

*Guidance on New York State's
Annual Professional Performance Review
Law and Regulations*



NEW YORK STATE EDUCATION DEPARTMENT

Purpose of the Guidance

The purpose of this guidance is to answer questions that educators, administrators, and community stakeholders may have about Education Law §3012-c (Chapter 103 of the Laws of 2010) and Section 100.2(o) and Subpart 30-2 of the Commissioner’s regulations.

The New York State Education Department will provide additional or updated guidance as necessary on its website, www.nysed.gov.

If you have further questions that are not answered here, please email educatoreval@mail.nysed.gov.

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A. Introduction

Education Law §3012-c requires a new performance evaluation system for classroom teachers (“teachers”) and building principals (“principals”). New York State will implement a statewide comprehensive evaluation system for school districts and boards of cooperative educational services (BOCES). The evaluation system is designed to measure teacher and principal effectiveness based on performance, including measures of student achievement and evidence of educator effectiveness in meeting New York State teacher or school leader standards.

The new statewide evaluation system established by section 3012-c builds on, and does not eliminate, New York’s existing APPR process, which is set forth in §100.2(o) of the Commissioner’s regulations. For guidance on how the new law relates to the APPR regulations found in §100.2(o), see paragraph N4(a) of this document.

Under the new law, New York State will differentiate teacher and principal effectiveness using four rating categories – Highly Effective, Effective, Developing, and Ineffective (HEDI). Education Law §3012-c(2)(a) requires annual professional performance reviews (APPRs) to result in a single composite teacher or principal effectiveness score, which incorporates multiple measures of effectiveness. The results of the evaluations shall be a significant factor in employment decisions, including but not limited to promotion, retention, tenure determinations, termination, and supplemental compensation, as well as teacher and principal professional development (including coaching, induction support, and differentiated professional development).

The statute can be found at

[http://public.leginfo.state.ny.us/LAWSSEAF.cgi?QUERYTYPE=LAWS+&QUERYDATA=\\$\\$EDN3012-C\\$\\$@TXEDN03012-C+&LIST=LAW+&BROWSER=EXPLORER+&TOKEN=16942100+&TARGET=VIEW](http://public.leginfo.state.ny.us/LAWSSEAF.cgi?QUERYTYPE=LAWS+&QUERYDATA=$$EDN3012-C$$@TXEDN03012-C+&LIST=LAW+&BROWSER=EXPLORER+&TOKEN=16942100+&TARGET=VIEW)

The Commissioner’s regulations to implement the new law can be found at <http://www.regents.nysed.gov/meetings/2011Meetings/May2011/511bra4.pdf>

The regulations are organized as follows:

Section 30-2.1 of the regulations clarifies that the existing APPR regulations (section 100.2[o] of the Commissioner’s regulations) remain in effect for teachers and principals who are not subject to the provisions of the new law. For “teachers” and “building principals” subject to the new law, school districts and BOCES must comply with the requirements in Subpart 30-2 of the Rules of the Board of Regents. However, the Department recommends that, to the extent possible, districts and BOCES begin the process of rolling this system out for the evaluation of all classroom teachers and building principals in the 2011-2012 school year so that New York can quickly move to a comprehensive teacher and principal evaluation system.

It also reiterates the language from the statute that says the regulations do not override conflicting provisions of any collective bargaining agreement in effect on July 1, 2010 until the agreement expires and a successor agreement is entered into; at that point, however, the new evaluation regulations apply. This section also clarifies that nothing in the regulations shall be construed to affect the statutory right of a school district or BOCES to terminate a probationary teacher or principal or to restrict a school district's or BOCES' discretion in making a tenure determination pursuant to the law.

Section 30-2.2 defines the terms used throughout the regulations. **Section 30-2.3** lists the information that every district or BOCES must include in its APPR plan.

Section 30-2.4 provides that, for the 2011-2012 school year, only classroom teachers in the common branch subjects who teach English language arts and/or mathematics to students in grades 4 through 8 shall be subject to the requirements of the new law. This section lays out the requirements for such teachers. It provides that 20 points of the evaluation will be based on student growth on state assessments and 20 points will be based on locally selected measures; explains what types of locally selected measures of student achievement may be used (first for teachers, then for principals); and describes what types of other measures of effectiveness may be used for the remaining 60 points (first for teachers, then for principals).

Section 30-2.5 lays out the requirements for evaluating all classroom teachers and building principals for the 2012-13 school year and thereafter. This section explains how the requirements for the state assessment and locally selected measures subcomponents will differ, including the points assigned for each subcomponent, depending on whether the Board of Regents has approved a value-added growth model for particular grades/courses and subjects. The remaining 60 points will be assigned based on the same criteria as the preceding section.

Section 30-2.6 explains how evaluations will be scored and rated. **Sections 30-2.7 and 30-2.8** outline the processes by which the Department will review and approve teacher and principal practice rubrics and student assessments, respectively, for use in districts' and BOCES' teacher and principal evaluation systems.

Section 30-2.9 describes the requirements for evaluator training. **Section 30-2.10** covers teacher and principal improvement plans, and **Section 30-2.11** covers appeals procedures.

B. Educators Covered by the New Law; Implementation Timeline

B1. Who must be evaluated, and when?

The statute provides for a phase-in of the new evaluation system. In the 2011-2012 school year, the new evaluation system must include teachers of English Language Arts or mathematics in grades 4-8 (including common branch teachers who teach ELA or mathematics) and the building principals of the schools in which those teachers are employed.

Beginning in the 2012-2013 school year, the evaluation system must include all classroom teachers and building principals.

The Department recommends that, to the extent possible, districts and BOCES begin the process of rolling this system out for the evaluation of all classroom teachers and building principals in the 2011-2012 school year so that New York can quickly move to a comprehensive teacher and principal evaluation system. The purpose of the comprehensive evaluation system is to measure teacher and principal effectiveness based on multiple measures, including student achievement to ensure that there is an effective teacher in every classroom and an effective leader in every school. The evaluation system will also foster a culture of continuous professional growth for educators to grow and improve their instructional practices.

B2. How often must teachers and principals be evaluated?

The new law requires that all teachers and principals be evaluated on an annual basis, based on multiple measures of teacher and principal effectiveness. For teachers, the evaluation must be comprised of multiple classroom observations and for principals, the evaluation must be comprised of one or more school visits by a supervisor, so districts must structure an annual cycle that incorporates these requirements.

B3. What if a district has not completed the collective bargaining necessary to evaluate all teachers and principals by 2012-2013?

See paragraph N4(a).

B4. What teachers are considered classroom teachers under the new law? Are school psychologists, librarians, career and technical teachers, teachers performing instructional support services, adult education teachers and/or social workers classroom teachers that are required to be evaluated under the new law?

The law requires that all classroom teachers be evaluated under the new law.

This section of the Commissioner's regulations defines classroom teacher as a teacher in the classroom teaching service as defined in section 80-1.1 of the Commissioner's regulations.

School librarians and career and technical teachers are teachers in the classroom teaching service and are, therefore, subject to the new law beginning in the 2012-2013 school year.

Section 80-1.1 of the Commissioner's regulations specifically excludes pupil personnel services from the definition of classroom teaching services. Therefore, school psychologists and school social workers who are pupil personnel service providers are not covered by the new law.

A classroom teacher performing instructional support services for more than 40% of his/her time will not be included in the definition of classroom teacher.

Supplemental school personnel (e.g., teacher aides and teaching assistants) and teachers of adult, community and continuing education are also excluded from the definition.

B5. What is a "teacher of record"?

A teacher of record is defined as an individual (or individuals, such as in co-teaching assignments) who has been assigned responsibility for a student's learning in a subject/course with aligned performance measures. Further guidance on Teacher of Record is in Section L. Data Management.

B6. What constitutes ELA and math? For example, what if a teacher teaches creative writing in middle school?

ELA and math courses associated with a State test in that subject area are, for the purpose of the regulations, considered ELA and math. Because the State does not have a creative writing State test, the middle school creative writing class would be considered a "non-tested course."

B7. What if a teacher is teaching grades 4-8 ELA and/or math to just a few of his/her students? Will that teacher be subject to evaluation in the 2011-12 school year?

In order for a teacher to be evaluated under the new law in the 2011-2012 school year, at least 50% of the teacher's students must be in grades 4-8 ELA and/or math, and there must be enough such students with sufficient State assessment data to enable the State to generate a student growth score (see paragraphs D11 and D12). If not, then the teacher is subject to Section 100.2(o).

- B8. Will all common branch teachers be evaluated under the new law in the 2011-12 school year?

No, the new law and implementing regulations only apply to those common branch teachers who teach English language arts and/or mathematics to students in grades 4 through 8. Most common branch teachers in grades 4 and above will be required to be evaluated under the new law in the 2011-12 school year. Common branch teachers in grades k-3 will not be covered in the 2011-12 school year.

- B9. Must special education teachers in self-contained classrooms be evaluated in the 2011-12 school year?

Many special education teachers across the State teach students in grades 4-8 in the common branch subjects, ELA, and math.

In order for a special education teacher in a “self-contained” class to be evaluated under the new evaluation system in the 2011-12 school year, at least 50% of the teacher’s students must take the English language arts and/or math State assessment in the 2011-2012 school year, and there must be enough students with sufficient data to enable the State to generate a student growth score on such assessments (see paragraphs D11 and D12).

- B10. What about special education teachers who co-teach? Will they be subject to evaluation in the 2011-12 school year?

For special education teachers in team-teaching classrooms in grades 4-8 ELA and math, the district will receive state growth results for all the students in the class who take the standardized state assessment. If the district or BOCES is able to provide two teachers of record for a given class, the results for all students in the class will be provided for both teachers. If the district’s or BOCES’ data system does not yet allow for reporting of more than one teacher of record, the district can manually apply the classroom’s growth results to both teachers. The district or BOCES must then evaluate both teachers pursuant to the requirements of the new law and implementing regulations for the remaining subcomponents (i.e., locally selected measures and other measures of teacher effectiveness).

- B11. What about “push in” and “pull out” teachers?

“Push-in” and “pull-out” teachers, including academic intervention services (AIS) specialists, who are not primarily responsible for the learning of a group of students, even if the push-in or pull-out teacher teaches ELA or math to students in grades 4-8, are not required to be evaluated in 2011-12. SED is developing with districts the capability to track multiple teachers of record for students and to associate a share of instructional time or “dosage” to the push-in or pull-out teachers for evaluations conducted in the 2012-2013 school year and thereafter.

- B12. What is the definition of a “building principal”? What types of administrators are included under this definition? Does it include BOCES administrators?

A building principal is a certified administrator designated by the school’s controlling authority to have executive authority, management, and instructional leadership responsibility for all or a portion of a school or BOCES-operated program.

Teachers who perform administrative functions less than 50% of their time are not included in the definition of building principal.

- B13. What is the definition of a co-principal?

A co-principal means a certified administrator designated by the school’s controlling authority to have executive authority, management, and instructional leadership responsibility for all or a portion of a school or BOCES-operated program, in a situation in which more than one such administrator is so designated. The term co-principal implies equal line authority, with each administrator so designated reporting to a district-level or comparable BOCES-level supervisor.

- B14. What if fewer than 30% of the students in a principal’s school are in grades 4-8 ELA and math?

A principal must be evaluated under the requirements of the new law in the 2011-2012 school year if at least 30% of the students in his/her school or program are being taught ELA and/or math in grades 4-8. This will include most principals of schools with grade configurations of K-5, PK-5, 6-8, and 6-12, or similar grade configurations.

If fewer than 30% of the students in his/her school or program are being taught ELA and/or math in grades 4-8, then the principal is subject to evaluation under Section 100.2(o).

- B15. How will other administrators, such as assistant principals or subject-area directors, be evaluated?

The new law only applies to classroom teachers and building principals.

- B16. How will superintendents and school boards be held accountable?

Superintendents of schools and members of the board of education or other governing board of a school district or BOCES are required to comply with Education Law section 3012-c, and section 100.2(o) of the Commissioner’s regulations and Subpart 30-2 of the Regents Rules, and thus will be held accountable for implementation of the new evaluation system. The Department has the authority to remove school officers, including board members, pursuant

to section 306 of the Education Law for the willful failure of a school officer to obey the Education Law or rules or regulations of the Commissioner or the Regents. The Commissioner also has the power to withhold from any district or city its share of the public money of the state for willfully disobeying any provision of law or regulation.

Superintendents are also required to be evaluated under the existing APPR regulations (100.2[o]) on an annual basis by the governing body of the school district or BOCES. When evaluating a superintendent's performance under section 100.2(o) of the Commissioner's regulations, the governing body should take into consideration the effectiveness of the superintendent in implementing the new evaluation system for teachers and principals.

C. Annual Professional Performance Review (APPR) Plan

C1. When is a district or BOCES required to adopt its APPR plan?

By September 1, 2011, the governing body of each school district and BOCES must adopt an APPR plan for teachers of English Language Arts or mathematics in grades 4-8 (including common branch teachers who teach ELA or mathematics) and the building principals of the schools in which those teachers are employed.

By September 1, 2012, the governing body of each school district and BOCES must adopt a plan—which may be an annual or multi-year APPR plan—for all of its classroom teachers and building principals.

C2. Where and when must a district or BOCES file the APPR plan? Do they have to post the plan on the Internet?

By September 10 of each school year, or within 10 days of adopting the APPR plan—whichever is later—each district or BOCES must file its APPR plan in the district or BOCES office and make the plan available on its website.

C3. What if any of the items required to be included in the APPR plan are not finalized by September 1 in a given school year, as a result of pending collective bargaining negotiations?

If any of the items required to be included in an APPR are not finalized by September 1 as a result of pending collective bargaining negotiations, the plan must identify those specific parts that are not finalized, and the school district or BOCES must file an amended plan upon completion of such negotiations.

C4. What is a district or BOCES required to include in its APPR plan?

The APPR plan must include a description of the school district or BOCES' process for ensuring that the Department receives accurate teacher and student data and verification of rosters and course linkage data; reporting requirements; assessment development and security and scoring processes; details of the district's or BOCES' evaluation system; how the district or BOCES will provide timely and constructive feedback to teachers and principals; the appeal procedures utilized and any required certifications required under the Subpart.

C5. What are a district's or BOCES' obligations to ensure that there is a fair and consistent evaluation process for teachers and principals?

All districts and BOCES should ensure that their evaluation process is fair and transparent and that the district or BOCES provides all teachers with regular, useful feedback on their performance – no matter how long they have been in the

classroom or school. School leaders must be held accountable for supporting each teacher's development, and ensuring that all teachers receive appropriate professional development. Everyone within the system should be focused on the goal of improving student achievement.

D. Student Growth on State Assessments or Other Comparable Measures

D1. How will the teacher and principal growth score be determined for 2011-2012?

For school year 2011-2012, 20 points of a teacher's or principal's composite effectiveness score shall be based on results of their students' growth on state assessments compared to similarly achieving students. The State will select an expert provider through competitive bidding later in 2011 who will determine how to estimate student growth using the state's existing assessment programs in these subjects and produce the resulting scores for each educator along with detailed reports that will provide clear and useful information to interpret the results.

For the 2011-2012 school year, the state will calculate a "student growth percentile score" (SGP) for each student that takes the ELA and/or mathematics State assessment. The SGP score is a measure of a student's progress compared to other students with similar past academic performance on the assessment. This is the same methodology used in the Colorado Growth Model and adopted by many states including Colorado, Massachusetts, and Rhode Island, among others.

The growth score provider will adjust the students' SGP scores before assigning the teacher or principal a score for this subcomponent so that a teacher's or principal's student growth percentile result takes into account one or more of the following characteristics: student poverty, students with disabilities, and English language learners. This result will be the teacher or principal student growth percentile score (TSGPS or PSGPS).

Each teacher of record in 4-8 ELA or mathematics will have a TSGPS that represents the mean or median (adjusted for student characteristics mentioned) of the SGPs of his or her assigned students. ("Teacher of record" is defined in Section B. Educators Covered by the New Law; Implementation Timeline.) Each building principal employed in a school or program where the state assessments in grades 4-8 ELA or mathematics were administered shall have a similarly calculated PSGPS based on the adjusted SGPs of students who took the aforementioned state assessments.

Where necessary, results from different tested grades and/or subjects will be combined according to a formula to be determined by the Commissioner.

The state will then assign a score of 0-20 points for this subcomponent, which will contribute to the educator's composite effectiveness score using the standards and scoring ranges for this subcomponent as prescribed in the regulation.

D2. What is a “value-added score” and how is it different from the Teacher or Principal Student Growth Percentile Score?

If the Board of Regents approves the use of a “value-added model” for 2012-13 or later years, educators will receive from 0-25 points on their evaluations based on their teacher or principal value-added (VA) score. As with the “growth score”, the State plans to calculate, where possible, a student growth percentile for each student comparing the progress each student makes each year on the applicable State assessments to the progress of other students in that grade/subject with similar past achievement on New York State assessments.

To determine the teacher or principal value-added score, the state will assign students to their teacher of record according to rules in effect at that time (see paragraph L5) and to their principal. The value-added score provider will then take into account any of a wide range of student, classroom, and/or school characteristics that the provider, with approval the Board of Regents, determines are necessary, for empirical and policy reasons, to compare the growth performance of classes and schools to those with similar characteristics.

The value-added score provider will be required to recommend how best to account for test measurement error and statistical uncertainty in modeling results in determining scores for individual educators.

The provider will also be asked to provide analysis in support of policy decisions. One example: how to be sure that small changes in student learning do not result in extreme positive or negative results for educators because of students clustered at either the high or low end of achievement scales or other statistical anomalies.

The result of this analysis will be a teacher or principal value-added score, and it will lead to the assignment of 0-25 points for evaluation purposes using the standards and scoring bands then in effect.

Where necessary, results from different grades and/or subjects will be combined according to a formula to be determined by the Commissioner.

D3. What characteristics of students, classrooms, and schools will be considered in constructing the value-added scores?

All of the following data will be provided to the value-added score provider by SED for empirical analysis and recommendation of the specifics of the State’s value-added methodology for teachers and principals. Policy considerations and empirical results will determine the final specifications, which could differ for teachers and principals. The specifics of the recommendations will be determined before the 2012-13 school year begins after consultation with representatives of the Regents Task Force and approval by the Board of Regents.

Table 1. State Data Elements (items for which SED believes it has a valid data source now or in the near future)

<u>Student Characteristics</u>	<u>Other Characteristics</u>
<ul style="list-style-type: none"> • Student State assessment history 	<u>Classroom characteristics</u>
<ul style="list-style-type: none"> • Poverty indicators 	<ul style="list-style-type: none"> • Class size
<ul style="list-style-type: none"> • Disability indicators (disaggregated indicators) 	<ul style="list-style-type: none"> • % with each demographic characteristic in a class
<ul style="list-style-type: none"> • English language learner indicators (disaggregated indicators) 	<u>School characteristics</u>
<ul style="list-style-type: none"> • Ethnicity/race 	<ul style="list-style-type: none"> • % with each demographic characteristic
<ul style="list-style-type: none"> • Gender 	<ul style="list-style-type: none"> • Average class size
<ul style="list-style-type: none"> • % daily student attendance 	<ul style="list-style-type: none"> • Grade configuration
<ul style="list-style-type: none"> • Student suspension data 	
<ul style="list-style-type: none"> • Retained in grade 	Educator experience level in role
<ul style="list-style-type: none"> • Summer school participation 	
<ul style="list-style-type: none"> • Student new to school in a non-articulation year 	
<ul style="list-style-type: none"> • Student age (especially overage for grade) 	

D4. When will the percentage of the composite score that is based on this component increase from 20 to 25 points?

In school year 2012-13 and beyond, if a value-added scoring methodology has been approved by the Board of Regents for use with a state assessment that is associated with a given course, it will be the basis for the teacher or principal value-added scores and the state will determine the score for each educator from 0-25 points.

D5. Which subjects besides ELA/math grades 4-8 will have value-added models and when? Will there be any new State tests because of this?

We plan new State test sequences in grades 6-8 science and social studies and 3 years of high school ELA. These new tests, along with the Regents exams that exist in 2010-2011, could be the basis of value-added scores. The exact schedule depends on whether and when SED determines, with its value-added score provider, that a valid and reliable methodology can be constructed for existing State assessments.

D6. How will the teacher and principal growth score be determined if there is no value-added or growth model based on State assessments?

Beginning in the 2012-13 school year, it is expected the State will have an approved value-added model in ELA and math for grades 4-8; however, if a value-added model is not approved for these subjects in these grades, the State will continue to use the student growth percentile method to calculate student growth (as outlined above), and the State growth portion of these teachers' and principals' evaluations will count for 20 points until such time that the State is able to calculate a value-added model for these subjects in these grades.

In all other grades and subjects (i.e., those for which the State does not have an approved growth or value-added model), Education Law §3012-c requires that teachers' and principals' evaluations be based in part on measures of student learning growth. For these grades/subjects, districts will be required to engage in a state-determined district-wide process for student growth goal-setting that identifies some type of assessment of student learning and sets targets for student growth as measured by that assessment. Districts will be required to assign 0-20 points to each educator based on the students' results compared to the targets set in the goal-setting process.

For classroom teachers who teach one of the core subjects (grades 6-8 science and social studies courses and high school courses in English language arts, math, science, and social studies that lead to a Regents examination in the 2010-2011 school year, or to a State assessment in the 2012-2013 school year or thereafter), where there is no approved growth or value-added model:

- The school district or BOCES shall measure student growth based on a State-determined district- or BOCES-wide student growth goal-setting process using a State assessment, if one exists, or a Regents examination or Department-approved alternative examination.
- If State assessments/Regents examinations do not exist for these subjects/grade levels, districts or BOCES must use the growth goal-setting process with an assessment from the list of State-approved assessments or a Department-approved alternative examination.

For all other grades/subjects, the district/BOCES must use the growth goal-setting process with one or more of the following types of district-selected student assessments:

- Assessment from the list of State-approved student assessments,
- District, regional or BOCES-developed assessments, provided that the district or BOCES verifies comparability and rigor,
- School-wide, group, or team results based on state assessments,

- School- or teacher-created assessments.

D7. What research does SED have that growth and value-added measures should be part of evaluation?

There are many articles and studies that discuss the use of "value-added" or "growth" measures to assess teacher and principal impact on student achievement based on state assessments. Among the places to learn more are the National Comprehensive Center for Teacher Quality (<http://www.tqsource.org/webcasts/evaluateEffectiveness/resources.php>) and The Center for Public Education (<http://www.centerforpubliceducation.org/Main-Menu/Staffingstudents/Building-A-Better-Evaluation-System/References.html>).

D8. How can we be sure that educators with a high number of students at the highest or lowest ends of the achievement spectrum receive fair results?

In its Request for Proposal, NYSED has instructed potential providers for the growth and value-added measures that every precaution must be taken to avoid false extreme results for educators (either negative or positive). We have required use of confidence intervals and inclusion of measures of test measurement error. We have also explicitly required that providers ensure that the highest and lowest scores for student growth go to teachers and principals whose students demonstrated meaningful differences in learning, not small changes that somehow become statistical outliers.

D9. What is the status of the work to determine how to construct teacher and principal student growth scores? When will educators know the specific formulas used to evaluate them in 2011-2012?

Task Force researchers Drs. Hamilton Lankford (SUNY Albany), Jim Wyckoff (University of Virginia), and Jonah Rockoff (Columbia Business School) are currently analyzing student growth percentile (SGP) scores for all students who took ELA or mathematics assessments in grades 4-8 during the 2009-2010 school year (and several prior years) for which SED has sufficient prior performance on New York assessments, and the relationships of those data to student characteristics including poverty, disability, and English language learner status. This analysis will provide an illustrative approach to teacher and principal student growth percentile scores in 2011.

By the end of the 2010-2011 school year, SED will collect the data needed from districts to assign students to teachers of record (see Section L. Data Management for a discussion of "teacher of record.") This data is needed to analyze student growth percentile scores at the teacher level.

SED expects to choose a provider of teacher and principal growth and value-added measures by the end of 2011 through a competitive "request for proposal"

process. This provider will do the data management and empirical analyses required to construct teacher and principal student growth percentile scores using 2010-11 school year data for modeling.

D10. When will the 2011-2012 school year results be provided to educators and their supervisors?

SED will provide the (0-20) scores for the growth measures component of each educator's evaluation by June 15, 2012, or as soon as possible after the state student assessment results are available. All information will be transmitted electronically via secure protocol to the appropriate schools and educators.

D11. What data is required for a student in grades 4-8 ELA and/or math to have a growth score?

At least 2 consecutive years of state assessment data in that subject.

D12. Is there a minimum number of students with growth scores required in order for SED to calculate a growth score for a teacher/principal in the 2011-2012 school?

Yes, there will be minimum numbers of students required for a growth score to be generated. The specific number will be determined by SED in consultation with the provider of the growth and/or value-added model based on empirical and policy considerations.

D13. What is the State-determined district- or BOCES-wide student growth goal-setting process for non-tested subjects?

NYSED is working with representatives of the Regents Task Force and other states and districts who are currently utilizing student-growth goal-setting processes to prescribe standards and best practices for districts and BOCES to implement the State-determined district- or BOCES-wide growth goal setting process, at a minimum for teachers of non-tested grades and subjects. The Department is developing the State-determined growth goal-setting process and expects to make it available in July 2011. Districts may choose to use the process for all teachers and to incorporate locally selected measures of student achievement into the goal-setting process where allowed by the Commissioner's Regulations.

D14. How and when will the state determine its list of approved third-party assessment providers for use where a state assessment is not available to determine student growth?

See paragraph F1.

D15. How would you factor in multiple scores for a teacher of record who is responsible for ELA/math and NYSESLAT scores (i.e., a self-contained fifth-grade bilingual teacher)?

SED will work with its value-added provider to determine whether and how the NYSESLAT score may be utilized in a value-added measure for students who are English language learners. Districts may also utilize the NYSESLAT as the basis of locally selected measures for classrooms with students who take this assessment.

E. Locally Selected Measures of Student Achievement

E1. How and when will the state determine its list of approved third-party assessment providers for use as locally selected assessments?

See paragraph F1.

E2. What are the options for local assessment?

Locally selected options for the evaluation of teachers include:

- Assessments from list of State-approved of 3rd-party-developed, State, or Regents-equivalent assessments
- district-, regional-, or BOCES-developed assessments whose rigor and comparability is verified by the district or BOCES;
- school-wide, group, or team metrics using State assessments or a district, regional or BOCES-developed assessment;
- student achievement on State assessments, Regents examinations and/or Department approved alternative examinations (AP, IB, SAT II, etc.) or,
- structured district-wide goal setting process with any State- or other school- or teacher-created assessment agreed to by an evaluator and teacher.

Other evaluation options for principals include:

- student performance on any of the options listed above; and
- student achievement levels on State assessments in ELA and/or math in grades 4-8 (e.g., percentage of students in the school whose performance levels on State assessments are proficient or advanced); or
- student growth or achievement on State assessments in ELA and/or mathematics in grades 4-8 for students with disabilities and ELA in grades 4-8.

For building principals in a school with high school grades, the following additional locally selected options exist:

- 4,5 and/or 6-year high school graduation and/or dropout rates for principals employed in a school with high school grades;
- Percentage of students who earn a Regents diploma with advanced designation and/or honors;
- Percentage of a cohort of students that achieve specified scores on Regents examinations and/or Department approved alternative examinations as described in section 100.2(f) of this Title ; and/or
- Students progress toward graduation in the school using strong

predictive indicators, including but not limited to 9th and/or 10th grade credit accumulation and/or the percentage of students that pass 9th and/or 10th grade subjects most commonly associated with graduation and/or students' progress in passing the number of required Regents examinations for graduation.

- E3. Do the regulations require that 40% of a teacher or principal's evaluation be based on State assessments?

The regulation does not require that 40% of a teacher or principal's evaluation be based on State assessments. Education Law 3012-c requires that 20% of a teacher or principal's evaluation (increases to 25% with an approved value-added model) be based on student growth on State assessments or other comparable measures. The statute also requires that 20% be based on other locally selected measures of student achievement (decreases to 15% with an approved value-added model). The regulations provide several local options for the 20% based on locally selected measures of student achievement, including the use of State assessments and several other options as described above. The choice of whether to use State assessments for this portion of the evaluation is a local decision.

- E4. If districts or BOCES develop their own assessments, do the assessments have to be reviewed by the state for inclusion on the approved list?

No, district-, regional-, or BOCES-developed assessments will not be reviewed by the State, provided the district/BOCES intends to use the assessment for the local portion of their educators' evaluations or as a comparable growth measure for subjects that are not considered "core" subjects under the regulations. Districts and BOCES that develop their own assessments for the local portion of educators' evaluations must include in their APPR plan an assurance that their district- or BOCES-developed assessment is rigorous and comparable across classrooms in accordance with the Commissioner's Regulations.

- E5. How will evaluation points be assigned to educators using locally selected assessments?

Districts must determine locally the details of their approach to assigning 0-20 points to educators for this subcomponent of evaluation, within the scoring ranges and text descriptions for each rating category for this subcomponent, as prescribed in section 30-2.6 of the Commissioner's regulations. The district's process for the assignment of points within this subcomponent must be transparent and provided in advance to those who will be rated. The district or BOCES must also include such process in their APPR plan, which shall be made publicly available on its website.

F. Department Review and Approval of Student Assessments

- F1. What is the process and timeline for the Department to review and approve 3rd-party-developed assessments for use in teacher and principal evaluation?

On May 17, 2011, the Department issued a Request for Qualification (RFQ) for Student Assessments to be Used by New York State Districts for a Portion of Teachers' and Principals' Evaluations, soliciting applications for assessments that will be used as measures of student achievement or growth (<http://usny.nysed.gov/rttt/rfq/assessment.html>). Applications are due by June 17, 2011. The List of Approved Student Assessments will be available in July 2011.

Any assessment that meets the criteria in the Commissioner's regulations and the RFQ will be put on the State's approved list. There is no limit to the number of assessments on the approved list. Districts should encourage providers of any assessments currently in use to submit the information requested in the RFQ.

The RFQ does not obligate the state or individual districts to purchase any services from any specific provider.

- F2. Will the Department consider applications submitted after June 17, 2011?

The Department will review submissions received after the June 17, 2011 deadline. However, the assessments will not be added to the List of Approved Student Assessments until the next update period. The Department will update the list of approved assessments at least annually.

G. Other Measures for Teachers and Principals

G1. What are the other 60 points of a teacher's evaluation based on?

Evaluations of classroom teachers are to be based on multiple measures, aligned with the New York State Teaching Standards. A teacher's performance must be assessed using a teacher practice rubric approved by the Department. For more on teacher practice rubrics, see Section H. Department Review and Approval of Teacher and Principal Practice Rubrics.

Any of the Teaching Standards not addressed in classroom observation must be assessed at least once a year through one or more of the activities described in question G3, above, for the remainder of the 60 points.

G2. What are the requirements for teacher observations?

The regulations require that at least 40 out of the 60 points are to be based on classroom observations. This must include multiple observations – meaning 2 or more – by a principal or other trained administrator. It may also include observations by trained independent evaluators or in-school peers. Classroom observations may be performed in person or by video.

G3. Besides classroom observations, on what measures can districts or BOCES base the remainder of the 60 points for teachers?

The remaining points of the 60 points can be based on a combination of any of the following criteria:

- structured review of student work;
- teacher artifacts using portfolio or evidence binder processes;
- feedback from students, parents, and/or other teachers using structured survey tools;
- teacher self-reflection and progress on professional growth goals (maximum of 5 points).

G4. What are the other 60 points of a principal's evaluation based on?

Evaluations of building principals are to be based on multiple measures, aligned with the Educational Leadership Policy Standards (ISLLC 2008). A principal's performance must be assessed using a principal practice rubric approved by the Department. For more on principal practice rubrics, see Section H. Department Review and Approval of Teacher and Principal Practice Rubrics.

Any of the Educational Leadership Policy Standards (ISLLC 2008) not addressed in the broad assessment must be assessed at least once a year.

- G5. What are the requirements for assessment of a principal's leadership and management actions? Are school visits required as part of the evaluation of principals?

The regulations require that at least 40 out of the 60 points is to be based on a broad assessment of the principal's leadership and management actions, by the building principal's supervisor or a trained, independent evaluator.

Each year, this assessment must incorporate at least one school visit by the principal's supervisor and at least two other sources of evidence from the following options: structured feedback from teachers, students, and/or families; school visits by other trained evaluators; review of school documents, records, and/or state accountability processes; and/or other locally-determined sources.

Because the 60 points must be based on multiple measures, the broad assessment of leadership and management actions cannot count for the entire 60 points.

- G6. Besides the broad assessment of principal leadership and management actions, on what measures can districts or BOCES base the remainder of the 60 points for principals? Are districts or BOCES required to use measures other than the broad assessment as part of the 60 points?

The remaining points must be based on results of one or more ambitious and measurable goals set collaboratively between the principal and the superintendent or district superintendent.

At least one of those goals must address the principal's contribution to improving teacher effectiveness, including but not limited to:

- improved retention of high performing teachers;
- the correlation between student growth scores of teachers granted tenure vs. those denied tenure;
- quality of feedback provided to teachers throughout the year;
- facilitation of teacher participation in professional development opportunities;
- the quality and effectiveness of teacher evaluations.

Any other goals may address quantifiable and verifiable improvements in academic results or the school's learning environment resulting from principal's leadership and commitment to their own professional growth.

H. Department Review and Approval of Teacher and Principal Practice Rubrics

- H1. How will districts and BOCES use teacher and principal practice rubrics in evaluations?

Under the 60% Other Measures subcomponent of the evaluation, districts and BOCES are required to assess teacher and principal performance using teacher and principal practice rubrics approved by the Department. For more about that subcomponent, see Section G. Other Measures for Teachers and Principals. Teacher and principal practice rubrics will not be used for either of the other two subcomponents.

- H2. What is the process and timeline for the Department to review and approve teacher and principal practice rubrics for use in teacher and principal evaluation?

On May 17, 2011, the Department issued a Request for Qualification (RFQ) for Teacher and Principal Practice Rubrics (<http://usny.nysed.gov/rttt/rfq/rubric.html>). Applications are due by June 17, 2011. The list of Approved Teacher and Principal Practice Rubrics will be available in July 2011.

- H3. Will the Department consider applications submitted after June 17, 2011?

The Department will review submissions received after the June 17, 2011 deadline. However, the assessments not be added to the list of Approved Teacher and Principal Practice Rubrics until the next update period. The Department will update the list of approved rubrics at least annually.

- H4. What if the rubric my district is using is not on the approved list?

Districts that are using a rubric that is not on the approved list will need to apply for a variance. If the rubric is not approved through the variance process then it will no longer be permissible for use in evaluations.

- H5. Under what circumstances may a district apply for a variance to utilize a teacher or principal practice rubric not on the state's approved list?

Districts may apply for a variance (1) if the district or BOCES seeks to use a rubric that is either a close adaptation of a rubric on the approved list, or a rubric that was self-developed or developed by a third-party and the district or BOCES has demonstrated that it has made a significant investment in the rubric and has a history of use that would justify continuing the use of that rubric, or (2) that the district/BOCES would like to use a new, innovative rubric that would not otherwise meet the established approval criteria for this RFQ and the

district/BOCES demonstrates how it will ensure inter-rater reliability and the rubric's ability to provide differentiated assessments over time.

H6. Is there an approved list of other kinds of assessment tools, such as student/parent/teacher surveys? Student work and teacher artifact portfolios?

No, at this time there is no list of approved assessment tools, other than teacher/principal practice rubrics and State assessments. A district or BOCES may select any assessment tool, provided that use of the tool is permitted in the Commissioner's regulations.

I. Scoring and Rating of Evaluations

11. How is each teacher and principal rated? What is “HEDI”?

Each classroom teacher and building principal is rated Highly Effective, Effective, Developing, or Ineffective (HEDI) based on a single composite effectiveness score that is calculated based on the scores received by the teacher or principal in each of the subcomponents.

12. How are points assigned to each subcomponent of the evaluation?

Each district/BOCES must assign points for the three subcomponents based on the standards and requirements prescribed in the Commissioner’s regulations, which contain scoring ranges for the HEDI rating categories for the State assessment or other comparable measures subcomponent and the locally selected measures subcomponent and textual descriptions for how points should be assigned for each rating category in each of the subcomponents. The process by which points are assigned in subcomponents and the scoring ranges for each of the subcomponents must be transparent and provided in advance to those who will be rated. Each district and BOCES must describe its process for assigning the points for each subcomponent in its APPR plan, which must be published on its website.

For the 2011-12 school year, the Commissioner has set the following scoring ranges for the overall rating categories and the rating categories for the State assessment and other comparable measures subcomponent and the locally selected measures subcomponent.

Table 2. Subcomponent and Composite Scoring Ranges for 2011-12 School Year

Level	Student Growth on State Assessments or Other Comparable Measures	Locally Selected Measures of Student Achievement	Other 60 Points	Overall Composite Score
Ineffective	0-2	0-2	Scoring ranges locally determined	0-64
Developing	3-11	3-11		65-74
Effective	12-17	12-17		75-90
Highly Effective	18-20	18-20		91-100

The Commissioner will review the scoring ranges annually before the start of each school year and recommend any changes to the Board of Regents.

13. How was the composite scoring range determined?

The Regents Task Force on Teacher and Principal Effectiveness spent considerable time discussing how the scoring ranges should be set. The Task Force did not come to a full agreement on the scoring ranges. Based on the Task Force discussions and recommendations, Staff recommendations and on comments received on the initial draft regulations which were posted on our website in April 2011, the scoring ranges in Table 2 were presented to the Board of Regents for approval at its May 2011 meeting.

14. Why is the cut-off score to get into the "developing" category so high (at 64)? Why not phase in the scoring ranges so that it wasn't as hard in the first year?

Upon consideration of the Task Force's recommendations and the comments we received on the April draft regulations, the scoring ranges were developed. The reason the cut-off score to get into the developing category is set at 64 is to ensure that a teacher who scores in the Ineffective range in both the Student Growth and Locally Selected Measures of Student Achievement subcomponents receives an overall rating of Ineffective. The Commissioner will review the scoring ranges each year and recommend any changes to the Board of Regents.

15. Is it true that the state's HEDI scoring ranges will cause many more principals in NYC to receive the lowest rating than currently do under NYC's principal performance review?

It is not possible to compare NYC's current principal performance review and approach to arriving at composite scores and ratings for principals to the one in the new NYS regulations. New York City will have to revise aspects of their system including the final composite scoring and rating to comply with the new regulations. In the meantime, it is not possible to compare a score of 60 points on New York's current principal performance review to a score of 60 under the new regulations.

16. Why is there an option to use a team measure of student learning (school-wide, grade or subject) as part of an individual teacher's evaluation? It doesn't seem fair that one teacher's rating would depend on other teachers' performance?

Districts have the option of using group or team measures of student learning as a locally-selected measure or, in some non-tested subjects, as a comparable measure of student growth. The option is provided because some districts may decide that having one team or group measure promotes collaboration. Districts may also decide that using team measures is the most practical, rigorous and comparable way to assess teachers of subjects where student growth is difficult

to measure, like arts or CTE, but which support student learning in subjects like English and math.

17. Will there be any further guidance for assignment of points for the subcomponents? Particularly for the 60% other measures?

The Regents Task Force felt that text descriptions of the four levels of performance would be helpful guidance for districts to determine assignment of points within the subcategories. Table 3 gives further guidance for how points should be awarded within the four performance levels for the 60% other measures subcomponent.

Table 3. Subcomponent and Composite Scoring Ranges for 2011-12 School Year

Level	Student Growth on State Assessments or Other Comparable Measures	Locally Selected Measures of Student Achievement	60% Other Measures
Ineffective	Results are well-below State average for similar students (or district goals if no State test).	Results are well-below district or BOCES-adopted expectations for growth or achievement of student learning standards for grade/subject.	Overall performance and results are well below standards.
Developing	Results are below State average for similar students (or district goals if no State test).	Results are below district or BOCES-adopted expectations for growth or achievement of student learning standards for grade/subject.	Overall performance and results need improvement in order to meet standards.
Effective	Results meet State average for similar students (or district goals if no State test).	Results meet district or BOCES-adopted expectations for growth or achievement of student learning standards for grade/subject.	Overall performance and results meet standards.
Highly Effective	Results are well-above State average for similar students (or district goals if no State test).	Results are well-above district or BOCES-adopted expectations for growth or achievement of student learning standards for grade/subject.	Overall performance and results exceed standards.

J. Evaluators, Training, and Certification

- J1. Who conducts evaluations of teachers and principals? What is the difference between an “evaluator” and a “lead evaluator”?

The lead evaluator is the primary person responsible for a teacher or principal's evaluation. Typically, the lead evaluator is the person who completes and signs the summative annual professional performance review. To the extent possible, the principal or his/her designee should be the lead evaluator of a classroom teacher. The lead evaluator of a principal should be the superintendent or BOCES district superintendent or his/her designee.

An evaluator is any individual who conducts an evaluation of a teacher or principal, including any person who conducts an observation or assessment as part of a teacher or principal evaluation. For teachers, an evaluator may be a principal or other trained administrator, or an independent trained evaluator or in-school peer teachers. For principals, an evaluator must be the building principal's supervisor or a trained independent evaluator.

K. Teacher and Principal Improvement Plans

- K1. When/under what circumstances must a district or BOCES implement a teacher or principal improvement plan?

Upon rating a teacher or principal as “developing” or “ineffective” through an annual professional performance review, a school district or BOCES must develop and commence implementation of a teacher or principal improvement plan (TIP and PIP, respectively) for such teacher or principal.

A TIP or PIP must be implemented no later than 10 days after the date on which teachers are required to report prior to the opening of classes for the school year.

- K2. How will teacher and principal improvement plans be developed?

The plans will be developed locally through negotiations.

- K3. What are some potential elements of improvement plans?

An improvement plan defines specific standards-based goals that a teacher or principal must make progress toward attaining within a specific period of time, such as a 12-month period, and may include the identification of areas that need improvement, a timeline for achieving improvement, the manner in which improvement will be assessed, and, where appropriate, differentiated activities to support improvement in these areas.

The plan should clearly describe the professional learning activities that the educator must complete. These activities should be connected directly to the areas needing improvement. The artifacts that the teacher or principal must produce that can serve as benchmarks of their improvement and as evidence for the final stage of their improvement plan should be described and could include items such as lessons, student work, or unit plans. The supervisor must clearly state in the plan the additional support and assistance that the educator will receive. In the final stage of the improvement plan, the teacher or principal should meet with their supervisor to review the plan alongside any artifacts and evidence from evaluations in order to provide a final, summative rating for the teacher or principal.

L. Data Management

- L1. Why is it important for districts and BOCES to follow the Department's data guidelines and definitions?

In order for New York to meet its federal and State requirements, as well as to ensure that the policies on teacher/principal evaluation system are fair and understandable, the Department needs to develop clear guidelines for determining the teachers and principals who are responsible for student instruction for evaluation purposes.

- L2. What kinds of data will districts and BOCES need to collect in order to determine who is the teacher of record for evaluation purposes?

“Teacher of record” is defined in paragraph B5. Districts and BOCES will need to collect additional data elements to support teacher of record determinations. These new data elements include information about the multiple teachers who may be assigned to a course section; differential instructional weightings between teachers and individual students; and changes in teacher assignment, student enrollment, and student attendance over the duration of a course.

- L3. What happens to teachers/principals who move from one district to another? Does their score move? What if they only have part of a score by the end of the school year?

Teachers or principals who change employers in the middle of the year will be evaluated by each employer in accordance with the APPR. The student growth portion will only be part of this evaluation if the teacher or principal was employed at the time that the assessment was administered, and the teacher of record weighting applied to this calculation will be in proportion to the percent of the course duration that the teacher was assigned to the course section.

- L4. What is the student-teacher link verification process? How will you provide guidance to districts regarding collection, verification, and submission of all data and especially student attendance data at the classroom level?

See <http://www.p12.nysed.gov/irs/sirs/documentation/Teacher-CourseDataCollection-final-5-2-11-2.pdf> for detailed guidance related to the collection and reporting of student-teacher linkage data. Additional information will be provided through future field memos, as well as the Student Information Repository System (SIRS) manual found at <http://www.p12.nysed.gov/irs/sirs>.

As with all other performance accountability submitted to the State, each local

district will be responsible for developing a process for teachers, principals, and superintendents to verify that the data submitted to the State are complete and accurate. The State will provide roster verification reports to assist this process using a to-be-determined distribution process.

L5. What new types of information will districts be required to report on teacher and student data?

To ensure comparability among schools and districts, a statewide comprehensive course catalog is required for the reporting of course information. Although schools do not need to adopt these statewide codes for local use, it will be necessary to map local codes to State codes when reporting data to the SIRS. Appendix A (later in this document) lists statewide course codes for all elementary/middle-level courses linked to a State assessment (e.g., Grades 3-8 ELA and mathematics) and for secondary-level courses that prepare students to take a Regents exam upon completion of the course (e.g., Integrated Algebra). NYSED will be working with representatives from the field to develop a course catalog for all remaining courses, to be introduced during the 2011-2012 school year.

The data elements to be reported for teacher of record purposes by BOCES, charter schools, and other public schools are captured in the table below.

The chart below is specific to teacher/principal evaluation data reporting requirements. It is not comprehensive for all staff/course reporting.

Table 4. Data Elements to be Reported for Teacher/Principal Evaluation, by Year Required

	Data Element	2010-11	2011-12	2012-13
1	Unique statewide identifier for all teachers assigned to reported courses	Yes	Yes	Yes
2	Student enrollment in all elementary/middle-level courses linked to a state assessment (e.g., Grades 3-8 ELA and mathematics), using the statewide standardized course codes contained in <u>Appendix A</u>	Yes	Yes	Yes
3	Student enrollment in all secondary-level courses that prepare students to take a Regents exam upon completion of the course (e.g., Integrated Algebra) using statewide standardized course codes contained in <u>Appendix A</u>	Yes (Grades 9 to 12) plus lower grades if the student is taking a Regents examination	Yes (Grades 9 to 12) plus lower grades if the student is taking a Regents examination	Yes (Grades 7 to 12) plus lower grades if the student is taking a Regents examination
4	Duration of reported course section		Yes*	Yes

5	Student-teacher linkage start/end dates for reported course section		Yes*	Yes
6	Duration of student enrollment - teacher assignment linkage duration for reported course section		Yes*	Yes
7 ^{NC}	Duration of student attendance - teacher assignment linkage duration for course section		Yes*	Yes
8 ^{NC}	Student-teacher instructional weightings for reported course section **		Yes*	Yes
9 ^{NC}	Student exclusion-from-evaluation flag for reported course section **		Yes*	Yes
10	Student enrollment in all remaining courses, using to- be-determined statewide standardized course codes		Optional	Yes
11	Evaluation composite score (highly effective, effective, developing, ineffective)		Yes	Yes
12 ^{NC}	Evaluation component scores (student growth, local student achievement, other local)		Yes	Yes
13	Other personnel data to be used for value-added modeling and policy purposes (teacher preparation program, teacher preparation pathway, certifications earned, highest degree status, years in teacher or principal role)	Yes***	Yes	Yes
14 ^{NC}	Other personnel data to be used for policy purposes (tenure status)			Yes

* Student management system vendors were provided with these reporting requirements and are expected to provide their customers with this functionality for the 2011-12 school year.

** Additional requirements to be determined.

*** Data are currently provided by the TEACH Online Services and BEDS Online reporting systems

^{NC} Data element is not required to be reported by charter schools.

2011–2012 School Year

Data elements (1) through (3) are required for all school districts, charter schools and other public schools, **and BOCES**. Elementary school students must be assigned to teachers on a subject-by-subject basis. The comprehensive course catalog will be developed to support the collection of student enrollment and teacher assignment for all elementary-, middle-, and secondary-level courses during the 2012-13 school year. Students will be associated with the principal(s) of their building of enrollment through a matching process with information contained in the SEDREF system (see <http://www.oms.nysed.gov/sedref/home.html>).

Data elements (4) through (9) will be collected from school districts and BOCES to

support an expanded Teacher of Record policy for the 2011-12 school year and beyond, in particular the capacity to assign multiple teachers to course sections and track student-teacher linkages when student enrollments and teacher assignments change over time. Charter schools must report elements (4) through (6), but are not required to report elements (7) through (9).

Data elements (11) through (13) will be collected to support value-added modeling and other policy purposes. These data will be sourced as described below. Charter schools are not required to report data element (12)

Please use the following Teacher of Record guidance when reporting these data for the 2011-11 school year:

For courses included in the 2011-12 school year collection (grades 3-8 ELA and mathematics, grade 4/8 science, and secondary-level courses associated with a Regents exam), the Teachers of Record are those **teachers** who are **primarily and directly responsible** for a student's learning activities that are aligned to the performance measures of the course consistent with guidelines prescribed by the Commissioner.

2012–2013 School Year

Data elements (1) through (14) will be collected for all courses offered by school districts, other public schools, and BOCES. Students will be associated with the principal(s) of their building of enrollment through data collected in the SIRS. Tenure status will be collected to support value-added modeling and other policy purposes, and will be sourced as described below. Charter schools are not required to report elements (7 through (9), (12), and (14).

- L6. What does my district/BOCES/charter school need to do to implement the new data-reporting requirement?

The procedures for reporting these data are similar to those already in place for reporting student demographic, enrollment, program service, assessment, and special education data to the SIRS. For technical support, please contact your regional data center personnel listed at <http://www.p12.nysed.gov/irs/nystart/tips.html#contax>.

- L7. What steps can a district or BOCES take to facilitate participation in the statewide data system in 2011-2012?

The key to successful participation in the statewide data system are student and human resource management systems that contain accurate and complete data for State reporting and subscribes to the appropriate standards for format and content. Schools and districts that have these systems in place will find that transferring data to the SIRS is an efficient process. To ensure that this process is as seamless as possible, please consider the additional recommended steps below:

1. Schools and districts are strongly advised to empower a data coordinator to provide leadership on the collection of data, oversee changes in and maintenance of the local data management systems, and chair a committee of school/district staff charged with ensuring the accuracy of data. This individual should have the authority to assign tasks and deadlines, as required.
2. Verify that your human resource and student management system will be capable of storing these Teacher of Record and other required data elements in the 2011-12 school year.
3. Plan to report subject-level course enrollment for elementary school students no later than the 2011–12 school year.
4. BOCES-operated programs and other schools that may not have a student management system with the capacities described above should continue to make the necessary arrangements to comply with these State requirements.
5. Develop the procedures and train staff to implement the collection, reporting, and verification steps outlined above.

L8. What is the process for reporting professional staff and student course data?

1. For the initial teacher data collection, NYSED provided a statewide unique identifier for every certified professional or person who has been fingerprinted to meet public school employment requirements, who was reported as employed by a school district or charter school or BOCES as of October 6, 2010 (“BEDS Day”), and whose information was contained in the TEACH Online Services system (additional information on TEACH can be found at <http://www.highered.nysed.gov/tcert/teach/home.html>). These identifiers were extracted from TEACH and are available through the Information and Reporting Services Portal (IRSP) application on the NYSED Business Portal at <http://portal.nysed.gov>. Information on how to access this application can be found at <http://www.p12.nysed.gov/irs/irs-portal>. Information on how to provision accounts for authorized users can be found at <http://www.p12.nysed.gov/seddas/seddashome.html>.

Statewide unique identifiers for professionals not contained in the file provided by NYSED (e.g., a new staff member not employed by the school or district on BEDS Day) are available through TEACH via the NYSED Business Portal at <http://portal.nysed.gov>. Authorized school district personnel may retrieve these identifiers on an as-needed basis.

2. Schools and districts should develop a process to enter and maintain the statewide unique staff identifier in the local human resource data system for all existing and newly hired staff.

3. Local course codes will need to be matched to the statewide standardized course codes in Appendix A.
4. For the 2011-12 school year, data elements (2) through (9) above will need to be extracted from your school's student management system and reported to the SIRS. Data element (1) will need to be extracted from your school's human resource management system to be reported. This process is similar to those used when using current SIRS data reporting extracts.

The guidelines for use of student-teacher instructional weighting and student exclusion flags will be distributed once additional policies have been formulated.

It is anticipated that data elements (11) and (12) above will be extracted from your school's human resource management system. It is anticipated that data elements (13) will be available through the TEACH system (teacher preparation program, teacher preparation pathway, and certifications earned) and the BEDS Online reporting system (highest degree status, years in teacher or principal role, see <http://www.p12.nysed.gov/irs/beds/>).

5. Beginning with the 2012-13 school year, data elements (1) through (13) will be sourced as described above through your school's student or human resource management system. It is anticipated that data element (14) will be sourced from your school's human resource management system.

L9. When can districts and schools begin the process of verifying their data?

Preliminary teacher/course verification reports for districts and schools will be available in June 2011. Additional roster verification reports will be available to teachers and principals during the 2011-12 school year. Schools are encouraged to begin to plan their data verification processes now, including identifying those responsible for coordinating and supporting these verification efforts.

M. Charter Schools

M1. How does 3012-c apply to charter schools?

Although public charter schools are not legally required to implement Education Law §3012-c, for purposes of participation in the State's RTTT plan and receiving funds to implement Section D activities, charter schools must evaluate all classroom teachers and building principals using a comprehensive annual evaluation system that is consistent with the following elements of Education Law §3012-c:

- (1) is based on multiple measures of effectiveness, including 40% student achievement measures, which would result in a single composite effectiveness score for every teacher and principal;
- (2) differentiates effectiveness for teachers and principals using the following four rating categories: Highly Effective, Effective, Developing, and Ineffective; and use such annual evaluations as a significant factor for employment decisions including promotion, retention, supplemental compensation, and professional development; and
- (3) provides for the development and implementation of improvement plans for teachers or principals rated Developing or Ineffective.

If a public charter school's teachers and/or principals are represented by a collective bargaining agent, such charter school must certify that any contracts comply with the relevant provisions of Education Law §3012-c as stated above before the Section D apportionment will be available to spend on implementation activities. If a public charter school's teachers and/or principals are not represented by a collective bargaining agent, such charter school must certify that it has established a teacher and principal evaluation system that is consistent with the three elements of Education Law §3012-c described above.

M2. What data must charter schools submit?

Section 119.3 of the Regulations of the Commissioner of Education requires charter schools to submit basic educational data and data on academic and fiscal performance. Additionally, Education Law section 215, which applies to both school districts and educational corporations such as charter schools, requires the submission of reports containing such information as the Regents or the Commissioner may prescribe.

The specific data elements that must be submitted by charter schools are outlined in the table above and at <http://www.p12.nysed.gov/irs/sirs/documentation/Teacher-CourseDataCollection-final-5-2-11-2.pdf>.

N. Collective Bargaining

QUESTIONS AND ANSWERS RELATED TO COLLECTIVE BARGAINING AGREEMENTS AND THE NEW COMPREHENSIVE TEACHER AND PRINCIPAL EVALUATION LAW (EDUCATION LAW §3012-c AS ADDED BY CHAPTER 103 OF THE LAWS OF 2010)

Disclaimer: This document constitutes the position of the Department relating its interpretation of Education Law §3012-c and other applicable laws. Please note that any matters relating to collective bargaining issues are within the jurisdiction of the New York State Public Employee Relations Board. Therefore, please consult with your school district attorney on matters relating to interpretation of the Taylor Law.

N1. RELATIONSHIP OF THE NEW LAW TO EXISTING AGREEMENTS

- (a) What is the relationship of the new law to evaluation provisions contained in existing collective bargaining agreements? What are the immediate obligations of school districts and BOCES?

Education Law §3012-c requires that all collective bargaining agreements for teachers and building principals entered into after July 1, 2010 be consistent with its provisions. It further provides that any conflicting provisions of collective bargaining agreements in effect on July 1, 2010 are not abrogated and remain in effect until there is a successor agreement. In such case, upon entry into a successor agreement, the provisions of Education Law §3012-c apply and the successor agreement must be consistent with the provisions of this section. For example, a successor agreement cannot require that only 15% of all classroom teachers' evaluations be based on student growth on State assessments. This would be inconsistent with Education Law §3012-c.

- (b) What if my district's or BOCES' collective bargaining agreement is effective for three more years? Does the law permit us to modify the evaluation provisions of our contract sooner?

Yes. The law specifically permits districts, BOCES and their local collective bargaining agents to re-negotiate the evaluation provisions in their collective bargaining agreements at any time. It is also possible for a school district or BOCES and their respective teachers' or principals' union to enter into agreements outside their collective bargaining contract to re-negotiate their evaluation process to be consistent with the provisions of Education Law §3012-c. The Department strongly encourages parties with ongoing contracts to consider re-negotiating any inconsistent provisions in their agreements as soon as possible to hasten statewide implementation of the new evaluation system.

N2. INCORPORATING THE PROVISIONS OF THE NEW LAW INTO AGREEMENTS

- (a) Do new contracts need to reference all the provisions of the new law, i.e., percentages relating to teacher and principal effectiveness and student growth?

No. New collective bargaining agreements do not need to reference all the provisions of the new law. The new agreements and any evaluation system for teachers and principals, however, shall not be inconsistent with the provisions of Education Law 3012-c.

- (b) Must agreements negotiated after July 1, 2010, include provisions linking teacher and principal evaluations and ratings to supplemental compensation?

Pursuant to Education Law section 3012-c all collective bargaining agreements applicable to classroom teachers and building principals entered into after July 1, 2010 shall be consistent with the new law. The law requires that the new evaluations be a significant factor for employment decisions, including, but not limited to promotion, retention, tenure determination, termination and supplemental compensation as well as teacher and principal professional development.

What this means is that any new agreements entered into after this date must allow for the new teacher and principal evaluations to be a significant factor in employment decisions, including, but not limited to, supplemental compensation, in accordance with the phase in schedule required by the law.

- (c) What happens if a CBA is silent on evaluations? Would it be a violation of the Taylor Law to enforce?

Education Law §3012-c provides as follows:

Nothing in this section shall be construed to abrogate any conflicting provisions of any collective bargaining agreement in effect on July 1, 2010 during the term of such agreement and until the entry into a successor collective bargaining agreement, provided that notwithstanding any other provision of law to the contrary, upon expiration of such term and the entry into a successor collective bargaining agreement the provisions of this section shall apply.

However, this section further provides that "nothing in this section or in any rule or regulation promulgated hereunder shall in any way, alter, impair or diminish the rights of a local collective bargaining representative to negotiate evaluation

procedures in accordance with article 14 of the Civil Service Law with the school district or board of cooperative educational services."

The New York State Court of Appeals has held that "[w]here [a collective bargaining agreement] is silent respecting the matter in dispute, unilateral action by a public employer changing terms and conditions of employment violates the statutory duty to bargain and constitutes an improper practice" (Roma, et al. v. Ruffo, et al., 92 NY2d 489 [1998]). At that point, the district and the union have a duty to bargain these issues. However, to the extent that the collective bargaining agreement is silent on issues that are not considered terms and conditions of employment or evaluation procedures (i.e., evaluation criteria or the standards of evaluation) in Education Law §3012-c, it appears a district could unilaterally impose these requirements. A district should consult with their school attorney to determine what aspects of the new law the district must comply with in light of the Taylor Law.

N3. IMPASSE

- (a) What happens if my district's or BOCES' collective bargaining agreement expires after July 1, 2010, but contract negotiations are stalled and a new agreement cannot be reached?

Education Law §3012-c provides that any inconsistent provisions in an agreement in effect on July 1, 2010 continue until entry into a successor agreement. While contract provisions may not be abrogated during this period, districts and BOCES must continue to abide by the applicable provisions of the current APPR regulation for the evaluation of their teachers and building principals (section 100.2[o] of the Commissioner's regulations) (see below).

- (b) What if a school district and its teacher and/or principal bargaining unit(s) are at an impasse in negotiations. Can the district unilaterally decide to comply with Education Law §3012-c?

Under section 209-a(1)(d) of the Civil Service Law school districts must "negotiate in good faith with the duly recognized or certified representatives of its public employees." The Public Employee Relations Board has held that in certain circumstances, boards can unilaterally impose its bargaining position on the union (see Wappingers Falls [5 PERB 3074]).

The Public Employees Relations Board has held that a school board may unilaterally change a term and condition of employment where: (1) the board has negotiated a change in good faith by negotiating with the employee organization to the point of impasse; (2) it continues thereafter to negotiate the issue; and (3) there are compelling reasons for the board to unilaterally act.

Ultimately, the Public Employee Relations Board will need to make a determination as to whether these factors exist.

N4. INTERPLAY BETWEEN NEW LAW (Education Law §3012-c) AND EXISTING APPR REGULATION (8 NYCRR §100.2[o])

- (a) How does the new law relate to §100.2(o) of the Commissioner's regulations governing the Annual Professional Performance Review (APPR) of teachers and principals? Are school districts and BOCES required to comply with §100.2(o) of the Commissioner's regulations governing the APPR of teachers and principals for the 2011-2012 school year?

The new statewide evaluation system established by section 3012-c builds on, and does not eliminate, the existing APPR regulations. Specifically, Education Law §3012-c(3) provides:

Nothing in this section shall be construed to excuse school districts or boards of cooperative educational services from complying with the standards set forth in the regulations of the commissioner for conducting annual professional performance reviews of classroom teachers or principals, including but not limited to required quality rating categories, in conducting evaluations prior to July first, two thousand eleven, or, for classroom teachers or principals subject to paragraph (c) of subdivision two of this section, prior to July 1, two thousand twelve.

Therefore, school districts and BOCES must comply with the requirements in §100.2(o) of the Commissioner's regulations for all classroom teachers and building principals prior to July 1, 2010 and thereafter as the provisions of the new law phase in. In other words, even during the first year of the new comprehensive statewide system (i.e. 2011-2012), school districts and BOCES must comply with the applicable provisions of §100.2(o) for all classroom teachers and building principals, even for those whom the new statutory system has not yet phased in. In effect, during the phase-in of the new system, districts and BOCES will be operating a dual system of evaluations.

Recent amendments to §100.2(o) apply to all classroom teacher evaluations conducted on or after July 1, 2011. Among other things, the revised APPR regulations require that annual evaluations incorporate student growth and use four prescribed rating categories (highly effective, effective, developing and ineffective). As noted above, these provisions will be effective for all classroom teachers beginning July 1, 2011 as the new law phases in. New regulatory requirements were also recently enacted for building principals for the 2011-2012 school year. In essence, the new regulation requires that each school district

and BOCES annually review the performance of all building principals, according to procedures developed by such body in consultation with such building principals.

- (b) Can a school district or BOCES still seek a variance from the requirements set forth in §100.2(o) of the Commissioner's regulations?

Yes, limited variances continue to be available. Section 100.2(o)(2)(vi) of the Commissioner's regulations provide:

- (a) A variance shall be granted from a requirement of this paragraph, upon a finding by the commissioner that a school district or BOCES has executed prior to May 1, 2010, an agreement negotiated pursuant to article 14 of the Civil Service Law whose terms continue in effect and are inconsistent with such requirement.

Therefore, a school district or BOCES may be granted a variance from certain provisions of §100.2(o) if the Commissioner finds that a provision in a collective bargaining agreement executed prior to May 1, 2010 is inconsistent with a requirement in the regulation. Any such variance would only be effective until the school district or BOCES enters into a successor agreement. As noted above, all agreements entered into after July 1, 2010 must be consistent with the new law and incorporate its provisions.

N5. OTHER LOCALLY SELECTED MEASURES SUBCOMPONENT

- (a) Sections 3012-c(2)(e)(ii) and (f)(ii) require that 20% of an APPR be based on other locally selected measures of student achievement that are determined to be rigorous and comparable across classrooms in accordance with the Commissioner's regulations. Does this mean that a school district or BOCES is required to negotiate what assessments or locally selected measures the school district or BOCES uses for the evaluation of its classroom teachers and building principals?

No, a school district or BOCES is required to negotiate the procedures for selecting the local measures of student achievement, but not the substance of those measures (i.e., the assessment chosen or whether the local measure is a group or team metric). The Department believes the selection of assessments and/or measures of student achievement are inextricably intertwined with curriculum decisions and the setting of

educational standards, which are within the exclusive province of school district and BOCES officials and are not subject to collective bargaining.

N6. APPEAL PROCEDURES

- (a) Does the locally negotiated appeal process override a school district's or BOCES' authority to terminate a probationary teacher?

No, the appeal procedures do not erode the authority of a governing body of a school district or BOCES to terminate probationary teachers or principals during their probationary term consistent with applicable laws and regulations (see Commissioner's regulations §§30-2.1(d); 30-2.11[c]). Generally, a board of education has the unfettered right to terminate a probationary teacher or administrator's employment for any reason unless the employee establishes that he or she was terminated for a constitutionally impermissible reason or in violation of a statutory proscription (Education Law §3012[1][b]).

- (b) Can a locally negotiated appeal procedure cause a teacher or principal to acquire tenure by estoppel when an evaluation appeal is pending?

No, section 3012-c of the Education Law requires that annual professional performance reviews be a significant factor in tenure determinations. However, there is nothing that requires that an appeal be exhausted before a tenure determination can be made. On the contrary, appeal procedures shall not cause a teacher or principal to acquire tenure by estoppel when an evaluation appeal is pending that would otherwise prevent the governing body of a school district or BOCES from making tenure decisions with statutorily prescribed timelines (see Commissioner's regulations §§30-2.1(d); 30-2.11[c]).

- (c) Section 3012-c indicates that annual professional performance reviews must be a significant factor in employment decisions, including tenure determinations? Must a district or BOCES wait until all three annual professional performance reviews are conducted before a tenure decision can be made?

No, use of annual professional performance reviews as a significant factor in employment decisions does not alter the statutory authority of the governing body of a school district or BOCES to make tenure decisions (see Commissioner's regulations §30-12.1[d]). A school district or BOCES shall factor in any annual professional reviews that have been conducted at the time the employment decision is made. However, it

need not wait until all three annual professional reviews are conducted (if an employee has a three year probationary appointment) to make a tenure determination.

O. Model Appeal Procedures

Section 3012-c of the Education Law establishes a comprehensive annual evaluation system for classroom teachers and building principals, as well as the issuance and implementation of improvement plans for teachers and principals whose performance is assessed as either developing or ineffective.

To the extent that a teacher/principal wishes to challenge a performance review and/or improvement plan under the new evaluation system, the law requires the establishment of an appeals procedure, the specifics of which are to be locally negotiated pursuant to article XIV of the Civil Service Law.

To assist the field in developing these procedures, the Department is sharing the following model appeal procedure with school districts and BOCES for use in their negotiations.

This model appeal procedure addresses a teacher's or principal's due process rights while ensuring that appeals are resolved in an expeditious manner.

APPEALS OF INEFFECTIVE AND DEVELOPING RATINGS ONLY

Appeals of annual professional performance reviews should be limited to those that rate a teacher/principal as ineffective or developing only. Additional procedures may be appropriate where compensation decisions are linked to rating categories.

WHAT MAY BE CHALLENGED IN AN APPEAL

Appeal procedures should limit the scope of appeals under Education Law §3012-c to the following subjects:

- (1) the school district's or board of cooperative educational services' adherence to the standards and methodologies required for such reviews, pursuant to Education Law §3012-c;
- (2) the adherence to the Commissioner's regulations, as applicable to such reviews;
- (3) compliance with any applicable locally negotiated procedures applicable to annual professional performance reviews or improvement plans; and
- (4) the school district's or board of cooperative educational services' issuance and/or implementation of the terms of the teacher or principal improvement plan under Education Law §3012-c.

PROHIBITION AGAINST MORE THAN ONE APPEAL

A teacher/principal may not file multiple appeals regarding the same performance review or teacher improvement plan. All grounds for appeal must be raised with

specificity within one appeal. Any grounds not raised at the time the appeal is filed shall be deemed waived.

BURDEN OF PROOF

In an appeal, the teacher or principal has the burden of demonstrating a clear legal right to the relief requested and the burden of establishing the facts upon which petitioner seeks relief.

TIMEFRAME FOR FILING APPEAL

All appeals must be submitted in writing no later than 15 calendar days of the date when the teacher or principal receives their annual professional performance review. If a teacher/principal is challenging the issuance of a teacher or principal improvement plan, appeals must be filed with 15 days of issuance of such plan. The failure to file an appeal within these timeframes shall be deemed a waiver of the right to appeal and the appeal shall be deemed abandoned.

When filing an appeal, the teacher or principal must submit a detailed written description of the specific areas of disagreement over his or her performance review, or the issuance and/or implementation of the terms of his or her improvement plan and any additional documents or materials relevant to the appeal. The performance review and/or improvement plan being challenged must also be submitted with the appeal. Any information not submitted at the time the appeal is filed shall not be considered.

TIMEFRAME FOR DISTRICT/BOCES RESPONSE

Within 15 calendar days of receipt of an appeal, the school district or BOCES staff member(s) who issued the performance review or were or are responsible for either the issuance and/or implementation of the terms of the teacher's or principal's improvement plan must submit a detailed written response to the appeal. The response must include any and all additional documents or written materials specific to the point(s) of disagreement that support the school district's or BOCES' response and are relevant to the resolution of the appeal. Any such information that is not submitted at the time the response is filed shall not be considered in the deliberations related to the resolution of the appeal. The teacher or principal initiating the appeal shall receive a copy of the response filed by the school district or BOCES, and any and all additional information submitted with the response, at the same time the school district or BOCES files its response.

DECISION-MAKER ON APPEAL

A decision shall be rendered by the superintendent of schools or the superintendent's designee, or the chancellor of a city school district in a city having a population of one million or more or such Chancellor's designee, except that an appeal may not be decided by the same individual who was responsible for making the final

rating decision. In such case, the board of education, or the chancellor in the case of a city having a population of one million or more, shall appoint another person to decide the appeal.

DECISION

A written decision on the merits of the appeal shall be rendered no later than 30 calendar days from the date upon which the teacher or principal filed his or her appeal. The appeal shall be based on a written record, comprised of the teacher's or principal's appeal papers and any documentary evidence accompanying the appeal, as well as the school district or BOCES' response to the appeal and additional documentary evidence submitted with such papers. Such decision shall be final.

The decision shall set forth the reasons and factual basis for each determination on each of the specific issues raised in the teacher's or principal's appeal. If the appeal is sustained, the reviewer may set aside a rating if it has been affected by substantial error or defect, modify a rating if it is affected by substantial error or defect or order a new evaluation if procedures have been violated. A copy of the decision shall be provided to the teacher or principal and the evaluator or the person responsible for either issuing or implementing the terms of an improvement plan, if that person is different.

EXCLUSIVITY OF SECTION 3012-C APPEAL PROCEDURE

The 3012-c appeal procedure shall constitute the exclusive means for initiating, reviewing and resolving any and all challenges and appeals related to a teacher/principal performance review and/or improvement plan. A teacher/principal may not resort to any other contractual grievance procedures for the resolution of challenges and appeals related to a professional performance review and/or improvement plan, except as otherwise authorized by law.

P. State Course Codes for 2010-2011 and 2011-2012

(State) Course Code	Course Name
01300	Grade 3 English Language Arts
02300	Grade 3 Mathematics
01400	Grade 4 English Language Arts
02400	Grade 4 Mathematics
01500	Grade 5 English Language Arts
02500	Grade 5 Mathematics
01600	Grade 6 English Language Arts
02600	Grade 6 Mathematics
01700	Grade 7 English Language Arts
02700	Grade 7 Mathematics
01800	Grade 8 English Language Arts
02800	Grade 8 Mathematics
03400	Grade 4 Science
03800	Grade 8 Science
01003	English/Language Arts III
02052	Algebra I
02072	Geometry
02106	Trigonometry/Algebra
03051	Biology
03101	Chemistry
03001	Earth Science
03151	Physics
06123	French III
06203	German III
06703	Hebrew III
06143	Italian III
06303	Latin III
06103	Spanish III
04101	U.S. History—Comprehensive
04052	World History and Geography
(State) Course Code	Course Name
01300	Grade 3 English Language Arts

The courses listed above are associated with the assessments listed below. (In some instances, an accelerated student in a Regents course may also take a grade level assessment to meet his or her testing requirements.)

Course Name	Assessment	Assessment Code
Grade 3 English Language Arts	ELA	00800
Grade 3 Mathematics	Math	00801
Grade 4 English Language Arts	ELA	00006
Grade 4 Mathematics	Math	00008
Grade 4 Science (Final Test Score)	Science	00029
Grade 5 English Language Arts	ELA	00802
Grade 5 Mathematics	Math	00803
Grade 6 English Language Arts	ELA	00804
Grade 6 Mathematics	Math	00805
Grade 7 English Language Arts	ELA	00806
Grade 7 Mathematics	Math	00807
Grade 8 English Language Arts	ELA	00009
Grade 8 Mathematics	Math	00010
Grade 8 Science (Final Test Score)	Science	00034

Course Name	Assessment Code
Regents Comprehensive English – January	01040
Regents Comprehensive English – June	06040
Regents Comprehensive English – January/June	16040
Regents Examination in Integrated Algebra – January	01204
Regents Examination in Integrated Algebra – June	06204
Regents Examination in Geometry – January	01205
Regents Examination in Geometry – June	06205
Regents Examination in Algebra 2/Trigonometry - January	01206
Regents Examination in Algebra 2/Trigonometry - June	06206
Regents Living Environment – January	01059
Regents Living Environment – June	06059
Regents Physical Setting/Chemistry – January	01201
Regents Physical Setting/Chemistry – June	06201
Regents Physical Setting/ Earth Science – January	01200
Regents Physical Setting/ Earth Science – June	06200
Regents Physical Setting/Physics – January	01202
Regents Physical Setting/Physics – June	06202
Regents Comprehensive French – January	01053
Regents Comprehensive French – June	06053
Regents Comprehensive Italian – June	06056
Regents Comprehensive Spanish – January	01058
Regents Comprehensive Spanish – June	06058
Regents U.S. History and Government – January	01052
Regents U.S. History and Government – June	06052
Regents Global History and Geography – January	01203
Regents Global History and Geography – June	06203