



New York State  
EDUCATION DEPARTMENT

Knowledge > Skill > Opportunity

# New York State's Teacher and Principal Evaluation System

**Continuing Guidance on the November 18<sup>th</sup>\* Submission  
Deadline for 2015-16 Staff Evaluation Data:  
Tips to Address Common Errors**

\*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).



# Module Objectives

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- **Understand potential errors in submitting Staff Evaluation data for teachers and principals.**
- **Understand ways in which districts/BOCES can avoid similar data entry errors when submitting Staff Evaluation data to the Department before the November 18, 2016\* submission deadline.**



# Key Tools and Resources

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- [Annual Professional Performance Review Data Submission and Certification Deadlines for the 2015-16 School Year memorandum and FAQ](#)
- [APPR Data Collection and Reporting Timelines and Requirements memorandum](#)
- [Staff Evaluation Data Reporting for the 2015-16 School Year under Education Law §3012-d](#)
- [Comparison of Required Elements for Reporting Staff Evaluation Data under Education Law §3012-c and Education Law §3012-d](#)
- [Reporting Transition Scores and Ratings](#)
- [2015-16 Staff Evaluation Data Template Examples](#)
- [APPR Guidance: Education Law §3012-c](#)
- [APPR Guidance: Education Law §3012-d](#)
- [APPR Transition FAQ](#)

## Before Submitting Your Data, Please Check for the Following...

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- **Your district's/BOCES' submission includes full and complete evaluation data for all teachers and principals employed by the district/BOCES who were subject to evaluation under Education Law §3012-c or Education Law §3012-d for the 2015-16 school year.**
- **Your district/BOCES submitted data consistent with the Education Law under which the 2015-16 APPR plan was implemented.**
- **Your district/BOCES submitted both original and transition data for educators using grades 3-8 ELA/Math assessments or State-provided growth scores, and only original data for those not affected by transition.**



# Tip 1: Submit Full and Complete Data

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- Please be sure to submit data for all teachers and principals in the district/BOCES that are subject to evaluation under Education Law §3012-c or Education Law §3012-d.
  - Staff Snapshot data will be used to *estimate the completeness* of the number of educators with evaluation data.
- Please be sure to submit original and transition records for all teachers and principals in the district/BOCES that utilize grades 3-8 ELA/Math assessments or State-provided growth scores as part of their evaluation.

## Example #1a: Education Law §3012-c without Transition

Educator has all 3 subcomponents complete/accurate as per the district's/BOCES' approved APPR plan (i.e., all procedures described for growth, local, and other measures have been followed through and completed as per the district's/BOCES' approved APPR plan).

**Action = report all original subcomponents, composite, and overall rating**

	STATE 20	LOCAL 20	OTHER SCORE	OTHER CODE	OVERALL SCORE	OVERALL CODE
ORIGINAL RECORD	13	15	56	OTHER03 (E)*	84	OC03 (E)

Note: this represents illustrative data

\*District/BOCES- determined as per their approved 2015-16 APPR plan

Zeros only used if actually earned



# Example #1b: Education Law §3012-c with Transition

Educator has all 3 subcomponents complete/accurate as per the district's/BOCES' approved APPR plan and their evaluation used the grades 3-8 ELA/Math assessments or a State-provided growth score.

**Action = report all original and transition subcomponents, composite, and overall rating**

	STATE 20	LOCAL 20	OTHER SCORE	OTHER CODE	OVERALL SCORE	OVERALL CODE
ORIGINAL RECORD	13	15	56	OTHER03 (E)*	84	OC03 (E)
TRANSITION RECORD	X	15	56	TOTHER03 (E)*	89**	TOC03 (E)

Note: this represents illustrative data

\*District/BOCES- determined as per their approved 2015-16 APPR plan

\*\*Scaled up overall score based on district/BOCES-determined method

Zeros only used if actually earned



# Example #1c: Education Law §3012-d without Transition

Educator has both Required and Optional subcomponents and both Category ratings complete/accurate as per the district's/BOCES' approved APPR plan (i.e., all procedures described for student performance and teacher observation/principal school visits have been followed through and completed).

**Action = report all original subcomponents, categories, and overall rating**

	STUDENT PERFORMANCE					TEACHER OBSERVATION/PRINCIPAL SCHOOL VISIT					OVERALL CODE
	REQUIRED		OPTIONAL		CATEGORY	REQUIRED		OPTIONAL		CATEGORY	
	SCORE	CODE	SCORE	CODE	CODE	SCORE	CODE	SCORE	CODE	CODE	
ORIGINAL RECORD	13	REQ SP02 (D)	N/A	OPT SP00 (N/A)	OSPC02 (D)	3.50	REQ OB03 (E)*	3.49	OPT OB03 (E)*	OOBC 03 (E)	OCR03 (E)

Note: this represents illustrative data

\*District/BOCES- determined as per their approved 2015-16 APPR plan

Zeros only used if actually earned





## Example #1d: Education Law §3012-d with Transition

Educator has both Required and Optional subcomponents and both Category ratings complete/accurate as per the district's/BOCES' approved APPR plan and their evaluation used the grades 3-8 ELA/Math assessments or a State-provided growth score.

**Action = report all original and transition subcomponents, categories, and overall rating**

	STUDENT PERFORMANCE					TEACHER OBSERVATION/PRINCIPAL SCHOOL VISIT					OVERALL CODE
	REQUIRED		OPTIONAL		CATEGORY	REQUIRED		OPTIONAL		CATEGORY	
	SCORE	CODE	SCORE	CODE	CODE	SCORE	CODE	SCORE	CODE	CODE	
ORIGINAL RECORD	13	REQ SP02 (D)	N/A	OPT SP00 (N/A)	OSPC02 (D)	3.50	REQ OB03 (E)*	3.49	OPT OB03 (E)*	OOBC 03 (E)	OCR03 (E)
TRANSITION RECORD	XX	XX	N/A	N/A	XX	3.50	TREQ OB03 (E)*	3.49	TOPT OB03 (E)*	TOOBC 03 (E)	TOCR03 (E)

Note: this represents illustrative data  
 \*District/BOCES- determined as per their approved 2015-16 APPR plan  
 Zeros only used if actually earned

## Example #2a: Education Law §3012-c with Transition

Educator is missing 1 or 2 subcomponents (e.g., educator was out on maternity leave and did not have required number of observations).

**Action = report only the original and transition subcomponents that are complete/accurate, but do not report an overall composite**

	STATE 20	LOCAL 20	OTHER SCORE	OTHER CODE	OVERALL SCORE	OVERALL CODE
ORIGINAL RECORD	13	15	XX	XX	XX	XX
TRANSITION RECORD	XX	15	XX	XX	XX	XX

Note: this represents illustrative data  
Zeros only used if actually earned



## Example #2b: Education Law §3012-d with Transition

Educator is missing 1 or 2 subcomponents (e.g., educator was out on maternity leave and did not have required number of observations).

**Action = report only the original and transition subcomponents/categories that are complete/accurate, but do not report an overall composite**

	STUDENT PERFORMANCE					TEACHER OBSERVATION/PRINCIPAL SCHOOL VISIT					OVERALL CODE
	REQUIRED		OPTIONAL		CATEGORY	REQUIRED		OPTIONAL		CATEGORY	
	SCORE	CODE	SCORE	CODE	CODE	SCORE	CODE	SCORE	CODE	CODE	
ORIGINAL RECORD	13	REQ SP02 (D)	N/A	OPT SP00 (N/A)	OSPC02 (D)	XX	XX	XX	XX	XX	XX
TRANSITION RECORD	XX	XX	N/A	N/A	XX	XX	XX	XX	XX	XX	XX

Note: this represents illustrative data

\*District/BOCES- determined as per their approved 2015-16 APPR plan

Zeros only used if actually earned



## Example #3

Educator was subject to evaluation under Education Law §3012-c, but does not have any subcomponent scores to be reported (e.g., SLOs were not implemented, local assessments were not administered, and only one observation was conducted).

-OR-

Educator was subject to evaluation under Education Law §3012-d, but does not have any subcomponent scores and ratings or category ratings to be reported (e.g., SLOs were not implemented, supplemental assessments were not administered, and only one observation was conducted).

**Action = district/BOCES must report Teach ID and indicate reason (A), “Required under law to be evaluated, but Staff Evaluation Data not submitted” on the “2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report form.” (see [FAQ Q18](#))**



## Example #4

Educator has complete evaluation data to be reported but the State-provided growth score was modified (e.g., a teacher's score represented less than 50% of the students they were responsible for and was therefore used in a calculation with SLOs, or a State-provided growth measure was provided for an educator who 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, or an appeal finalized prior to November 18, 2016\* has resulted in a changed State-provided growth score).

**Action = district/BOCES reports relevant staff evaluation data reflecting this modification in the SIRS template AND indicates this person on the “2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report form.” (See [FAQ Q23-25](#))**



\*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).

## Example #5

**Educator has complete staff evaluation data available to report; however, they are involved in an appeals process that has not been finalized as of November 18.**

**Action = district/BOCES reports all relevant staff evaluation data as they stand on November 18\*. If a change to one or more of these data are made after November 18\* and/or December 2\*\*, the district/BOCES will correct through the Level 0 Historical processes. (See [FAQ Q19](#))**

\*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 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).



# Tip 1 Recap: Full and Complete Data

- The submission of 2015-16 full and complete data, including original and transition scores and ratings, as applicable, is due to the Department by no later than **November 18, 2016\*** ([FAQ Q2](#); [APPR 3012-c Guidance C31](#); [APPR 3012-d Guidance C27](#))
- The data elements that are required for Education Law §3012-c include: **Subcomponent Scores (State Growth, Local, and Other Measures), Other Measures Rating Category, Overall Composite Score and Rating Category** ([FAQ Q10](#))
- The data elements that are required for Education Law §3012-d include: **Subcomponent Scores and Ratings (Required/Optional Student Performance and Teacher Observation/Principal School Visits), Category Ratings (Student Performance and Teacher Observation/ Principal School Visits), Overall Rating Category** ([FAQ Q10](#))

\*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).

## **Tip 2: Other Measures (§3012-c) / Teacher Observation/ Principal School Visit (§3012-d) Subcomponent Score and Rating Match**

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- Under Education Law §3012-c, the district/BOCES defined the scoring ranges used to convert the rubric score to an Other Measures score from 0 to 60 and a corresponding HEDI rating for teachers and principals in their approved APPR plan.
- Under Education Law §3012-d, the district/BOCES must define the scoring ranges used to convert the rubric score to a corresponding HEDI rating for teacher observations and principal school visits in their approved APPR plan.
- The Other Measures score and rating submitted under Education Law §3012-c or the Teacher Observation/  
Principal School Visit rubric score and rating submitted under Education Law §3012-d must be consistent with the ranges in the approved APPR plan for the 2015-16 school year.



## Example #6a: Education Law §3012-c

- The Other Measures score should correspond to the correct Other Measures rating category, per the bands included in the approved 2015-16 APPR plan.
  - OTHER04 = Highly Effective
  - OTHER03 = Effective
  - OTHER02 = Developing
  - OTHER01 = Ineffective

([FAQ](#) Q10)

Provide the ranges for the 60-point scoring bands.	
Highly Effective	59 - 60
Effective	57 - 58
Developing	50 - 56
Ineffective	0 - 49

The Other Measures score and Other Measures code should match.

Other Score	Other Code	Other Description
58	OC03	Other (1 to 59) – Effective
58	OC04	Other (1 to 60) – Highly Effective



## Example #6b: Education Law §3012-d

- The Required and Optional, as applicable, Teacher Observation/Principal School Visit score should correspond to the correct Teacher Observation/Principal School Visit rating category, per the bands included in the approved 2015-16 APPR plan. ([FAQ Q10](#))
  - REQOB/OPTOB04 = Highly Effective
  - REQOB/OPTOB03 = Effective
  - REQOB/OPTOB02 = Developing
  - REQOB/OPTOB01 = Ineffective

### HEDI Ranges

Using the dropdown menus below, please indicate the locally-determined rubric scoring ranges based on the constraints prescribed by the Commissioner in Subpart 30-3 of the Rules of the Board of Regents for each of the rating categories.

	Minimum Rubric Score	Maximum Rubric Score
Highly Effective:	3.50	4.00
Effective:	2.50	3.49
Developing:	1.50	2.49
Ineffective	0.00	1.49

The teacher observation/principal school visit score and code should match.

TO/PSV Score	TO/PSV Code	Teacher Observation/Principal School Visit Description
3.42	REQOB03	Required teacher observation/principal school visit subcomponent (2.50-3.74) – Effective
3.42	REQOB04	Required teacher observation/principal school visit subcomponent (3.50-4.00) – Highly Effective



# Tip 2 Recap: Before Submitting Your Data, Please Check for the Following...

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*Education Law §3012-c: The Other Measures subcomponent score submitted by your district/BOCES for each educator matches the Other Measures subcomponent rating reported for that educator, per the bands indicated in the approved 2015-16 APPR plan.*

*Education Law §3012-d: The Teacher Observation/Principal School Visit subcomponent score(s) submitted by your district/BOCES for each educator match the Teacher Observation/Principal School Visit subcomponent rating(s) reported for that educator, per the bands indicated in the approved 2015-16 APPR plan.*

## Tip 3: A Zero Represents an Earned Score

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- A value of zero should only be reported for an educator's score when the evaluation requirements have been completed and the educator's performance merits a rating of zero. ([FAQ Q15](#))
- If an educator is missing one or more subcomponents, the corresponding cell should be left blank and the Overall Composite should be left blank. ([FAQ Q15-17](#))
- If an educator is missing all subcomponents, that educator should **ONLY** be reported within the 2015-16 Statement of Confirmation of Staff Evaluation Rating Verification Report form, located in NYSED's Business Portal (SED Monitoring). ([FAQ Q18](#))

## Example #7a: Education Law §3012-c

Be sure a blank indicates an unrated subcomponent; if a zero was earned, it should be reported.

State Score	Local Score	Other Score	Other Code	Overall Score	Overall Code
19	0	60	OTHER04	79	OC03

Be sure an educator has earned zero if one is reported; if they do not have a score for a subcomponent, it should be left blank.

State Score	Local Score	Other Score	Other Code	Overall Score	Overall Code
19	20			39	OC01

If this educator did not receive an other measures score, an overall score and rating should not be reported.



## Example #7b: Education Law §3012-d

Be sure a blank indicates an unrated subcomponent; if a zero was earned, it should be reported.

	STUDENT PERFORMANCE					TEACHER OBSERVATION/PRINCIPAL SCHOOL VISIT					OVERALL CODE
	REQUIRED		OPTIONAL		CATEGORY	REQUIRED		OPTIONAL		CATEGORY	
	SCORE	CODE	SCORE	CODE	CODE	SCORE	CODE	SCORE	CODE	CODE	
ORIGINAL RECORD	0	REQ SP01 (I)	N/A	OPT SP00 (N/A)	OSPC01 (I)	3.50	REQ OB03 (E)*	3.49	OPT OB03 (E)*	OOBC 03 (E)	OCR03 (E)

Be sure an educator has earned zero if one is reported; if they do not have a score for a subcomponent, it should be left blank.

	STUDENT PERFORMANCE					TEACHER OBSERVATION/PRINCIPAL SCHOOL VISIT					OVERALL CODE
	REQUIRED		OPTIONAL		CATEGORY	REQUIRED		OPTIONAL		CATEGORY	
	SCORE	CODE	SCORE	CODE	CODE	SCORE	CODE	SCORE	CODE	CODE	
ORIGINAL RECORD	13	REQ SP02 (D)	N/A	OPT SP00 (N/A)	OSPC02 (D)			N/A	OPT OB00 (N/A)		OCR03 (E)

If this principal did not receive a Required Principal School Visit subcomponent score and rating, an Overall rating should not be reported (in this example, a Principal School Visit Category rating should also not be reported).



## Tip 3 Recap: A Score of Zero

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*A zero represents an earned score.*

*Under Education Law §3012-c, if an educator is missing one or more subcomponents, the corresponding score should be left blank and the Overall score and rating should also be left blank.*

*([FAQ](#) Q15-17)*

*Under Education Law §3012-d, if an educator is missing one or more subcomponents, the corresponding score and rating should be left blank and the Overall rating should be left blank.*

*Additionally if the counterpart subcomponent is not used, the corresponding category rating should also be left blank. ([FAQ](#) Q15-17)*

## Tip 4: Overall Composite Score/Rating

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- The evaluation data submitted by your district/BOCES should contain an Overall Composite only for educators who have a score/rating for all applicable subcomponents.
- If, for some reason, districts/BOCES have one or more educator(s) who are missing a subcomponent score, then districts/BOCES should not report an overall composite score or rating for those educator(s).
  - Additionally, under Education Law §3012-d if the Required subcomponent is missing and the Optional subcomponent is missing or not used, the corresponding category rating should not be reported. ([FAQ](#) Q15 and Q16)



## Tip 4: Overall Score/Rating (continued)

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- **An overall score and rating should be reported when:**
  - Under Education Law §3012-c, all three subcomponents are scored.
  - Under Education Law §3012-d, both required subcomponents are scored, any applicable optional subcomponents are scored, and both categories are rated.
- **Education Law §3012-c only (under Education Law §3012-d, only an Overall rating is determined):**
  - If an educator has earned zero in each subcomponent, the Overall score should not be more than zero.
  - The sum of the subcomponents should match the reported overall score.
- **Education Law §3012-d only:**
  - The Overall rating should be based on the combination of the Student Performance and Teacher Observation/Principal School Visit category ratings, per the matrix defined in Education Law §3012-d(5)

# Tip 5: Transition Scores and Ratings

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- During the transition period (2015-16 through 2018-19), transition scores and ratings are required 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](#).

# Transition Scores and Ratings: Education Law §3012-c

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## State Growth or Other Comparable Measures subcomponent

- Do not submit subcomponent if a State-provided growth score, or if based on grades 3-8 ELA or math assessments or a building State-provided growth score.
- Submit subcomponent if an SLO not based on grades 3-8 ELA or math assessments or a building State-provided growth score.

## Locally Selected Measures subcomponent

- Do not submit subcomponent if based on grades 3-8 ELA or math assessments or a building State-provided growth score.
- Submit subcomponent if not based on grades 3-8 ELA or math assessments or a building State-provided growth score.
- The submitted score may be a scaled up score based on locally determined measure if the district decides to scale up remaining subcomponents instead of the Overall Composite.



# Transition Scores and Ratings: Education Law §3012-c (continued)

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## Other Measures subcomponent

- If one or both student performance subcomponents are eliminated, may be a scaled up score based on rubric if the district decides to scale up the remaining subcomponents instead of the Overall Composite.

## Overall Composite

- 0-100 score and rating based on the combination of all existing transition subcomponent scores, or scaled up Overall Composite Score if one or both student performance subcomponents are eliminated.

For detailed submission examples, please see the [2015-16 Staff Evaluation Data Template Examples](#) document found on the [Resources for Closeout of 2015-16 APPR](#) page on [EngageNY](#).



# Transition Scores and Ratings: Education Law §3012-d

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## Required Student Performance subcomponent

- Do not submit subcomponent if a State-provided growth score, or if based on grades 3-8 ELA or math assessments or State-provided growth score.
- Submit subcomponent if an SLO not based on grades 3-8 ELA or math assessments or State-provided growth score.

## Optional Student Performance subcomponent

- Do not submit subcomponent if based on grades 3-8 ELA or math assessments or State-provided growth score.
- Submit subcomponent if not based on grades 3-8 ELA or math assessments or State-provided growth score.
- The submitted score may be a scaled up score based on locally determined measure if the district decides to scale up the remaining subcomponents instead of the Overall Composite.

## Student Performance category

- Determine rating based on remaining Student Performance subcomponent(s).
- Do not submit if there are no remaining Student Performance subcomponents.



# Transition Scores and Ratings: Education Law §3012-d (continued)

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## Required and Optional Teacher Observation/Principal School Visit subcomponents

- Submit the same Teacher Observation/Principal School Visit subcomponent(s) for original and transition.

## Overall Composite rating

- If both Student Performance and Teacher Observation/Principal School Visit category ratings exist, use the matrix defined in Education Law §3012-d(5) to determine the Overall rating.
- If only the Teacher Observation/Principal School Visit category exists due to transition, this remaining category rating should be used for the Overall rating.

For detailed submission examples, please see the [2015-16 Staff Evaluation Data Template Examples](#) document found on the [Resources for Closeout of 2015-16 APPR](#) page on [EngageNY](#).



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**Our goal is to help each district and BOCES submit a full and complete data set.**

**If you have questions about technical data reporting requirements, please contact your Regional Information Center (RIC) or Big 5 City School District data center.**