



New York State
EDUCATION DEPARTMENT

Knowledge > Skill > Opportunity

New York State's Teacher and Principal Evaluation System

Continuing Guidance on the October 27th Submission
Deadline for 2016-17 Staff Evaluation Data:
Tips to Address Common Errors

2016-17 Staff Evaluation Data Collection

- The submission of full and complete 2016-17 data, including Original and Transition (as applicable) scores and ratings is due to the Department by **October 27, 2017** ([FAQ Q2](#); [APPR 3012-d Guidance C27](#))
- The required Original and Transition (as applicable) staff evaluation data elements 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 ([FAQ Q10](#))
- The “2016-17 Statement of Confirmation of Staff Evaluation Rating Verification Report” form is due to the Department by **November 3, 2017**

Module Objectives

- 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 October 27, 2017 submission deadline.

Key Tools and Resources

- [Annual Professional Performance Review Data Submission and Certification Deadlines for the 2016-17 School Year memorandum and FAQ](#)
- [APPR Data Collection and Reporting Timelines and Requirements memorandum](#)
- [Staff Evaluation Data Reporting for the 2016-17 School Year under Education Law §3012-d](#)
- [Reporting Transition Scores and Ratings](#)
- [2016-17 Staff Evaluation Data Template Examples](#)
- [APPR Guidance: Education Law §3012-d](#)
- [APPR Transition FAQ](#)

Tip 1: Incomplete Subcomponent(s)

- **If an educator is missing one or more subcomponents** (*e.g., educator was out on maternity leave and did not have required number of observations or the SLO could not be calculated*):
 - **Do not submit scores and ratings for the missing subcomponent(s);**
 - **Do not submit the corresponding category rating(s);**
 - **Do not submit an Overall rating**

([FAQ Q7, Q9-12](#); [APPR 3012-d Guidance M51](#))

Example #1a: Missing Subcomponents

(Original scores and ratings only)

Educator is missing 1 or 2 subcomponents and the evaluation does not include NYS grades 3-8 ELA/math assessments or State-provided growth scores.

Action: report only the original subcomponents/ categories that are complete, and do not report an incomplete category rating or an overall rating

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

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

Example #1b: Missing Subcomponents

(Original and Transition scores and ratings)

Educator is missing 1 or 2 subcomponents and the evaluation includes NYS grades 3-8 ELA/math assessments or State-provided growth.

Action: report only the original and transition subcomponents/categories that are complete, but do not report an incomplete category rating or overall ratings

	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	
ORIG. RECORD	13	REQ SP02 (D)	N/A	OPT SP00 (N/A)	OSPC02 (D)	XX	XX	XX	XX	XX	XX
TRANS. RECORD	14	TREQ SP02 (D)	N/A	N/A	TOSPC02 (D)	XX	XX	XX	XX	XX	XX

Note: this represents illustrative data
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Tip 2: Optional Subcomponent(s)

- A complete evaluation record for an educator includes both Required and **both Optional subcomponents**, in addition to both categories and an Overall rating.
- If an Optional subcomponent is not used per the approved APPR plan, **submit the placeholder code** – OPTSP00 or OPTOB00 – without a score.
 - There are no Optional placeholder codes for Transition, the Original Optional placeholders signal the Optional subcomponent was not used.
- Do not submit an educator without an Optional subcomponent unless the Optional subcomponent was included in the approved APPR plan, but was not able to be calculated.

Example #2: Optional Subcomponent Not Included in the Approved APPR Plan

The Optional Student Performance subcomponent is not used per the district's/BOCES' approved APPR plan and the evaluation includes State-provided growth.

Action: report all complete Original and Transition subcomponents, categories, and overall ratings, in addition to the Original placeholder code for the Optional Student Performance subcomponent.

	STUDENT PERFORMANCE					TEACHER OBSERVATION/PRINCIPAL SCHOOL VISIT					OVERALL CODE
	REQUIRED		OPTIONAL		CATEGORY CODE	REQUIRED		OPTIONAL		CATEGORY CODE	
	SCORE	CODE	SCORE	CODE		SCORE	CODE	SCORE	CODE		
ORIG. RECORD	18	REQ SP04 (H)	N/A	OPT SP00 (N/A)	OSPC04 (H)	3.48	REQ OB03 (E)*	3.52	OPT OB04 (H)*	OOBC03 (E)	OCR04 (H)
TRANS. RECORD	17	TREQ SP03 (E)	N/A	N/A	TOSPC03 (E)	3.48	TREQ OB03 (E)*	3.52	TOPT OB04 (H)*	TOOBC03 (E)	TOCR03 (E)

Note: this represents illustrative data
 *District/BOCES- determined as per their approved 2016-17 APPR plan
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Tip 3: Teacher Observation/Principal School Visit Subcomponents

- 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 Teacher Observation/ Principal School Visit rubric score and rating submitted must be consistent with the ranges in the approved APPR plan for the 2016-17 school year.

Example #3: Teacher Observation/Principal School Visit Scores and Ratings

- The Required and Optional, as applicable, Teacher Observation/Principal School Visit subcomponent scores should correspond to the correct Teacher Observation/Principal School Visit HEDI rating, per the bands included in Tasks 4 and 9 of the approved 2016-17 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 (2.50-3.49) – Effective
3.42	REQOB04	Required teacher observation/principal school visit subcomponent (3.50-4.00) – Highly Effective

Tip 4: Category Rating(s)

- If both subcomponents in a category are complete for an educator, be sure to submit a corresponding category rating.
 - Complete subcomponents include either:
 - a Required and Optional score and rating;
 - or a Required score and rating and an Optional placeholder code (OPTSP00 or OPTOB00).
- An educator should only be missing a category rating if one or more of the corresponding subcomponents is not complete.
- If an Optional subcomponent is not used, the category rating should be the same as the Required subcomponent rating.

([FAQ](#) Q7, Q9-10; [APPR 3012-d Guidance](#) D99, H18-20)

Tip 4: Category Rating(s) (continued)

- Under Education Law §3012-d, in their approved APPR plan, the district/BOCES must define the weighting of:
 - the Required and Optional Student Performance subcomponents;
 - Observation/School Visit types (principal/supervisor and independent evaluator) within the Required Teacher Observation/Principal School Visit subcomponent; and
 - the Required (principal/supervisor and independent evaluator) and Optional (peer)Teacher Observation/Principal School Visit subcomponents.
- Category ratings should be calculated according to these weights.

([FAQ](#) Q7, Q9-10; [APPR 3012-d Guidance](#) D99, H18-20)

Example #4: Category Ratings

The Optional Student Performance subcomponent is not used per the district's/BOCES' approved APPR plan, observations are weighted as 90% principal, 10% independent evaluator (Required subcomponent); and 10% peer (Optional subcomponent).

Action: report a Student Performance category rating equal to the Required subcomponent rating, and a Teacher Observation category rating consistent with the weights identified.

	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	
ORIG. RECORD	18	REQ SP04 (H)	N/A	OPT SP00 (N/A)	OSPC04 (H)	3.60	REQ OB04 (H)*	3.20	OPT OB03 (E)*	OOBC04 (H)	OCR04 (H)

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Tip 5: Overall Rating

- If all subcomponents and both categories are complete for an educator, be sure to submit an Overall rating.
- An educator should only be missing an Overall rating if there are one or more incomplete subcomponent(s) and category(ies).
- 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).

([FAQ](#) Q7, Q9-10; [APPR 3012-d Guidance](#) D99, H18-20)

Example #5a: Overall Rating

(Complete Evaluation Record)

All subcomponents and categories are complete, and the evaluation does not include NYS grades 3-8 ELA/math assessments or State-provided growth scores.

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	
ORIG. RECORD	17	REQ SP03 (E)	N/A	OPT SP00 (N/A)	OSPC03 (E)	3.48	REQ OB03 (E)*	3.52	OPT OB04 (H)*	OOBC03 (E)	OCR03 (E)

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 Zeros only used if actually earned

Example #5b: Overall Rating (Missing Subcomponent)

The Required Teacher Observation/Principal School Visit subcomponent was not able to be determined and the evaluation includes the NYS grades 3-8 ELA/math assessments.

Action: report only complete Original and Transition subcomponents and categories, and do not report incomplete categories or overall ratings.

	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	
ORIG. RECORD	17	REQ SP03 (E)	N/A	OPT SP00 (N/A)	OSPC03 (E)	XX	XX	3.52	OPT OB04 (H)**	XX	XX
TRANS. RECORD	16	TREQ SP03 (E)	N/A	N/A	TOSPC03 (E)	XX	XX	3.52	TOPT OB04 (H)*	XX	XX

Note: this represents illustrative data
*District/BOCES- determined as per their approved 2016-17 APPR plan
Zeros only used if actually earned

Tip 6: A Zero Represents an Earned Score

- A value of zero should only be reported for an educator's score when the evaluation requirements have been completed and the educator's earned score is a zero. ([FAQ Q15](#))
- If an educator is missing one or more subcomponents, such subcomponent(s) should not be submitted, the corresponding category rating and the Overall rating should also not be submitted. ([FAQ Q15-17](#))

Example #6: A Score of Zero

A zero should only be reported if it was earned.

	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)*	N/A	OPT OB00	OOBC03 (E)	OCR03 (E)

If a subcomponent was not determined, it should not be submitted. The corresponding category rating and Overall rating should also not be submitted.

	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	3.49	OPT OB03 (E)*	XX	XX

Note: these represent illustrative data
 *District/BOCES- determined as per their approved 2016-17 APPR plan
 Zeros only used if actually earned

Tip 7: Transition Scores and Ratings

- 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.
- An educator whose evaluation is not based on NYS grades 3-8 ELA/Math assessments or State-provided growth scores should only have Original staff evaluation scores and ratings.
- ALL educators should have Original scores and ratings; only those affected by transition, as defined above, should have Transition scores and ratings.

Tip 7: Transition Scores and Ratings

(continued)

- A Transition record should not be submitted without an Original record.
- An educator's Transition record should not contain a subcomponent score and rating or a category rating that is not included in the Original record.*
- The Original and Transition Teacher Observation/Principal School Visit subcomponent scores and ratings and category rating should be the same.
- A Transition Overall rating should not be submitted if an Original Overall rating was not submitted.*

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 2016-17 APPR](#).

**Only if an educator was supposed to receive a State-provided growth score, but did not should there be a Transition Required Student Performance subcomponent score and rating and a Transition Overall rating where there is no Original Required Student Performance subcomponent score and rating and Original Overall rating.*

Example #7a: Original Scores and Ratings Only

Educator's evaluation is not based on the NYS 3-8 ELA/math assessments or State-provided growth scores and all subcomponents are complete per the approved 2016-17 APPR plan.

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)*	OOBC03 (E)	OCR03 (E)

Note: this represents illustrative data

*District/BOCES- determined as per their approved 2016-17 APPR plan

Zeros only used if actually earned

Example #7b: Original and Transition Scores and Ratings

Educator received a State-provided growth score, therefore the **Transition** Required Student Performance subcomponent was calculated using an Alternate SLO*, and all subcomponents are complete per the approved 2016-17 APPR plan.

Action: report all Original and Transition subcomponents, categories, and Overall ratings.

	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	
ORIG. 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)
TRANS. RECORD	14	TREQ SP02 (D)	N/A	N/A	TOSPC02 (D)	3.50	TREQ OB03 (E)**	3.49	TOPT OB03 (E)**	TOOBC 03 (E)	TOCR03 (E)

Note: this represents illustrative data

Zeros only used if actually earned

*The Alternate SLO is included in Task 2/7 Transition of the approved APPR plan or in the approved Supplemental Form for Alternate SLOs.

**District/BOCES- determined as per their approved 2016-17 APPR plan

Tip 8: Submit Full and Complete Data

- Please be sure to submit data for all teachers and principals in the district/BOCES that are subject to evaluation under Education Law §3012-d.
 - Staff Snapshot data will be used to *estimate the completeness* of the number of educators with evaluation data.
 - Staff Snapshot data will also be used to identify principals in staff evaluation data; educators identified as principals in Staff Snapshot that match on Staff ID with the staff evaluation file will be coded as principals.
([FAQ Q7-8, Q15](#); [APPR 3012-d Guidance M46-47](#))

Example #8a: Educator with No Evaluation Data

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 “2016-17 Statement of Confirmation of Staff Evaluation Rating Verification Report” form. (see FAQ Q18).

Example #8b: Modified State-Provided Growth Score

Educator has complete evaluation data to be reported but the State-provided growth score was modified (e.g., a teacher's SPG 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-d, Subpart 30-3 of the Rules of the Board of Regents, and/or applicable APPR Guidance; or an appeal finalized prior to October 27, 2017 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 “2016-17 Statement of Confirmation of Staff Evaluation Rating Verification Report” form. (See [FAQ Q23-25](#))

Example #8c: Appeal in Process

Educator has complete staff evaluation data available to report; however, they are involved in an appeals process that has not been finalized as of October 27.

Action: district/BOCES reports all relevant staff evaluation data as they stand on October 27. If a change to one or more of these data are made after October 27 and/or November 3, the district/BOCES will correct through the Level 0 Historical processes. (See [FAQ Q19](#))

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

- **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-d for the 2016-17 school year.**
- **Your district/BOCES submitted both Original and Transition data for educators using NYS grades 3-8 ELA/Math assessments or State-provided growth scores, and only Original data for those not affected by transition.**

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.