



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

From: Julia Rafal-Baer, Executive Director, Office of Teacher and Leader Effectiveness, Policy and Programs

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Subject: Annual Professional Performance Review Data Submission and Certification Deadlines for the 2012-13 School Year

Date: September 27, 2013

This memorandum provides continuing information regarding several APPR data collection and reporting deadlines. This memo supports the information shared in the July 8, 2013 memo found on the Department's web site at: <http://usny.nysed.gov/rtt/teachers-leaders/docs/appr-timeline-memo-july-2013.pdf>. Please note that submission deadlines have not changed.

As a reminder, when districts, BOCES, and applicable charters submitted their APPR Certification form, they assured that "all data will be submitted to the Commissioner by August 27, 2013 to the extent practicable and no later than October 18, 2013" and that "all data submitted to the Commissioner by October 18, 2013 will be a complete and accurate representation of the information requested and includes the Student Growth on State Assessments or Other Comparable Measures subcomponent, the Locally-selected Measures subcomponent, the Other Measures of Effectiveness subcomponent, the overall composite score, and rating categories, for all teachers and principals employed by the district or BOCES, for the 2012-2013 school year." **Therefore, in order to be eligible for an increase in State Aid for 2013-14, all districts must report their evaluation subcomponent and composite ratings and scores by October 18, 2013.** Please note: Local level 1 data centers will require earlier due dates to allow sufficient time for processing.

Date	Event	Description/Information
October 18, 2013	Final submission of 2012-13 evaluation composite ratings, composite scores, and subcomponent scores.	LEAs will report 2012-13 evaluation composite ratings and subcomponent scores to the SIRS. All final and complete data, including scores for the Student Growth on State Assessments or Other Comparable Measures subcomponent, the Locally Selected Measures subcomponent, the

		Other Comparable Measures of Effectiveness subcomponent and the overall composite score for all applicable teachers and principals must be submitted to the Department by this date.
October 25, 2013	Statement of Confirmation of 2012-13 Staff Evaluation Rating Certification Report(s) due.	<p>This form is required to be signed by the LEA's certifying official who verifies that the data provided for review in the Staff Evaluation Rating Verification Report(s) generated by L2RPT are complete and accurate.</p> <p>The Certification Form will be accessible to districts via the IRS Portal (IRSP) beginning the week of September 30th.</p>

Reporting Requirements

All public school districts, BOCES, and applicable charters are required to submit 2012-13 school year data to the Student Information Repository System (SIRS) that includes staff evaluation ratings used for APPR. Please share this information with personnel in your organization who have responsibility for data collection and reporting.

The table below summarizes 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.

Evaluation Category	Description
Overall Evaluation Rating Category	<p>Reported as a number, using the following codes: OC04 = highly effective, OC03 = effective, OC02 = developing, OC01 = ineffective.</p> <p>Code reported here must match the Total Composite Effectiveness Score reported.</p>
Total Composite Effectiveness 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.</p> <p>Score reported here must match code reported for Overall Evaluation Rating Category.</p>
Subcomponent Scores	<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 • <u>Locally-selected measures subcomponent</u> <ul style="list-style-type: none"> ○ Reported as a whole number from 0-20, using code LOCAL20

	<ul style="list-style-type: none">• <u>Other measures subcomponent</u><ul style="list-style-type: none">○ Reported as a whole number from 0-60, using the following codes: OTHER 04= highly effective, OTHER 03= effective, OTHER 02= developing, and OTHER 01= ineffective
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A frequently asked questions document has been created surrounding common questions about the data submission and the Statement of Confirmation of 2012-13 Staff Evaluation Rating Certification Report. This frequently asked questions document is attached to this memo for your reference. Please share this memo and the attached document with any personnel within your district/BOCES who may need guidance surrounding data submission and certification.

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

Frequently Asked Questions

General Questions

Q1: I submitted my APPR Certification Form and I have an approved APPR plan for 2013-14. What further information is required to be submitted to the Department in order for my district to demonstrate full implementation of its APPR and be eligible for an increase in State Aid for 2013-14?

A: LEA's must report 2012-13 evaluation composite ratings and subcomponent scores to the New York State Education Department's Student Information Repository System (SIRS). All final and complete data, including scores for the Student Growth on State Assessments or Other Comparable Measures subcomponent, the Locally-selected Measures subcomponent, the Other Measures of Effectiveness subcomponent, the overall composite score, and rating categories for all applicable teachers and principals must be submitted to the Department by October 18, 2013.^{1, 2, 3}

In addition, the "Statement of Confirmation of 2012-13 Staff Evaluation Rating Certification Report" is required to be signed by the LEA's certifying official who verifies the data submitted to the Department by October 25, 2013. By signing the Implementation Certification form that was due to the Department on August 30, 2013, LEA's assured that all data will be submitted to the Commissioner starting on August 27, 2013 to the extent practicable and that "all data submitted to the Commissioner by October 18, 2013 will be a complete and accurate representation of the information requested and includes the Student Growth on State Assessments or Other Comparable Measures subcomponent, the Locally-selected Measures subcomponent, the Other Measures of Effectiveness subcomponent, the overall composite score, and rating categories, for all teachers and principals employed by the district or BOCES, for the 2012-2013 school year."

However, please be advised that pursuant to Education Law section 3012-c(9) and section 30-2.12 of Commissioner's regulations, the Department reserves the right to monitor and take appropriate action with districts, including potential loss of State Aid, if a district is in not fully implementing their approved APPR plan in accordance with the law and regulations.

Q2: When is the information due to the Department?

A: Submission of data on subcomponent and composite ratings of classroom teachers and building principals for the 2012-13 school year was required to be submitted

¹ Please see *Dr. Julia Rafal-Baer's July 8, 2013 letter* which can be found on the NYSED website at <http://usny.nysed.gov/rttt/teachers-leaders/docs/appr-timeline-memo-july-2013.pdf>

² Please see *Section M5 of the APPR Guidance* which can be found on EngageNY at <http://www.engageny.org/sites/default/files/resource/attachments/appr-field-guidance.pdf>

³ Please see *Section C30 and C31 of the APPR Guidance* which can be found on EngageNY at <http://www.engageny.org/sites/default/files/resource/attachments/appr-field-guidance.pdf>

starting on August 27 to the extent practicable; however, the submission of 2012-13 full and complete data, including composite scores, subcomponent scores, and applicable evaluation rating categories are due to the Department by no later than **October 18, 2013**.^{4, 5} 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 2012-2013 Staff Evaluation Rating Certification Report form is required to be signed by the LEA's certifying official by **October 25, 2013**.

Q3: Why do we need to submit this information?

A: If your school district has a 2012-13 APPR plan approved by the Commissioner, it is expected that the district 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 required proof of submission of preliminary data on subcomponent and composite ratings of classroom teachers and building principals for the 2012-13 school year by no later than August 27 to the extent practicable, and a certification by the superintendent of schools that final, complete data on such subcomponent and composite ratings will be submitted by October 18, 2013.

In addition, section 1 of Part A of Chapter 57 of the Laws of 2013 (and corresponding appropriation language in Chapter 53 of the Laws of 2013) makes the Commissioner's approval by September 1 of each year of documentation that a school district has fully implemented the standards and procedures for conducting APPRs in accordance with Education Law section 3012-c and Subpart 30-2 of the Rules of the board of Regents a condition of eligibility for any increases in State Aid from the General Support for Public Schools appropriation over the amount apportioned in the prior school year.^{6, 7}

Q4: What happens if we do not submit data?

A: Expanding on what was done in Chapter 57 of the Laws of 2012 using a January 17, 2013 deadline, section 1 of Part A of Chapter 57 of the Laws of 2013 (and corresponding appropriation language in Chapter 53 of the Laws of 2013) makes the Commissioner's approval by September 1 of each year of documentation that a school district has fully implemented the standards and procedures for conducting APPRs in accordance with Education Law §3012-c and Subpart 30-2 of the Rules of the Board of Regents a condition of eligibility for any increases in State Aid from the General Support for Public Schools appropriation over the amount apportioned in the prior school year.

⁴ Please see *Dr. Julia Rafal-Baer's July 8, 2013 letter* which can be found on the NYSED website at <http://usny.nysed.gov/rttt/teachers-leaders/docs/appr-timeline-memo-july-2013.pdf>

⁵ Please see *Section C31 of the APPR Guidance* which can be found on EngageNY at <http://www.engageny.org/sites/default/files/resource/attachments/appr-field-guidance.pdf>

⁶ Please see *Sections C30 and C31 of APPR Guidance for additional information* which can be found on EngageNY at <http://www.engageny.org/sites/default/files/resource/attachments/appr-field-guidance.pdf>

⁷ Please see the *Implementation Certification Form* which can be found at <http://usny.nysed.gov/rttt/teachers-leaders/appr-implementation-certification.html>

By signing the Implementation Certification form that was due to the Department by August 30, 2013, districts and BOCES assured that “all data will be submitted to the Commissioner by August 27, 2013 to the extent practicable and no later than October 18, 2013” and that “all data submitted to the Commissioner by October 18, 2013 will be a complete and accurate representation of the information requested and includes the State Growth subcomponent, locally selected subcomponent, Other comparable measures subcomponent and final composite rating, for all teachers and principals employed by the district or BOCES, for the 2012-2013 school year.” Therefore, if a district has signed the implementation certification form and does not submit their full and complete data by October 18, 2013 the district may not be eligible to receive an increase in State Aid for the 2013-2014 school year⁸. Additionally, districts, BOCES, or charter schools who do not submit this data and who receive, or are applying for, certain grants that require demonstration of full implementation of APPR will be unable to meet the requirements of their grants and risk loss of funding.

Data Submission Questions:

Q5: How are the data submitted?

A: Districts, BOCES, and charter schools should follow typical protocol in regards to data submission. For questions regarding loading staff evaluation data into SIRS, please contact your RIC/Big 5 City School District data center. For a list of Level 1 data center contacts, see <http://www.p12.nysed.gov/irs/nystart/tips.html#contax>

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 in regards to 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 30, districts and BOCES assured that “all data will be submitted to the Commissioner by August 27, 2013 to the extent practicable and no later than October 18, 2013” and that “all data submitted to the Commissioner by October 18, 2013 will be a complete and accurate representation of the information requested and includes the State Growth subcomponent, locally selected subcomponent, Other comparable

⁸ Please also see *Section C30 and C31 of APPR Guidance* which can be found on EngageNY at: <http://www.engageny.org/sites/default/files/resource/attachments/appr-field-guidance.pdf>

measures subcomponent and final composite rating, **for all teachers and principals employed by the district or BOCES**, for the 2012-2013 school year” (emphasis added).

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

A: The table below summarizes 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.

Evaluation Category	Description
<p>Overall Evaluation Rating Category</p>	<p>Reported as a number, using the following codes: OC04 = highly effective, OC03 = effective, OC02 = developing, OC01 = ineffective.</p> <p>Code reported here must match the Total Composite Effectiveness Score reported.</p>
<p>Total Composite Effectiveness Score</p>	<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.</p> <p>Score reported here must match code reported for Overall Evaluation Rating Category.</p>
<p>Subcomponent Scores</p>	<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 • <u>Locally-selected measures subcomponent</u> <ul style="list-style-type: none"> ○ Reported as a whole number from 0-20, using code LOCAL20 • <u>Other measures subcomponent</u> <ul style="list-style-type: none"> ○ Reported as a whole number from 0-60, using the following codes OTHER 04= highly effective, OTHER 03= effective, OTHER 02= developing, and OTHER 01= ineffective

Q10: What are charter schools required to report?

A: Charter schools that are not required to implement the 3012-c Evaluation Rating Categories (i.e. Highly Effective, Effective, Developing, Ineffective) must map their local evaluation rating categories to the State rating categories for State reporting purposes. Most charter schools are only required to submit the HEDI rating for the "overall composite score" and not subcomponent scores, however there may be instances where a charter school is required to submit additional data to meet particular grant requirements where implementation of Education Law section 3012-c is required.⁹

Charter schools outside of New York City should contact their Regional Information Center (<http://www.p12.nysed.gov/irs/sirs/RICBIG5.pdf>) for support and guidance on submitting and verifying this data.

Charter schools in New York City should contact CSsupport@schools.nyc.gov for support and guidance on submitting and verifying this data.

Q11: Can the reported numerical scores contain decimals?

A: No, per section M32 of APPR Guidance, districts/BOCES may not report subcomponent scores as decimals. 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 a teacher moving from one HEDI rating category to another.¹⁰

Q12: 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 317 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. In addition, each district will receive a refreshed summary report each Monday via the Information and Reporting Services Portal (IRSP) titled **2012-13 School Year Staff Evaluation Rating Data in SIRS**. This report will reflect a summary of the data that has been submitted to the Department by Friday of the previous week, and will include information to help you estimate the number of outstanding records still in need of submission.

⁹ Please see July 23,2013 *Field Memo to NYS Charter School Leaders* found here:

<http://www.p12.nysed.gov/docs/sirs-submission-memo-07-23-13.pdf>

¹⁰ Please see *SectionM32 of APPR Guidance* which can be found on EngageNY at:

<http://www.engageny.org/sites/default/files/resource/attachments/appr-field-guidance.pdf#page=126>

Please note: Staff Evaluation Rating Records can only be verified in the - SIRS 317 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 Q13 for guidance regarding what to do if incorrect data are found during your review of submitted data.

Q13: What should I do if there are incorrect data in my Staff Evaluation Rating Report?

A: Prior to the deadline of October 18, 2013, districts, charter schools, and BOCES should verify the data submitted to the Department Level 2 (L2RPT). In addition, each district will receive a refreshed summary report each Monday via the Information and Reporting Services Portal (IRSP) titled **2012-13 School Year Staff Evaluation Rating Data in SIRS**. This report will reflect a summary of the data that has been submitted to the Department by Friday of the previous week, and will include the number of outstanding records still in need of submission.

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 is the correct data. If an error still exists after confirming your source data, contact your RIC or 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 October 18, 2013 deadline.

Q14: 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? Should a zero be used for an incomplete subcomponent?

A: Full and complete data, including composite scores, subcomponent scores, and applicable evaluation rating categories are due to the Department no later than **October 18, 2013**.^{11, 12} If for some reason, districts and 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 an overall composite score or 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.

¹¹ Please see *Dr. Julia Rafal-Baer's July 8, 2013 letter* which can be found on the NYSED website at: <http://usny.nysed.gov/rtt/teachers-leaders/docs/appr-timeline-memo-july-2013.pdf>

¹² Please see *Section C31 of the APPR Guidance* which can be found on EngageNY at: <http://www.engageny.org/sites/default/files/resource/attachments/appr-field-guidance.pdf>

Q15: Should a Total Composite Effectiveness Score be reported for an educator who is missing a subcomponent?

A: No, districts/BOCES should **not** report an overall composite score or rating for those educator(s) who are missing one or more subcomponent score(s).

Q16: If an educator is missing a subcomponent score, 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 score(s) missing (see Q14 and 15 above). However, an overall composite score should not be submitted for an educator who is missing one or more subcomponent score(s).

Q17. How do I report an educator who was subject to evaluation under Education Law 3012-c, but for whom which there are no staff evaluation data? (i.e. missing all three subcomponents)

A. In the rare instance whereby an educator was subject to evaluation under Education Law 3012-c but is missing all three subcomponents (state, local, other), report this information within the 2012-2013 Statement of Confirmation of Staff Evaluation Rating Certification Report Form located on the Information and Reporting Services Portal (IRSP) at <http://portal.nysed.gov>.

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

Q18: What if an educator's score is the subject of an ongoing appeal that will not be resolved by October 18th, what data should be submitted? What if we have submitted and certified our data but due to an appeal an educator's score changes after October 18th and/or October 25th?

A: The data submitted to the Department on October 18th 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 October 18, 2013. Changes for staff evaluation data 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 Certification Form Questions

Q19: Where do I find the Statement of Confirmation of the 2012-13 Staff Evaluation Rating Certification Report?

A: The Statement of Confirmation of the 2012-13 Staff Evaluation Rating Certification Report can be found in the Information and Reporting Services Portal (IRSP), <http://portal.nysed.gov>. Information about the IRSP can be found here: <http://www.p12.nysed.gov/irs/irs-portal/> .

Q20: How do I submit the Statement of Confirmation of the 2012-13 Staff Evaluation Rating Certification Report?

A: The “Statement of Confirmation of the 2012-13 Staff Evaluation Rating Certification Report” should be submitted electronically through the Information and Reporting Services Portal (IRSP), <http://portal.nysed.gov>. Information about the IRSP can be found here: <http://www.p12.nysed.gov/irs/irs-portal/> .

Q21: 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 an AIR growth score that can be modified and replaced by a locally derived growth score. As a reminder, the four reasons an AIR 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.¹³
- 2) A teacher has less than 50% of his or her students covered by the State-provided growth measure.¹⁴
- 3) A State-provided growth measure may have been provided for an educator who is not subject to Education Law §3012-c.¹⁵
- 4) Final determination of a local appeal.¹⁶

¹³ Please see *Section D17 of APPR Guidance* which can be found on EngageNY at:

<http://www.engageny.org/sites/default/files/resource/attachments/appr-field-guidance.pdf>

¹⁴ Please see *Section D20 of APPR Guidance* which can be found on EngageNY at:

<http://www.engageny.org/sites/default/files/resource/attachments/appr-field-guidance.pdf>

¹⁵ Please see all of *Section B of APPR Guidance* which can be found on EngageNY at:

<http://www.engageny.org/sites/default/files/resource/attachments/appr-field-guidance.pdf>

¹⁶ Please see *Q14 of the State-provided Growth Score FAQ* document at:

http://www.engageny.org/sites/default/files/resource/attachments/explaining_growth_scores_faq_2012-13.pdf

Q22: What needs to be reported if an educator received a modified State-provided growth score?

A: If an educator's State-Provided growth score has been modified the 2012-2013 Statement of Confirmation of Staff Evaluation Rating Certification Report form, located on the Information and Reporting Services Portal (IRSP) at <http://portal.nysed.gov>, requires the educator's Teach ID, the name of the educator, and a selection from the drop down menu indicating the reason for the modification of the State-provided growth score.

Q23: My district has more than 100 educators who have a modified State-provided growth score. This form only has room for 100 educators to be listed. What do I do?

A: The 2012-2013 Statement of Confirmation of Staff Evaluation Rating Certification Report form includes space for 100 educators to be noted who have had a State-provided growth score modified and replaced by a locally-derived score. In the rare instances where more than 100 educator scores have been changed (e.g., in large city school districts), an additional form, "*2012-13 Staff Eval Rating Confirmation Form(extended).pdf*", is located on the Information Reporting Services Portal (IRSP) at <http://portal.nysed.gov>