



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234
New York State Education Department
Educator Quality and Professional Development
89 Washington Avenue, 1071 EBA
Albany, NY 12234
Office: (518) 486-2573
Fax: (518) 474-4130

To: District Superintendents of BOCES
Superintendents of Schools
Charter School Leaders

From: Rose LeRoy *Rose M. LeRoy*
Director of Education Technology and Data Systems

Alexander Trikalinos *Alex Trikalinos*
Executive Director, Educator Quality and Professional Development

Subject: Annual Professional Performance Review Data Submission and
Certification Deadlines for the 2015-16 School Year

Date: September 16, 2016 (Updated October 6, 2016)

This memorandum provides continuing information regarding several APPR data collection and reporting deadlines. This memo supports the information shared in the [July 1, 2016 memo](#) found on the Department's website.

As a reminder, when districts, BOCES, and applicable charters¹ submitted their APPR Implementation Certification form, they assured that "all data will be submitted to the Commissioner by August 24, 2016, to the extent practicable, and no later than October 28, 2016²" and that all data submitted to the Commissioner by October 28, 2016³ will be a complete and accurate representation of the information requested and include the State Growth subcomponent and Locally Selected Measures subcomponent scores, and the Other Measures subcomponent, the Overall Composite score and rating, and all applicable transition scores and ratings for all teachers and principals employed by the district or BOCES implementing Education Law §3012-c. **Please note: the original October 28, 2016 deadline has been extended to November 18, 2016 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**

¹ Please see Section O2 of the [§3012-c and 3012-d APPR Guidance documents](#) for additional information on charter school data submission requirements.

² The original October 28, 2016 deadline has been extended to November 18, 2016 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).

³ The original October 28, 2016 deadline has been extended to November 18, 2016 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).

information).

For districts implementing Education Law §3012-d during the 2015-16 school year, complete and accurate information includes the Required Student Performance subcomponent scores and ratings, the Optional Student Performance subcomponent scores and ratings, as applicable, the Student Performance category ratings, the Required Teacher Observation/Principal School Visit subcomponent scores and ratings, the Optional Teacher Observation/Principal School Visit subcomponent scores and ratings, as applicable, the Teacher Observation/Principal School Visit category rating, the Overall Composite rating, and all applicable transition scores and ratings for all teachers and principals employed by the district or BOCES implementing Education Law §3012-d for the 2015-16 school year.

Therefore, in order to be eligible for an increase in State aid for 2016-17, all districts must report their original and transition (where applicable) subcomponent, category and overall scores and/or ratings by November 18, 2016⁴. Please note: Local level 1 data centers may require earlier due dates to allow sufficient time for processing.

Date	Event	Description/Information
August 24, 2016 – November 18, 2016 ⁵	Final submission of 2015-16 Evaluation Composite Scores and/or Ratings, Category Ratings, and Subcomponent Scores and Ratings	<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 November 18, 2016⁶.</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</p>

⁴ 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).

⁵ 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).

⁶ 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).

		<p>Student Performance subcomponents and Overall Student Performance category ratings; scores and ratings for the Required and Optional Teacher Observation/Principal School Visit subcomponents and 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 November 18, 2016⁷ in order for a district to be eligible for their increase in State aid.</p>
December 2, 2016 ⁸	Statement of Confirmation of 2015-16 Staff Evaluation Rating Verification Report(s) due	<p>This form certifies the accuracy of the Staff Evaluation Rating data submitted as of the November 18, 2016⁹ 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.</p> <p>The certification form will be available and must be submitted through NYSED's Application Business Portal, in the same location as the online APPR submission form.</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.

⁷ 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).

⁸ 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).

⁹ 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).

Evaluation Category under Education Law §3012-c	Description
Overall Composite Rating	<p>Reported using the following codes: OC04 = highly effective, OC03 = effective, OC02 = developing, OC01 = ineffective for original ratings.</p> <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>
Overall Composite Score	<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>
Subcomponent Scores and Ratings	<ul style="list-style-type: none"> • <u>State Growth or Other Comparable Measures subcomponent score</u> <ul style="list-style-type: none"> ○ Reported as a whole number from 0-20, using code STATE20 for original and TSTATE20 for transition. • <u>Locally Selected Measures subcomponent score</u> <ul style="list-style-type: none"> ○ Reported as a whole number from 0-20, using code LOCAL20 for original and TLOCAL20 for transition. • <u>Other Measures subcomponent score and rating</u> <ul style="list-style-type: none"> ○ 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. <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.</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.

Evaluation Category under Education Law §3012-d	Description
<p>Overall Composite Rating</p>	<p>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> <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>Teacher Observation/Principal School Visit Category</p>	<p>Original Required Teacher Observation/Principal School Visit subcomponent scores and ratings reported as a value of 0.00 or a number from 1.00-4.00, 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 value of 0.00 or a number from 1.00-4.00, 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: OOB04 = highly effective, OOB03 = effective, OOB02 = developing, OOB01 = ineffective.</p> <p>Transition Teacher Observation/Principal School Visit category ratings reported using the following codes: TOOB04 = highly effective,</p>

	<p>TOOBC03 = effective, TOOBC02 = developing, TOOBC01 = ineffective.</p> <p>Category ratings must be determined per the weighting indicated in the approved APPR plan for 2015-16.</p>
<p>Student Performance Category</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 subcomponent weighting indicated in the approved APPR plan for 2015-16.</p>

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.

If you have any questions or require technical assistance with your APPR plan, please contact educatoreval@nysed.gov. Please also see the [APPR Guidance documents](#) for further information on evaluation ratings resulting from APPR plans approved pursuant to Education Law §3012-c or Education Law §3012-d. Also available on EngageNY are [helpful information for the closeout of 2015-16 APPR](#), [resources related to Education Law §3012-c](#), and [resources related to Education Law §3012-d](#).

Frequently Asked Questions

General Questions

Q1: Other than the 2015-16 APPR Implementation Certification Form, what further information is required to be submitted to the Department in order for my district to demonstrate full implementation of its 2015-16 APPR?

A: LEAs must report 2015-16 final and complete data, including original and transition (where necessary) scores and ratings for all applicable teachers and principals to the New York State Education Department's Student Information Repository System (SIRS) by November 18, 2016.^{10,11,12,13} Data submitted must be consistent with Education Law §3012-c or Education Law §3012-d, based on the plan implemented in the 2015-16 school year¹⁴. Required elements under either law can be found in the tables in Q10 of this FAQ.

In addition, the 2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report is required to be signed by the LEA's certifying official who verifies the data submitted to the Department by December 2, 2016¹⁵. By signing the Implementation Certification form that was due to the Department on August 26, 2016, LEAs assured that all data will be submitted to the Commissioner starting on August 24, 2016 to the extent practicable, and that all data submitted to the Commissioner by November 18, 2016¹⁶ will be a complete and accurate representation of the information requested and includes all required scores and ratings consistent with the implemented 2015-16 APPR plan for all teachers and principals employed by the district or BOCES, for the 2015-16 school year.

However, please be advised that pursuant to Education Law §§3012-c(9) and 3012-d(15) and §§30-2.12 and 30-3.13 of the Rules of the Board of Regents, the Department reserves the right to monitor and take appropriate action with districts, including potential loss of State aid, if a district is not fully implementing their approved APPR plan in accordance with the law and regulations.

¹⁰ 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).

¹¹ Please see [Executive Director Alexander Trikalinos' July 1, 2016 memorandum](#).

¹² Please see Section M5 of the [APPR Guidance \(§3012-c and §3012-d\)](#), which can be found on EngageNY.

¹³ Please see Sections C30 and C31 of the [APPR Guidance \(§3012-c\)](#) and Sections C1 and C11 of the [APPR Guidance \(§3012-d\)](#).

¹⁴ During the 2015-16 school year, only districts operating under an approved Hardship Waiver and whose §3012-d APPR plans were not approved on or before March 1, 2016 were eligible to implement their approved §3012-c APPR plans. Please see the [Hardship Waiver FAQ](#) for additional information.

¹⁵ 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).

¹⁶ 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).

Q2: When is the information related to the 2015-16 APPR due to the Department?

A: Submission of staff evaluation data for classroom teachers and building principals for the 2015-16 school year is required to be submitted starting on August 24 to the extent practicable; however, the submission of 2015-16 full and complete data, including all required original and transition (where applicable) scores and ratings consistent with the implemented 2015-16 APPR plan are due to the Department by no later than **November 18, 2016.**^{17,18,19} Please note: Local level 1 data centers will require earlier due dates to allow sufficient time for processing.

In addition, the Statement of Confirmation of 2015-16 Staff Evaluation Rating Certification Report form is required to be signed by the LEA's certifying official by **December 2, 2016**²⁰.

Q3: Why do we need to submit this information?

A: If your school district/BOCES has a 2015-16 APPR plan approved by the Commissioner, it is expected that the district/BOCES will have taken the steps necessary to carry out the evaluations of classroom teachers and building principals in accordance with your approved APPR plan. Therefore, the Commissioner requires proof of submission of preliminary staff evaluation data for classroom teachers and building principals for the 2015-16 school year by no later than August 24, 2016, to the extent practicable, and a certification by the superintendent of schools that final, complete data including all required original and transition (where applicable) scores and ratings consistent with the implemented 2015-16 APPR plan will be submitted by November 18, 2016²¹.

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 31st 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

¹⁷ 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).

¹⁸ Please see [Executive Director Alexander Trikalinos' July 1, 2016 memorandum](#).

¹⁹ Please see Section C31 of the [APPR Guidance \(§3012-c\)](#) and C26 of the [APPR Guidance \(§3012-d\)](#).

²⁰ 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).

²¹ 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).

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.

Q4: What happens if we do not submit data?

A: 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 31st 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.

By signing the Implementation Certification form that was due to the Department by August 26, 2016, districts and BOCES assured that “all data will be submitted to the Commissioner by August 24, 2016, to the extent practicable, and no later than October 28, 2016²²” and that all data submitted to the Commissioner by October 28, 2016²³ will be a complete and accurate representation of the information requested (Please note: The original October 28, 2016 deadline has been extended to November 18, 2016 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)). See Question 10 for additional information about the specific data elements that are required to be reported.

Data Submission Questions:

Q5: How are the data submitted?

A: Districts, BOCES, and charter schools should follow typical protocol for data submission. For questions regarding loading staff evaluation data into SIRS, please contact your RIC/Big 5 City School District data center. A list of [Level 1 data center contacts](#) is posted online.

Q6: What format should be used to submit the data?

A: Some districts, BOCES, and charter schools have Professional Development or Instructional Information Systems and even HR or Financial Systems that allow users to enter Annual Professional Performance Reviews and export the data in the New York State data collection format. Other LEAs create spreadsheets in the NYS data collection format, while others manually enter the data in the Level 0 application. Follow typical protocol for data submission and/or formatting. If you have additional questions you may want to contact your Level 1 data center.

Q7: Are we required to report both teacher and principal data?

A: Yes, both teacher and principal data are required to be submitted to the Department. By signing the Implementation Certification form that was due to the Department by August 26, 2016, districts and BOCES assured that “all data will be submitted to the Commissioner by August 24, 2016, to the extent practicable, and no later than October

²² The original October 28, 2016 deadline has been extended to November 18, 2016 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).

²³ The original October 28, 2016 deadline has been extended to November 18, 2016 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).

28, 2016²⁴” and that all data submitted to the Commissioner by October 28, 2016²⁵ will be a complete and accurate representation of the information requested and includes all required original and transition (where applicable) scores and ratings consistent with the implemented 2015-16 APPR plan, **for all teachers and principals employed by the district or BOCES**, for the 2015-16 school year. **Please note: The original October 28, 2016 deadline has been extended to November 18, 2016 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).**

Q8: What educator ID should be used when submitting the data?

A: Staff Evaluation Rating records can be submitted using either the local ID (field 2) or the Alternate Staff (TEACH) ID (field 14). Either field 2 or field 14 is used, not both. The ID used (field 2 or 14) must match that defined in the Staff Snapshot table.

Q9: Do transition scores and ratings need to be submitted for all educators?

A: During the transition period (2015-16 through 2018-19), transition scores and ratings are required to be submitted in addition to original scores and ratings for all educators whose evaluation scores and ratings are determined by the use of the NYS grades 3-8 ELA/Math assessments or State-provided growth scores.

Educators whose evaluation scores and ratings are not determined by the use of the NYS grades 3-8 ELA/Math assessments or State-provided growth scores only need original staff evaluation scores and ratings.

Detailed information on the determination of transition scores and ratings can be found in the [Department's APPR Transition Guidance](#). Further information on the submission of transition scores and ratings is included on EngageNY under [Resources for Closeout of 2015-16 APPR](#).

Q10: What elements are required to be submitted to the Department for each teacher and principal in the Staff Evaluation Rating template?

A: The tables below summarize the data elements that are required to be submitted via the Staff Evaluation Rating Template, exported from your local data systems for each teacher and principal under Education Law §3012-c and Education Law §3012-d.

²⁴ The original October 28, 2016 deadline has been extended to November 18, 2016 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).

²⁵ The original October 28, 2016 deadline has been extended to November 18, 2016 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).

Please see Q11 for specifics regarding evaluation data submission for charter schools.

Education Law §3012-c

Evaluation Category under Education Law §3012-c	Description
Overall Composite Rating	<p>Reported using the following codes: OC04 = highly effective, OC03 = effective, OC02 = developing, OC01 = ineffective for original ratings.</p> <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>
Overall Composite Score	<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>
Subcomponent Scores and Ratings	<ul style="list-style-type: none"> • <u>State Growth or Other Comparable Measures subcomponent score</u> <ul style="list-style-type: none"> ○ Reported as a whole number from 0-20, using code STATE20 for original and TSTATE20 for transition. • <u>Locally Selected Measures subcomponent score</u> <ul style="list-style-type: none"> ○ Reported as a whole number from 0-20, using code LOCAL20 for original and TLOCAL20 for transition. • <u>Other Measures subcomponent score and rating</u> <ul style="list-style-type: none"> ○ 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. <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.</p>

Education Law §3012-d

Evaluation Category under Education Law §3012-d	Description
Overall Composite Rating	<p>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> <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>
Teacher Observation/Principal School Visit Category	<p>Original Required Teacher Observation/Principal School Visit subcomponent scores and ratings reported as a value of 0.00 or a number from 1.00-4.00, 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 value of 0.00 or a number from 1.00-4.00, 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>Student Performance Category</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 subcomponent weighting indicated in the approved APPR plan for 2015-16.</p>

Q11: What are charter schools required to report?

A: Charter schools that are not required to implement Education Law §3012-c or §3012-d must map their local evaluation rating categories to the State HEDI rating categories (i.e., Highly Effective, Effective, Developing, Ineffective) for State reporting purposes. Most charter schools are only required to submit a score and HEDI rating for the “overall composite” score and rating and not the subcomponent scores and ratings. Only charter schools with approved APPR plans must submit full staff evaluation data – including subcomponent scores and ratings, in addition to transition scores and ratings, as applicable.²⁶

²⁶ Please see Section M49 of [APPR Guidance \(§3012-c\)](#) and [APPR Guidance \(§3012-d\)](#).

Charter schools outside of New York City should contact their [Regional Information Center](#) for support and guidance on submitting and verifying this data. Charter schools in New York City should contact Eastern Suffolk BOCES at nyccharterdata@esboces.org for support and guidance on submitting and verifying this data.

Q12: Can the reported numerical scores contain decimals?

A: For APPRs completed pursuant to Education Law §3012-c, no. See Section M32 of [APPR Guidance \(§3012-c\)](#). Districts/BOCES must report subcomponent scores and Overall Composite scores as whole numbers (as prescribed in the Commissioner’s regulations). For ease of practice, NYSED recommends that any calculations that may result in decimals be rounded to the nearest whole number. Districts must also ensure that rounding will not result in an educator moving from one HEDI rating category to another.

For APPRs completed pursuant to Education Law §3012-d, Required and Optional Teacher Observation/Principal School Visit subcomponent scores will be a score of 0.00 or from 1.00 to 4.00 and may contain up to two decimal places (see, e.g., pages 26 and 27 of [APPR Guidance \(§3012-d\)](#)). Required and Optional Student Performance subcomponent scores may not report subcomponent scores as decimals and should be a whole number from 0 to 20.

Q13: How do I find out if our data has been submitted to the Department? I think we submitted our full and complete data set, but I would like to confirm and verify the data. How do we do so?

A: Your submitted data can be viewed in L2RPT- SIRS **325** Staff Evaluation Rating Verification Report in the Level 2 (L2RPT) Reporting System. If your data is not available in L2RPT, please follow typical protocol in regard to questions surrounding data submission, which may include contacting your Level 1 data center to determine if data has been submitted.

Please note: Staff Evaluation Rating Records can only be verified in the SIRS **325** Staff Evaluation Rating Verification Report. The report is a district-only report and, as such, only users with district-level accounts can view and verify this data if provisioned in SEDDAS. The user must be granted access to L2RPT and Staff Evaluation (or Staff Evaluation Only) for the L2RPT application in SEDDAS.

Please see Q14 for guidance regarding what to do if incorrect data are found during your review of submitted data.

Q14: What should I do if there are incorrect data in my Staff Evaluation Rating Report?

A: Prior to the deadline of November 18, 2016²⁷, districts, BOCES, and applicable charter schools should verify the data submitted to the Department Level 2 (L2RPT).

If you believe there has been an error in the data reported to the Department, please check your source data to confirm the data submitted to the Department are the correct data. If an error still exists after confirming your source data, contact your RIC/Big 5 City School District data center through your local data coordinator to confirm that the data submitted to the Department are the correct data before the November 18, 2016 deadline²⁸.

After the November 18, 2016²⁹ submission deadline, changes for staff evaluation data will be handled through the [Level 0 Historical application](#). More information about the process for submitting changes will be made available from the Office of Information Reporting Services after the initial reporting cycle is complete.

Q15: We do not have full and complete data for all of our educators. What data do we submit to the Department for those educators with incomplete subcomponent scores/ratings? Should a zero be used for an incomplete subcomponent score?

A: Full and complete data, including all required original and transition (where applicable) scores and ratings consistent with the implemented 2015-16 APPR plan are due to the Department no later than **November 18, 2016**^{30,31,32}. If for some reason, districts/BOCES have one or more educator(s) who are missing a subcomponent evaluation score, districts/BOCES should **not** report for any missing or incomplete subcomponent(s) and should **not** report a corresponding Overall Category (applicable to Education Law §3012-d) or Overall rating for those educator(s) who are missing one or more subcomponent score(s). A value of zero should only be reported for an educator's subcomponent score when the evaluation requirements for the subcomponent have been completed and the educator's performance merits a rating of zero.

²⁷ 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).

²⁸ 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).

²⁹ 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).

³⁰ 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).

³¹ Please see [Executive Director Alexander Trikalinos' July 1, 2016 memorandum](#).

³² Please see Section C31 of the [APPR Guidance \(§3012-c\)](#) and Section C27 of the [APPR Guidance \(§3012-d\)](#).

For comparison purposes and to help determine the initial and approximate completeness of reporting, the Department will utilize the total count of teachers and principals reported as part of the SIRS Staff Snapshot data collection to estimate how many educators should have evaluation data. Because IMF data includes educators who are not required to be evaluated under Education Law §3012-c or Education Law §3012-d, this data will only be used for the purpose of establishing an estimate of the number of teachers and principals with associated evaluation data.

Q16: Should an Overall Composite Score or Rating be reported for an educator who is missing a subcomponent?

A: No, districts/BOCES should **not** report an Overall Composite score or rating for an educator who is missing a subcomponent under Education Law §3012-c and should **not** report an Overall Composite rating for those educator(s) who are missing one or more subcomponent score(s) or category rating(s) under Education Law §3012-d.

Q17: If an educator is missing a subcomponent/category, should that educator be left out of the data file?

A: No, districts and BOCES must submit all complete data sets for that educator even if there is one or more subcomponent missing under Education Law §3012-c, or there is one or more subcomponent or one category missing under Education Law §3012-d (see Q15 and 16 above). However, an Overall Composite should not be submitted for an educator who is missing one or more subcomponent under Education Law §3012-c, or is missing one or more subcomponent or one category under Education Law §3012-d.

Q18. How do I report an educator who was subject to evaluation under Education Law §3012-c or Education Law §3012-d, but for whom there are no staff evaluation data (i.e. missing all subcomponents)?

A. In the rare instance whereby an educator was subject to evaluation under Education Law §3012-c or §3012-d but is missing all subcomponents, report this information within the 2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report Form located on [NYSED's Application Business Portal](#).

This reporting will require the following information:

- Educator's Teach ID
- The name of the educator
- A selection from the drop down menu indicating that there was no staff evaluation data reported for this individual

Q19: If an educator's score is the subject of an ongoing appeal that will not be resolved by November 18, 2016³³, what data should be submitted? If we have submitted and certified our data but due to an appeal an educator's score changes after November 18, 2016³⁴ and/or December 2, 2016³⁵, what action is needed?

A: The data submitted to the Department on November 18, 2016³⁶ must be complete data as of that date. The Department understands that as a result of appeals, data may still be the subject of change after November 18³⁷, 2016 and/or December 2, 2016³⁸. Changes for staff evaluation data after this date(s) will be handled through the [Level 0 Historical application](#) for LEAs with approved appeals. More information about the process for submitting changes will be made available after the initial reporting cycle is complete.

Statement of Confirmation of Staff Evaluation Rating Verification Report Questions

Q20: Where do I find the 2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report?

A: The certification form will be available through [NYSED's Application Business Portal](#), in the same location as the online APPR submission form.

Q21: How do I submit the 2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report?

A: The certification form must be submitted through [NYSED's Application Business Portal](#), in the same location as the online APPR submission form.

³³ 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).

³⁴ 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).

³⁵ 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).

³⁶ 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).

³⁷ 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).

³⁸ 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).

Q22: What information needs to be included on the 2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report?

A: The 2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report is an online form that requires districts, BOCES, and applicable charter schools to provide the following information:

- 1) A statement confirming that the Staff Evaluation Rating Verification Report(s) which were generated using the Level 2 Reporting System have been viewed, including the date on which they were viewed.
- 2) A statement confirming the accuracy of the data reported, or a statement that the accuracy of data reported cannot be confirmed; options are also provided to indicate that scores have been modified and/or that there are teachers subject to evaluation under Education Law §3012-c or Education Law §3012-d for whom staff evaluation data has not been submitted.
- 3) The name of the district, BOCES, or applicable charter school official providing the certifications.
- 4) The title of the district, BOCES, or applicable charter school official providing the certifications.

Additionally, the form includes a section enabling districts/BOCES/charter schools to submit educator information and a reason for an altered or omitted State-provided growth score, or for missing staff evaluation data in its entirety.

Q23: I see there is an option to report educators who received a modified State-provided growth score. Under what circumstances would I report these educators?

A: There may be rare instances where an educator receives a State-provided growth score that can be modified and replaced by a locally-derived growth score. As a reminder, the five reasons a State-provided growth score can be modified and replaced by a locally-derived growth score are as follows:

- 1) A principal has less than 30% of his or her students covered by the State-provided growth measures.³⁹
- 2) A teacher has less than 50% of his or her students covered by the State-provided growth measure.⁴⁰
- 3) A State-provided growth measure may have been provided for an educator who is not subject to Education Law §3012-c or §3012-d, or should not have received a score pursuant to Education Law §3012-c or §3012-d, Subparts 30-2 or 30-3 of the Rules of the Board of Regents, and/or applicable APPR Guidance.^{41,42}

³⁹ Please see Section D17 of [APPR Guidance \(§3012-c\)](#) and Section D42 of [APPR Guidance \(§3012-d\)](#).

⁴⁰ Please see Section D20 of [APPR Guidance \(§3012-c\)](#) and Section D44 of [APPR Guidance \(§3012-d\)](#).

⁴¹ Please see all of Section B of both [APPR Guidance \(§3012-c\)](#) and [APPR Guidance \(§3012-d\)](#).

- 4) Final determination of a local appeal.⁴³
- 5) Final determination of an appeal to the State.⁴⁴

Q24: Other than receipt of a modified State-provided growth score, are there other reasons I would list an educator on the 2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report?

A: Educators who fall into one or more of the following categories should also be listed on the 2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report:

- Educators for whom evaluation scores were modified subsequent to the final determination of a local appeal.⁴⁵
- Educators who were subject to evaluation under Education Law §3012-c or Education Law §3012-d, but for whom staff evaluation data were not submitted.

Q25: What needs to be reported if an educator received a modified State-provided growth score or a modification in evaluation ratings due to the final determination of a local appeal or appeal to the State?

A: Educator(s) with a modified State-provided growth score or evaluation score(s) prior to December 2, 2016⁴⁶ should be reported on the 2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report form, available through [NYSED's Application Business Portal](#), in the same location as the online APPR submission form. This form requires a district, BOCES, or applicable charter to report the educator's Teach ID and a selection from a drop down menu indicating the reason for the modification of the State-provided growth score or staff evaluation score(s).

Educator(s) with a modified State-provided growth score or evaluation score(s) after December 2, 2016⁴⁷ should be handled through the [Level 0 Historical application](#). More information about the process for submitting changes will be made available from the Office of Information Reporting Services after the initial reporting cycle is complete.

⁴² Please see generally Sections D1, D54, and D73 of [APPR Guidance \(§3012-c\)](#) and Sections D1, D2, and D13 of [APPR Guidance \(§3012-d\)](#).

⁴³ Please see Q10 of the [State-Provided Growth Score FAQ document](#).

⁴⁴ Please see the [FAQ: Challenges to a State-Provided Growth Score document](#).

⁴⁵ Please see Q10 of the [State-Provided Growth Score FAQ document](#).

⁴⁶ 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).

⁴⁷ 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).