/monitoring, and decision making by charter school boards; and day-to-day operations managed by charter school leaders or through contracted entities that provide comprehensive management services<sup>4</sup>.



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In addition to site visits, the Monitoring Plan includes desk auditing of documentation and data collected by schools, including records pertaining to students, staff, financials, and general operations. The Board of Regents requires that schools engage in transparent record keeping practices, and the CSO and other SED staff will monitor and review such documentation throughout the life of a school's charter term.<sup>5</sup> Similar to the site visit protocols referenced above, the timing and scope of desk audits will depend on federal and state statute, as well as a school's track record and ability to meet goals and objectives outlined in its charter contract.

The CSO strives to ensure that authorizing standards, as set forth in the NYSED Charter School Performance Framework, are transparent. As such, the CSO utilizes a system of formative notifications to convey to Board of Regents-authorized charter schools that are falling short of one or more of the NYSED Charter School Performance Framework standards or are at risk of doing so. The purpose of these notices is to provide schools with information needed to commence school improvement efforts

Notices of Concern are issued when a school begins to, or is at risk of, failing to meet one or more Performance Framework standards. Notices of Concern are generally issued as an initial formal step of conveying a deficiency and are usually preceded by informal communication through the school's CSO liaison. The development of a formal Corrective Action Plan is not required upon receipt of a Notice of Concern, but the CSO strongly urges that a school receiving such notice takes urgent and immediate steps to address the concerns by engaging in school

For charter schools with terms that are not a full five years, the CSO will work with each school to modify the typical Monitoring Plan outlined below. Generally, schools should expect a full program evaluation sometime during the middle of the charter term, a renewal site visit prior to the end of the charter term, and check in visits as appropriate.

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| Educational Success             | <ul style="list-style-type: none"> <li>• CSO analysis of state assessment results<sup>10</sup></li> <li>• Site visit materials<sup>11</sup> and reports</li> <li>• Renewal application (during final year of charter)</li> <li>• Surveys</li> <li>• Focus Groups</li> <li>• Public comments</li> </ul>  |
|---------------------------------|---|
| Organizational Soundness        | <ul style="list-style-type: none"> <li>• Pre-opening requirements (during pre-opening year)</li> <li>• Board-approved budget</li> <li>• Quarterly reports and quarterly cash flow statements (pre-opening year)</li> <li>• Annual Reports (year 2 and subsequent years)</li> <li>• Annual audits (year 2 and subsequent years)</li> <li>• Renewal application (during final year of charter)</li> <li>• Board meeting minutes</li> <li>• Public comments</li> <li>• Focus Groups</li> </ul> |
| Faithfulness to Charter and Law | <ul style="list-style-type: none"> <li>• Site visit materials and reports</li> <li>• Annual Reports (year 2 and subsequent years)</li> <li>• Renewal application (during final year of charter)</li> <li>• Public comments</li> </ul>   |





16. Complaints and/or grievances received by the school, including but not limited to, complaints received by the board of trustees pursuant to §2855(4) of Education Law, together with all documentation of all actions taken in response (see more information online at <http://www.nysed.gov/charter-schools/complaint-process>);

17. Inventory of all assets of the school;

18. Minutes of each meeting of the board of trustees and documentation of [public notifications of such meetings](#); and

19. All records regarding the following events and occurrences:

- The charter school shall provide a \_\_\_\_\_ of the year prior to the anticipated implementation of any change to the approved charter, including but not limited to:

- a change in the school's mission or key design elements;
- significant changes to the governance or leadership structure;
- hiring or termination of the management company;
- a change to school name;
- a change in district of location; and
- a change in maximum enrollment or grades served.

- The charter school shall provide written notice to NYSED within five (5) business days of the occurrence of any of the following:
  - any change of the director/principal of the school;
  - a change in the school's by laws or code of ethics;