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To: District Superintendents of BOCES  
Superintendents of Public Schools

From: Alexander Trikalinos *Alex Trikalinos*

Date: July 1, 2016 (Updated September 16, 2016)

Subject: APPR data collection and reporting timelines and requirements, including instructions for accessing the 2015-16 APPR Implementation Certification form; and APPR review and approval processes for the implementation of Education Law §3012-d in the 2016-17 school year.

This memorandum provides an update on the following:

1. 2015-16 APPR Implementation Certification Form;
2. APPR data collection and reporting timelines and requirements;
3. APPR review and approval processes for the implementation of Education Law §3012-d in the 2016-17 school year.

### **2015-16 APPR Implementation Certification Form**

In order to be eligible for an increase in State aid in 2016-17, all districts must fully implement their approved APPR plans. For school districts operating under an approved Hardship Waiver during the 2015-16 school year, the Commissioner must approve documentation by September 1 that a school district has fully implemented the standards and procedures for conducting APPRs in accordance with Education Law §3012-c and Subpart 30-2 of the Rules of the Board of Regents.

For school districts with APPR plans approved pursuant to Education Law §3012-d by the Commissioner on or before March 1, 2016, the Commissioner must approve documentation by September 1 that a school district has fully implemented the standards and procedures for conducting APPRs in accordance with Education Law §3012-d and Subpart 30-3 of the Rules of the Board of Regents. Please note that school districts who received approval of a Hardship Waiver on or before November 15, 2015 and did not receive approval of an APPR plan consistent with Education Law §3012-d by March 1, 2016 must submit documentation demonstrating implementation of their most recently approved Education Law §3012-c APPR plan during the 2015-16 school year.

In order to demonstrate that each school district or BOCES has fully implemented their approved APPR plan for the 2015-16 school year, the Department requires that an implementation certification form be completed by August 26, 2016 by the superintendent of schools and board president. The certification form is now available at: <http://usny.nysed.gov/rttt/teachers-leaders/docs/appr-implementation-certification-form.pdf> and must be submitted through the NYSED Application Business Portal at: <http://portal.nysed.gov/>. After logging on, please click on “SED Monitoring,” select “View” for the “APPR Implementation Certification,” and follow the instructions on the page to submit the form.

## **Data Collection, Reporting, and APPR Review and Approval Processes**

Please see the table below for important upcoming deadlines related to data submission and certification, the APPR Implementation Certification form, and the APPR review and approval process.

These deadlines are the final State deadlines. Local level 1 centers will require earlier due dates to allow sufficient time for processing. In addition to data submission, districts and BOCES must submit the APPR Implementation Certification form and the 2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report.

Regarding approval of Education Law §3012-d APPR plans for implementation beginning in the 2016-17 school year, pursuant to Chapter 73 of the Laws of 2016, districts implementing an approved APPR plan consistent with Education Law §3012-c during the 2015-16 school year pursuant to an approved Hardship Waiver shall continue to be eligible to receive State aid increases for both the 2015-16 and 2016-17 school years, provided the district has fully implemented an approved APPR plan consistent with the requirements of Education Law §3012-d and the corresponding Commissioner's regulations by January 3, 2017 (because December 31<sup>st</sup> falls on a weekend, the deadline becomes January 3 pursuant to General Construction Law §25-a). Should such a district fail to have fully implemented an approved APPR plan consistent with the requirements of Education Law §3012-d and the corresponding Commissioner's regulations by January 3, 2017, such district shall not be eligible to receive State aid increases for both the 2015-16 and 2016-17 school years and shall have its monthly State aid payments reduced accordingly after March 31, 2017.

A district that fully implemented an approved APPR plan consistent with Education Law §3012-d during the 2015-16 school year shall continue to be eligible to receive State aid increases for the 2016-17 school year, provided the district has fully implemented an approved APPR plan consistent with the requirements of Education Law §3012-d and the corresponding Commissioner's regulations for the 2016-17 school year by January 3, 2017. Should such a district fail to have fully implemented an approved APPR plan consistent with the requirements of Education Law §3012-d and the corresponding Commissioner's regulations for the 2016-17 school year by January 3, 2017, such district shall not be eligible to receive a State aid increase for the 2016-17 school year and shall have its monthly State aid payments reduced accordingly after March 31, 2017.

**The Department recommends that districts submit their APPR plans as soon as practicable in order to ensure that such plans can be fully implemented and approved by January 3, 2017.**

<b>Date</b>	<b>Event</b>	<b>Description/Information</b>
July 8, 2016	Final submission of 2015-16 Regents exam scores to SIRS to be used for State-provided growth score calculation purposes	2015-16 scores for Regents exams (including June 2016 records) to be used in principal evaluation growth score calculations.
August 2016	State Growth Score Distribution	State growth scores are distributed to districts for inclusion in 2015-16 teacher/leader evaluations.

<p>August 24, 2016 – November 18, 2016<sup>1</sup></p>	<p>Final submission of 2015-16 Evaluation Composite Ratings and Scores, Category Ratings, and Subcomponent Scores and Ratings</p>	<p>LEAs will report 2015-16 staff evaluation data to the Commissioner through the Student Information Repository System (SIRS) for all applicable teachers and principals. These data must be submitted by <b>November 18, 2016<sup>2</sup></b>.</p> <p>For districts with an approved Hardship Waiver and implementing Education Law §3012-c in 2015-16: All final and complete data, including original and transition (where applicable) scores for the State Growth or Other Comparable Measures subcomponent, Locally Selected Measures subcomponent, Other Comparable Measures of Effectiveness subcomponent, and the Overall Composite score and rating.</p> <p>For districts implementing Education Law §3012-d in 2015-16: All final and complete data, including original and transition (where applicable) scores and ratings for the Required and Optional Student Performance subcomponents, Overall Student Performance category ratings, scores and ratings for the Required and Optional Teacher Observation/Principal School Visit subcomponents, Overall Teacher Observation/Principal School Visit category ratings, and the Overall Composite rating.</p> <p>Complete 2015-16 Staff Evaluation Rating data must be submitted by <b>November 18, 2016<sup>3</sup></b> in order for a district to be eligible for their increase in State aid.</p>
<p>August 26, 2016</p>	<p>APPR Implementation Certification form must be submitted to NYSED’s Application Business Portal</p>	<p>The APPR Implementation Certification form must be submitted by August 26 by districts and BOCES. The form is one necessary component to demonstrate full implementation of your approved APPR plan for the 2015-16 school year and is used to determine eligibility for an increase in State aid for the 2016-17 school year for school districts only. The APPR Implementation Certification form must be signed by</p>

<sup>1</sup> The original October 28, 2016 deadline has been extended for the 2015-16 evaluation data submission to accommodate the first-time submission of both original and transition (as applicable) scores and ratings (please see the [Department's APPR Transition Guidance](#) for additional information).

<sup>2</sup> The original October 28, 2016 deadline has been extended for the 2015-16 evaluation data submission to accommodate the first-time submission of both original and transition (as applicable) scores and ratings (please see the [Department's APPR Transition Guidance](#) for additional information).

<sup>3</sup> The original October 28, 2016 deadline has been extended for the 2015-16 evaluation data submission to accommodate the first-time submission of both original and transition (as applicable) scores and ratings (please see the [Department's APPR Transition Guidance](#) for additional information).

		the superintendent/district superintendent and board president. The form is now available at <a href="http://usny.nysed.gov/rttt/teachers-leaders/docs/appr-implementation-certification-form.pdf">http://usny.nysed.gov/rttt/teachers-leaders/docs/appr-implementation-certification-form.pdf</a> and must be submitted through NYSED’s Application Business Portal at <a href="http://portal.nysed.gov">http://portal.nysed.gov</a> .
September 1, 2016	Transition APPR evaluation results from the 2015-16 school year must be provided to all educators. Original APPR evaluation results from the 2015-16 school year must be provided to all educators by September 1, or as soon as practicable thereafter.	2015-16 APPR evaluations shall be completed and provided to teachers and principals. The entire evaluation must be completed and transition scores and ratings provided to each teacher and principal as soon as practicable, but in no case later than September 1, 2016. Original scores and ratings must be provided to each teacher and principal by September 1, 2016, or as soon as practicable thereafter.
December 2, 2016 <sup>4</sup>	Statement of Confirmation of 2015-16 Staff Evaluation Rating Verification Report(s) due	This form certifies the accuracy of the Staff Evaluation Rating data submitted as of the <b>November 18, 2016<sup>5</sup></b> deadline and is required to be signed by the LEA’s certifying official who verifies the data provided in the Staff Evaluation Rating Verification Report(s) generated by L2RPT.  The certification form will be available and must be submitted through NYSED’s Application Business Portal and can be accessed here: <a href="https://eservices.nysed.gov/sedmonitoring">https://eservices.nysed.gov/sedmonitoring</a> , in the same location as the online APPR submission form.
January 3, 2017 <sup>6</sup>	Approval deadline for 2016-17 APPR plans under Education Law §3012-d.	Districts must receive approval by the Commissioner and fully implement an APPR plan that is consistent with the requirements of Education Law §3012-d by January 3, 2017. If your district is not fully implementing your approved plan by January 3, 2017, your district will not be eligible to receive an increase in State aid for the 2015-16 or 2016-17 school year – this is not at the discretion of the Commissioner, but is a statutory requirement.
February 1, 2017	Submission deadline for Independent Evaluator Hardship Waivers for the	This is an annual submission. Independent Evaluator Hardship Waivers, once approved, are only effective during the school year for which they approved.

<sup>4</sup> The original November 4, 2016 certification deadline has been extended for the 2015-16 evaluation data submission to accommodate the first-time submission of both original and transition (as applicable) scores and ratings (please see the [Department’s APPR Transition Guidance](#) for additional information).

<sup>5</sup> The original October 28, 2016 deadline has been extended for the 2015-16 evaluation data submission to accommodate the first-time submission of both original and transition (as applicable) scores and ratings (please see the [Department’s APPR Transition Guidance](#) for additional information).

<sup>6</sup> Ch. 73 of the Laws of 2016, signed into law on June 23rd, extends the September 1, 2016 deadline to December 31, 2016. Applying General Construction Law §25-a, as December 31, 2016 falls on a weekend, the actual deadline for obtaining the Commissioner’s approval is the next business day (January 3, 2017).

	2016-17 school year	Districts/BOCES who wish to continue to operate under such Hardship Waivers in future school years must submit an application by February 1 <sup>st</sup> of each school year.
March 1, 2017	<p>Submission deadline for material changes to APPR plans consistent with Education Law §3012-d for the 2016-17 school year</p> <p>Submission deadline for the supplemental form for APPR plans consistent with Education Law §3012-d approved prior to March 15, 2016</p>	<p>Material changes to APPR plans consistent with Education Law §3012-d for the 2016-17 school year must be submitted on or before this date.</p> <p>Material changes to APPR plans consistent with Education Law §3012-d submitted after March 1, 2017 must be implemented for the 2017-18 school year and districts and BOCES must implement their previously approved plans consistent with §3012-d during the 2016-17 school year.</p> <p>Districts/BOCES whose Education Law §3012-d Annual Professional Performance Review (APPR) plans were approved by the Department for use beginning in the 2015-16 school year must complete this supplemental form in order to specify the alternate SLOs that will be used for applicable teachers and principals during the 2016-17 through 2018-19 school years in the event that excluding the results of the grades 3-8 ELA and math State assessments and any State-provided growth scores results in no remaining student performance measures for the purposes of calculating transition scores and ratings. The form must be submitted through NYSED's Application Business Portal at <a href="http://portal.nysed.gov">http://portal.nysed.gov</a>.</p>

**Reporting Requirements Related to Education Law §3012-c and Education Law §3012-d**

All public school districts and BOCES are required to submit 2015-16 school year data to SIRS that include staff evaluation ratings used for APPR. Please share this information with personnel in your organization who have responsibility for data collection and reporting. Please note that both original and transition scores and ratings in each subcomponent and/or category, and final composite scores and/or ratings, where applicable, must be reported for all educators whose APPR measures incorporate the results of the grades 3-8 ELA and math State assessments and/or State-provided growth scores.

The table below summarizes the data elements that are required to be submitted for staff evaluation under Education Law §3012-c via the Staff Evaluation Rating Template for the 2015-16 school year, exported from your local data systems for each teacher and principal.

<b>Evaluation Category</b>	<b>Description</b>
<b>Overall Evaluation Rating Category</b>	Reported using the following codes: OC04 = highly effective, OC03 = effective, OC02 = developing, OC01 = ineffective for original ratings.

	<p>Reported using the following codes: TOC04 = highly effective, TOC03 = effective, TOC02 = developing, TOC01 = ineffective for transition ratings.</p> <p>Original code reported here must match the original Total Composite Effectiveness Score reported and transition code reported here must match the transition Total Composite Effectiveness Score reported.</p>
<b>Total Composite Effectiveness Score</b>	<p>Reported as a whole number from 0-100, using the following codes: OC04 = value from 91-100, OC03 = value from 75-90, OC02 = value from 65-74, OC01 = value from 0-64 for original scores.</p> <p>Reported as a whole number from 0-100, using the following codes: TOC04 = value from 91-100, TOC03 = value from 75-90, TOC02 = value from 65-74, TOC01 = value from 0-64 for transition scores.</p> <p>Original score reported here must match code reported for the original Overall Evaluation Rating Category and transition score reported here must match code reported for the transition Overall Evaluation Rating Category.</p>
<b>Subcomponent Scores and Ratings</b>	<ul style="list-style-type: none"> <li>• <u>State Growth or Other Comparable Measures subcomponent score</u> <ul style="list-style-type: none"> <li>○ Reported as a whole number from 0-20, using code STATE20 for original and TSTATE20 for transition.</li> </ul> </li> <li>• <u>Locally Selected Measures subcomponent score</u> <ul style="list-style-type: none"> <li>○ Reported as a whole number from 0-20, using code LOCAL20 for original and TLOCAL20 for transition.</li> </ul> </li> <li>• <u>Other Measures subcomponent score and rating</u> <ul style="list-style-type: none"> <li>○ Ratings and scores reported as a whole number from 0-60, using the following codes OTHER01 = ineffective, OTHER02 = developing, OTHER03 = effective, OTHER04 = highly effective for original and TOTHER01 = ineffective, TOTHER02 = developing, TOTHER03 = effective, TOTHER04 = highly effective for transition.</li> </ul> </li> </ul> <p>Please see M32 of APPR §3012-c Guidance for further information on the use of whole numbers in APPR plans approved pursuant to Education Law §3012-c: <a href="https://www.engageny.org/resource/guidance-on-new-york-s-annual-professional-performance-review-law-and-regulations">https://www.engageny.org/resource/guidance-on-new-york-s-annual-professional-performance-review-law-and-regulations</a></p>

The table below summarizes the data elements that are required to be submitted for staff evaluation under Education Law §3012-d via the Staff Evaluation Rating Template for the 2015-16 school year, exported from your local data systems for each teacher and principal.

<b>Evaluation Category</b>	<b>Description</b>
<b>Overall Evaluation Rating Category</b>	Reported using the following codes: OCR04 = highly effective, OCR03 = effective, OCR02 = developing, OCR01 = ineffective for original ratings based on the matrix prescribed in Education Law §3012-d(5).

	<p>Reported using the following codes: TOCR04 = highly effective, TOCR03 = effective, TOCR02 = developing, TOCR01 = ineffective for transition ratings based on the matrix prescribed by Education Law §3012-d(5).</p>
<p><b>Teacher Observation/ Principal School Visit Category</b></p>	<p>Original Required Teacher Observation/Principal School Visit subcomponent scores and ratings reported as a number from 1.00-4.00 or 0.00, using the following codes: REQOB04 = highly effective, value from 3.50-4.00, REQOB03 = effective, value from 2.50-3.74, REQOB02 = developing, value from 1.50-2.74, REQOB01 = ineffective, value of 0.00 or from 1.00-1.74.</p> <p>Transition Required Teacher Observation/Principal School Visit subcomponent scores and ratings reported as a number from 0.00-4.00 or 0.00, using the following codes: TREQOB04 = highly effective, value from 3.50-4.00; TREQOB03 = effective, value from 2.50-3.74; TREQOB02 = developing, value from 1.50-2.74; TREQOB01 = ineffective, value of 0.00 or from 1.00-1.74.</p> <p>Original Optional Teacher Observation/Principal School Visit subcomponent scores and ratings reported as a number from 1.00-4.00, using the following codes: OPTOB04 = highly effective, value from 3.50-4.00; OPTOB03 = effective, value from 2.50-3.74; OPTOB02 = developing, value from 1.50-2.74; OPTOB01 = ineffective, value from 1.00-1.74; OPTOB00 = optional subcomponent not included in the approved APPR plan for 2015-16.</p> <p>Transition Optional Teacher Observation/Principal School Visit subcomponent scores and ratings reported as a number from 1.00-4.00, using the following codes: TOPTOB04 = highly effective, value from 3.50-4.00; TOPTOB03 = effective, value from 2.50-3.74; TOPTOB02 = developing, value from 1.50-2.74; TOPTOB01 = ineffective, value from 1.00-1.74.</p> <p>Subcomponent scores must correspond to the correct rating codes. HEDI ranges used to determine subcomponent scores must be consistent with those indicated in the approved APPR plan for 2015-16.</p> <p>Original Teacher Observation/Principal School Visit category ratings reported using the following codes: OOBBC04 = highly effective, OOBBC03 = effective, OOBBC02 = developing, OOBBC01 = ineffective.</p> <p>Transition Teacher Observation/Principal School Visit category ratings reported using the following codes: TOOBBC04 = highly effective, TOOBBC03 = effective, TOOBBC02 = developing, TOOBBC01 = ineffective.</p>

	<p>Category ratings must be determined per the weighting indicated in the approved APPR plan for 2015-16.</p>
<p><b>Student Performance Category</b></p>	<p>Original Required Student Performance subcomponent scores and ratings reported as a whole number from 0-20, using the following codes: REQSP04 = highly effective, value from 18-20, REQSP03 = effective, value from 15-17, REQSP02 = developing, value from 13-14, REQSP01 = ineffective, value from 0-12.</p> <p>Transition Required Student Performance subcomponent scores and ratings reported as a whole number from 0-20, using the following codes: TREQSP04 = highly effective, value from 18-20; TREQSP03 = effective, value from 15-17; TREQSP02 = developing, value from 13-14; TREQSP01 = ineffective, value from 0-12.</p> <p>Original Optional Student Performance subcomponent scores and ratings reported as a whole number from 0-20, using the following codes: OPTSP04 = highly effective, value from 18-20; OPTSP03 = effective, value from 15-17; OPTSP02 = developing, value from 13-14; OPTSP01 = ineffective, value from 0-12; OPTSP00 = optional subcomponent not included in the approved APPR plan for 2015-16.</p> <p>Transition Optional Student Performance subcomponent scores and ratings reported as a whole number from 0-20, using the following codes: TOPTSP04 = highly effective, value from 18-20; TOPTSP03 = effective, value from 15-17; TOPTSP02 = developing, value from 13-14; TOPTSP01 = ineffective, value from 0-12.</p> <p>Original Student Performance category ratings reported using the following codes: OSPC04 = highly effective, OSPC03 = effective, OSPC02 = developing, OSPC01 = ineffective.</p> <p>Transition Student Performance category ratings reported using the following codes: TOSPC04 = highly effective, TOSPC03 = effective, TOSPC02 = developing, TOSPC01 = ineffective.</p> <p>Category ratings must be determined per the weighting indicated in the approved APPR plan for 2015-16.</p>

**Additional Questions and Information**

If you have any questions about these technical data reporting requirements, please contact your RIC or Big 5 City School District data center or the Office of Information and Reporting Services via email at [datasupport@nysed.gov](mailto:datasupport@nysed.gov).

If you have any questions or require technical assistance with your APPR plan, please contact [educatoreval@nysed.gov](mailto:educatoreval@nysed.gov). Please also see the APPR Guidance document for further information on evaluation ratings resulting from APPR plans approved pursuant to Education Law §3012-c or



Education Law §3012-d: <http://www.engageny.org/resource/guidance-on-new-york-s-annual-professional-performance-review-law-and-regulations>. Helpful information for the closeout of 2015-16 APPR can be found here: <https://www.engageny.org/resource/resources-closeout-2015-16-appr>.

Resources related to Education Law §3012-c can now be found here: <https://www.engageny.org/resource/appr-3012-c> and resources related to Education Law §3012-d can be found here: <https://www.engageny.org/resource/appr-3012-d>.