PENSEC Instructions, FY 2011-12

Pupil Estimates for New or Significantly Expanding Charters (PENSEC) instructions for fiscal year (FY) 2011-12.

Charter schools that are in their first year of operation and will begin instruction by September 30th, and continuing charter schools that are significantly expanding (e.g., adding a grade level or some other qualifying event), may receive a special advance and/or allocation on their funding for programs such as General Purpose Entitlement, Charter Schools Categorical Block Grant, and certain state and federal categorical programs.

The special advance and/or allocation is based on estimates of the school's upcoming enrollment, average daily attendance (ADA), and/or pupil demographic data. These data estimates are submitted in the Pupil Estimates for New or Significantly Expanding Charters (PENSEC) report. For most programs, entitlements apportioned or allocated subsequent to the PENSEC advance will be adjusted when actual counts are reported in the Charter School 20 Day Attendance Report (20 Day), the first and second principal apportionments (P-1 and P-2), and the Consolidated Application (ConApp).

Care should be taken when estimating pupil counts, and overpayment will be recaptured by the CDE, either through a reduction in the school's next apportionment/allocation or by invoicing the school.

NOTE: For some federal categorical programs (e.g., Title I), funding is based on prior year data. Because a new or significantly expanding charter school will have nonexistent or understated prior year data, the law allows these schools to be funded based on current year estimates. To take advantage of this provision, a new or significantly expanding direct funded charter school must submit the PENSEC report. In addition, to receive federal funds the direct funded school must also meet federal program eligibility requirements and elect to participate in such federal programs by submitting a Consolidated Application.

Logon

County

Use the County drop down list to select the county associated with the charter school.

District

Use the District drop down list to select the charter school's authorizing agency.

School

Use the School drop down list to select the charter school.

PIN

Enter the charter school's personal identification number (PIN). The PIN to use for the PENSEC report is the same as was provided by the California Department of Education's (CDE's) Charter Schools Division for use with the Charter Schools Annual Information Survey.

For assistance with a PIN, please send an e-mail to Melissa Collier, Analyst, Office of Charter Apportionments and District Reorganization, at mcollier@cde.ca.gov, or Dee Salerno, Consultant, Office of Charter Apportionments and District Reorganization, at dsalerno@cde.ca.gov.

Report Sections

The four sections of the PENSEC report are:

- Section 1 – General Information
- Section 2 – Funding Data Elements (ADA and/or pupil demographic data)
- Section 3 – Average Daily Attendance by District of Residence
- Section 4 – Review, Submit and Certify the Data

Sections 1, 2, and 4 are completed by all charter schools submitting the PENSEC report. Section 3 – Average Daily Attendance by District of Residence, is only required of new or significantly expanding county program or countywide charter schools authorized pursuant to *Education Code (EC)* sections 47605.5 or 47605.6 [http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=47001-48000&file=47605-47608] (Outside Source) and funded under the block grant.

Section 1 - General Information

Different data elements are required of new and significantly expanding charter schools so the first step in the PENSEC report is to indicate the charter school's filing status. Contact information for the person completing the report is also required.

Charter Status

Specific criteria must be met before a new or significantly expanding charter school is eligible to receive a special advance of state or federal funding. NOTE: For federal funding, in addition to filing a PENSEC report, a direct funded charter school must also meet federal program eligibility requirements and elect to participate in such federal programs by submitting a Consolidated Application.

Based on the following criteria select the radio button that indicates the charter school's status for FY 2011-12:

New Charter School for FY 2011-12

A charter school is considered new for purposes of the PENSEC report if it is in its first year of operation, will begin serving students between July 1 and September 30 *EC* Section 47652 [http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=47001-48000&file=47650-47652] (Outside Source), and meets any of the following conditions:

- Did not receive state funds for general operations in FY 2010-11 as a charter school. This would include new charter schools that received a startup or implementation grant in FY 2010-11 under the Public Charter Schools Grant Program as long as they did not also receive general purpose entitlement funds.
- Converted to a charter school from a traditional public school in FY 2011-12.

Significantly Expanding Charter School for FY 2011-12

A charter school is considered significantly expanding for purposes of the PENSEC report if it meets the following condition(s):

- For state funding, the charter school is adding at least one grade level *EC* Section 47652(b) [http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=47001-48000&file=47650-47652] (Outside Source).
- For federal funding, the charter is direct funded and has an increase in enrollment of at least 25 percent compared to the prior year due to a significant event that is unlikely to occur on a regular basis, such as the addition of one or more grade levels or educational programs in major curriculum areas, or any other event deemed to be significant by the CDE (Title 34 of the *Code of Federal Regulations*, Section 76.787).

Neither

If a charter school does not meet the criteria for FY 2011-12 of either a new charter school or a significantly expanding charter school, it should not submit the PENSEC report.

Contact Information

Provide contact information for the person completing the PENSEC report, including name, telephone number, facsimile (FAX) number, and e-mail address. The telephone and FAX numbers must include the area code and be in the format of xxx-xxx-xxxx. The e-mail address must be in a commonly recognized format such as xxxxx@xxxx.xxx.

Section 2 - Funding Data Elements

Estimated enrollment, ADA, and pupil demographic data are collected in the PENSEC report in order to calculate an advance on state funding and entitlements with current year data on federal funding for FY 2011-12. Section 2 will automatically display the questions relevant to either a new or significantly expanding charter school based on the charter status selection in Section 1.

Enrollment Data

Enter the estimated count of all pupils who are expected to be enrolled in the charter school as of October 2011. For continuing charter schools that anticipate significant expansion, estimated enrollment should be at least 25 percent greater than the October 2010 enrollment as reported in the California Longitudinal Pupil Achievement Data System (CALPADS) Fall 1 submission in order to receive a special advance of federal funds. When available, the October 2010 CALPADS enrollment may be viewed using DataQuest on the CDE's Web site [http://dq.cde.ca.gov/dataquest]. Note: The CDE will use final certified CALPADS Fall 1 enrollment data when determining eligibility for significant expansion.

Enter the estimated October 2011 enrollment as a whole number and include:

- All grade levels (K-12)
- Ungraded elementary (any student in kindergarten through grade 8 in an ungraded program including special education students in special day classes)
- Ungraded secondary (any student in grades 9 through 12, except adults in a K–12 program in an ungraded program including special education students in special day classes)
- Students over the age of 19 who have been continuously enrolled in public school and working toward a high school diploma
- Students over the age of 19 and participating in a program that provides instruction exclusively in partnership with entities specified in *EC* Section 47612.1. [http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=47001-48000&file=47610-47615] (Outside Source).

New charter schools must also enter the school's current enrollment (i.e., the count of students confirmed enrolled as of the date the PENSEC is being prepared) and the enrollment count that was used to build the school's first-year budget in the charter petition.

New Grade Level

For expanding charter schools, indicate Yes or No to whether the charter school will be adding at least one grade level in FY 2011-12. If Yes, select each grade that will be added. Note: If a grade level had any ADA in the prior year, including if it was only a minor amount or was for independent study, it may not be reported in the PENSEC report as a new grade level.

Instruction Begins

For significantly expanding charter schools, report the estimated date the school is scheduled to open and begin instruction (mm/dd/yyyy). New charter schools should have already reported the date instruction will begin in the Charter Schools Annual Information Survey.

Average Daily Attendance - New Schools

ADA is the measure of actual student attendance, which differs from the number of students signed-up (enrolled) to attend school. ADA is defined as the total number of days of student attendance divided by the total number of days in the regular school year. A student attending every day of the school year would equal one ADA. ADA usually is lower than enrollment due to factors that prevent students from attending such as students moving, dropping out, or staying home on any given day due to illness.

Estimate the charter school's ADA, by grade span, for the FY 2011-12 Second Principal Apportionment (P-2) reporting period (see following for Title 5, Section 11960, Article 1, Charter School Regular Average Daily Attendance). Include with the regular ADA by grade span Extended Year Special Education Special Day Class and Extended Year Special Education, Nonpublic, Nonsectarian Schools *EC* sections 56366(a)(7) [http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=56001-57000&file=56360-56369] and 56836.16 (Outside Source). ADA is reported to two decimal places.

For charter schools sponsored by a unified school district pursuant to *EC* Section 47632(j)) [http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=47001-48000&file=47630-47632.5] (Outside Source), resident and nonresident ADA should be combined for each grade span.

Average Daily Attendance - Expanding Schools

Schools that are significantly expanding will have previously reported to the CDE FY 2010-11 P-2 ADA by grade span. In order for the CDE to calculate the advance funding for the new grade level(s), the FY 2010-11 ADA by grade span must be further broken down in the PENSEC report by individual grades.

- Provide in columns 1 and 2 a breakdown by grade of FY 2010-11 P-2 ADA. The total of each column must equal the certified FY 2010-11 P-2 ADA reported to the CDE. The PENSEC report includes a table that displays the school's FY 2010-11 P-2 ADA reported to the CDE.
- Provide in columns 3 and 4 an estimate of the FY 2011-12 ADA only for the new grade level(s) selected in Question 1a. As noted previously, do not enter 2011-12 ADA for a grade level if any prior year P-2 ADA was reported for the grade. Include with the 2011-12 regular ADA by grade level Extended Year Special Education Special Day Class and Extended Year Special Education, Nonpublic, Nonsectarian Schools *EC* sections 56366(a)(7) [http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=56001-57000&file=56360-56369] and 56836.16 (Outside Source).

  For charter schools sponsored by a unified school district, resident and nonresident ADA should be combined for each grade level.

Pursuant to *EC* Section 47652(b) [http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=47001-48000&file=47650-47652] (Outside Source), when the state special advance is calculated the ADA funded for the new grade level(s) will be capped at the P-2 ADA reported for the charter school's highest grade in FY 2010-11. The CDE will cap the ADA, as necessary, before calculating the charter school's special advance funding for the general purpose entitlement and the charter categorical block grant.

Addition of an Educational Program

Indicate for FY 2011-12 whether the addition of one or more educational programs in major curriculum areas will occur. If Yes, provide a brief description.

Other Significant Event

Indicate for FY 2011-12 whether there is any significant event that is unlikely to occur on a regular basis, other than the addition of one or more grade levels or educational programs in major curriculum areas, that would lead to at least a 25 percent increase in October 2011 CALPADS Fall 1 enrollment. If Yes, provide a brief description.

Pupil Demographic Data

Estimate the following pupil data for FY 2011-12:

- **Free and Reduced Price Meals:** Using the chart provided in the following Federal Income Eligibility Guidelines, estimate how many of the pupils reported in the estimated October 2011 enrollment count, ages 5-17, may be eligible based on their family income for the free and reduced price meals program for FY 2011-12.

- **Economically Disadvantaged:** Using the chart provided in the following Federal Income Eligibility Guidelines, estimate how many of the pupils reported in the estimated October 2011 enrollment count have an annual family income at or below the federal poverty guidelines for FY 2011-12.

- **English Learners:** Estimate how many of the pupils reported in the estimated October 2011 enrollment count will be English learners in FY 2011-12. An English learner (EL) is a student who has been determined to lack the clearly defined English language skills of listening, comprehension, speaking, reading, and writing necessary to succeed in the school's regular instructional program. To be designated an EL, there must be a report of a primary language other than English on the state-approved "Home Language Survey" and a determination from the state-approved California English Language Development Test (CELDT). New charter schools should estimate EL counts based on the number of pupils they anticipate will be reported on the "Home Language Survey."

Federal Income Eligibility Guidelines

The following table is for use in estimating the FY 2011-12 numbers of pupils eligible for the free and reduced price meals program and those pupils considered to have a family income that is economically disadvantaged:

Household Size	Economically Disadvantaged Income Eligibility Guidelines Federal Poverty Guidelines (Annual Income)	National School Lunch Program Income Eligibility Guidelines Effective 7/1/11 to 6/30/12 Free Meals - 130% (Annual Income)	National School Lunch Program Income Eligibility Guidelines Effective 7/1/11 to 6/30/12 Reduced Price Meals - 185% (Annual Income)
1	10,890	14,157	20,147
2	14,710	19,123	27,214
3	18,530	24,089	34,281
4	22,350	29,055	41,348
5	26,170	34,021	48,415
6	29,990	38,987	55,482
7	33,810	43,953	62,549
8	37,630	48,919	69,616
Each Additional Person Add	3,820	4,966	7,067

Source: Federal Register, Vol. 76, No.58, Friday, March 25, 2011, pp. 16725

Section 3 - Average Daily Attendance by District of Residence

A charter school reporting ADA in the PENSEC report that is a county program charter or a countywide charter pursuant to *EC* sections 47605.5 or 47605.6 [http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=47001-48000&file=47605-47608] (Outside Source) and funded under the block grant must also report the ADA by school district of residence. The total ADA entered by district of residence must balance to the ADA entered in Section 2 – Funding Data Elements

To add districts of residence, do the following sequence until all districts applicable to the school have been added:

County of Residence

Select the appropriate county of residence using the drop down list.

District of Residence

Select the appropriate district of residence using the drop down list.

Data Entry

For the district of residence selected, enter the estimated FY 2011-12 ADA then click "Save District." Continue the sequence, entering estimated ADA for districts of residence, until all FY 2011-12 ADA have been added for new schools. For expanding schools, continue the sequence until the 2011-12 ADA for the new grade level(s) have been added.

To modify data previously entered, select the county and district from the drop down lists, then modify the data and click "Save District." To delete a district, select the county and district from the drop down lists, then click "Delete District."

The data entered for all districts will display in the "County and Sponsoring District of Residence" table following the data entry section. Once data entry is complete, click "Verify Data." If error messages indicate that the ADA does not balance between this Section 3 – District of Residence, and Section 2 – Funding Data Elements, correct the data in either section so that they balance.

Section 4 - Review, Submit and Certify the Data

Once data entry is complete, the PENSEC report should be printed, reviewed for accuracy, and then submitted online to the CDE. If ADA is being reported, a certification will automatically be made available and should be printed, signed, and then mailed to the CDE.

Data with signed certifications (if ADA is being reported) received by the CDE by 7/29/11 will be included in the 2011-12 charter school special advance apportionment. Data or certifications received after that date but by 9/30/11 may be included in later apportionments and/or allocations, including the federal Title I allocation.

Review the Data

Since the data entry screens cannot be accessed once the data is submitted to the CDE it is important that the data be carefully reviewed prior to submission. To review the data, click the "Print PENSEC Report" button then click "open". The report will display on the screen and can be printed using the browser's Print button. After closing the print window, if corrections to the data are needed, click "Return to Data Entry" and navigate to the data that needs correcting. Make sure to print another copy of the PENSEC report if changes are made.

Submit the PENSEC Report

Once the data are correct and ready to submit to the CDE, click "Submit PENSEC Data to CDE." You will be asked to confirm the submission. If "Yes" is clicked the data are submitted on-line to the CDE and a confirmation is provided showing the date and time of the submission.

Print Certification

PENSEC reports that have a successful submission and that include ADA data will automatically be provided with a "Print Certification" button. District of Residence ADA entered for the school will automatically be included in the certification. Submissions that include ADA will not be considered complete until the certification is received by the CDE.

Once the certification is printed, obtain the necessary signatures from the charter school representative, the superintendent of the authorizing entity, the county superintendent of schools, or the State Board of Education/CDE (as applicable). Mail the original signed certification to:

California Department of Education
School Fiscal Services Division
1430 N Street, Suite 3800
Sacramento, CA 95814
Attention: Melissa Collier

After the data have been submitted the certification and report may be printed again if necessary but the data entry screens are no longer accessible. If corrections are needed, please contact Melissa Collier, Analyst, Office of Charter Apportionments and District Reorganization, at 916-445-7354 or by e-mail at mcollier@cde.ca.gov.

Guidance on Calculating ADA

TITLE 5. Education
Division 1. California Department of Education

Chapter 11. Special Programs
Subchapter 19. Charter Schools
Article 1. Charter School Regular Average Daily Attendance

§11960. Regular Average Daily Attendance for Charter Schools.

(a) As used in *Education Code* section 47612, "attendance" means the attendance of charter school pupils while engaged in educational activities required of them by their charter schools, on days when school is actually taught in their charter schools. "Regular average daily attendance" shall be computed by dividing a charter school's total number of pupil-days of attendance by the number of calendar days on which school was actually taught in the charter school. For purposes of determining a charter school's total number of pupil-days of attendance, no pupil may generate more than one day of attendance in a calendar day.

(b) The State Superintendent of Public Instruction shall proportionately reduce the amount of funding that would otherwise have been apportioned to a charter school on the basis of average daily attendance for a fiscal year, if school was actually taught in the charter school on fewer than 175 calendar days during that fiscal year.

(c)(1) Beginning in 2004-05, a pupil who is over the age of 19 years may generate attendance for apportionment purposes in a charter school only if both of the following conditions are met:

A. The pupil was enrolled in a public school in pursuit of a high school diploma (or, if a student in special education, an individualized education program) while 19 years of age and, without a break in public school enrollment since that time, is enrolled in the charter school and is making satisfactory progress towards award of a high school diploma (or, if a student in special education, satisfactory progress in keeping with an individualized education program) consistent with the definition of satisfactory progress set forth in subdivision (b) of Section 11965.
B. The pupil is not over the age of 22 years.

(c)(2) This subdivision shall not apply to a charter school program specified in *Education Code* section 47612.1. A charter school program as specified in *Education Code* section 47612.1 may be either:

A. The whole of a charter school, if the school has an exclusive partnership agreement with one or more of the programs specified in *Education Code* section 47612.1 and serves no other pupils; or
B. An instructional program operated by a charter school that is exclusively dedicated to pupils who are also participating in one of the programs specified in *Education Code* section 47612.1, provided that arrangement is set forth in an exclusive partnership agreement between the charter school and one or more of the programs specified in *Education Code* section 47612.1.

(d) No individual who is ineligible to generate attendance for apportionment purposes in a charter school pursuant to subdivision (c) may be claimed as regular attendance for apportionment purposes by a local education agency that is authorized by law to grant charters. This subdivision shall not apply to claims other than claims for regular attendance for apportionment purposes.

NOTE: Authority cited: Section 33031, *Education Code*. Reference: Sections 41420, 46301 and 47612, *Education Code*.

Questions: Melissa Collier | mcollier@cde.ca.gov | 916-445-7354

California Department of Education
1430 N Street
Sacramento, CA 95814

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