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To: District Superintendents of BOCES
Superintendents of Schools

From: Alexander Trikalinos *Alex Trikalinos*
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Subject: Annual Professional Performance Review Data Submission and
Certification Deadlines for the 2017-18 School Year

Date: September 5, 2018

This memorandum provides continuing information regarding several APPR data collection and reporting deadlines. This memo supports the information shared on the [“Resources for Closeout of 2017-18 APPR”](#) page on EngageNY and the [July 25, 2018 memo](#).

As a reminder, when districts and BOCES submitted their APPR Implementation Certification form, they assured the Department that all staff evaluation data will be submitted to the Department by the date requested, and that these data will be a complete and accurate representation of the information requested and include the Required and Optional Student Performance subcomponent scores, the Required and Optional Teacher Observation/Principal School Visit subcomponent scores, the Overall rating, and all applicable transition scores and ratings for all teachers and principals employed by the district or BOCES. Please see the Department’s [APPR Transition Guidance](#) for additional information.

Therefore, to be eligible for an increase in State aid for 2018-19, all districts must report their Original and Transition (where applicable) subcomponent scores and overall ratings by November 2, 2018. Local Level 1 data centers may require earlier due dates to allow sufficient time for processing. Please contact your Local Level 1 data center if you do not know their processing dates.

Date	Event	Description/Information
August 6, 2018 – November 2, 2018	Final submission of 2017-18 Evaluation Ratings, and Subcomponent Scores	<p>LEAs will report 2017-18 staff evaluation data to the Commissioner through the Student Information Repository System (SIRS) for all applicable teachers and principals. These data must be submitted by November 2, 2018. (Please note: staff evaluation data can only be reported if the staff person was also reported in Staff Snapshot in 2017-18.)</p> <p>All final and complete data, including original and transition (where applicable) scores for the Required and Optional Student Performance subcomponents and the Required and Optional Teacher Observation/Principal School Visit subcomponents, and the Overall rating.</p> <p>Complete 2017-18 Staff Evaluation Rating data must be submitted by November 2, 2018 for a district to be eligible for their increase in State aid.</p>
November 9, 2018	2017-18 Statement of Confirmation of Staff Evaluation Implementation and Rating Verification Report(s) due	<p>This form certifies the accuracy of the Staff Evaluation Rating data submitted as of the November 2, 2018 deadline. This form is required to be signed by the LEA's certifying official who verifies the data provided in the Staff Evaluation Rating Verification Report(s) generated by L2RPT.</p> <p>The certification form will be available and must be submitted in SED Monitoring through NYSED's Application Business Portal.</p>

Reporting Requirements Related to Education Law §3012-d

All public school districts and BOCES are required to submit 2017-18 school year data to SIRS that include staff evaluation ratings used for APPR. Please share this information with personnel in your organization who have responsibility for data collection and reporting. *Please note that both **Original and Transition scores in each subcomponent and Original and Transition Overall ratings** must be reported for all educators whose APPR measures incorporate the results of the grades 3-8 ELA and math State assessments and/or State-provided growth scores. For educators whose APPR measures **do not** include the results of the grades 3-8 ELA and math State assessments and/or State-provided growth scores, **only Original scores and ratings** are required.*

The table below summarizes the data elements that are required to be submitted for each teacher and principal evaluation **under Education Law §3012-d** via the Staff Evaluation Rating Template for the 2017-18 school year, exported from your local data system and submitted to the New York State Education Department's Student Information Repository System (SIRS).

Evaluation Category under Education Law §3012-d	Description
Overall Rating	<p>Reported using the following codes: OCR04 = highly effective, OCR03 = effective, OCR02 = developing, OCR01 = ineffective for Original ratings based on the matrix prescribed in Education Law §3012-d(5).</p> <p>Reported using the following codes: TOCR04 = highly effective, TOCR03 = effective, TOCR02 = developing, TOCR01 = ineffective for Transition ratings, as applicable, based on the matrix prescribed by Education Law §3012-d(5).</p>
Teacher Observation/Principal School Visit Category	<p>Original Required Teacher Observation/Principal School Visit subcomponent scores reported as a value of 0.00 or a number from 1.00-4.00, using the following code: REQOB.</p> <p>Transition Required Teacher Observation/Principal School Visit subcomponent scores, as applicable, reported as a value of 0.00 or a number from 1.00-4.00, using the following code: TREQOB.</p> <p>Original Optional Teacher Observation/Principal School Visit subcomponent scores, as applicable, reported as a number from 1.00-4.00, using the following code: OPTOB.</p> <p>Transition Optional Teacher Observation/Principal School Visit subcomponent scores, as applicable, reported as a number from 1.00-4.00, using the following code: TOPTOB.</p>
Student Performance Category	<p>Original Required Student Performance subcomponent reported as a whole number from 0-20, using the following code: REQSP.</p> <p>Transition Required Student Performance subcomponent scores, as applicable, reported as a whole number from 0-20, using the following code: TREQSP.</p> <p>Original Optional Student Performance subcomponent scores, as applicable, reported as a whole number from 0-20, using the following code: OPTSP.</p> <p>Transition Optional Student Performance subcomponent scores, as applicable, reported as a whole number from 0-20, using the following code: TOPTSP.</p>

If you have any questions about these technical data reporting requirements, please contact your RIC or Big 5 City School District data center or the Office of Information and Reporting Services through [Datasupport](#).

If you have any questions or require technical assistance with your APPR plan, please contact educatoreval@nysed.gov. Please also see the [APPR Guidance documents](#) for further information on evaluation ratings resulting from APPR plans approved pursuant to Education Law §3012-d. All districts and BOCES have an APPR Summary available through the [IRS Portal](#) to assist with the calculation, distribution, and data submission of staff evaluation scores and ratings. An explanation and examples of the APPR

Summary, other [helpful information for the closeout of 2017-18 APPR](#), and [resources related to Education Law §3012-d](#) are available on EngageNY.

Frequently Asked Questions

General Questions

Q1: Other than the 2017-18 APPR Implementation Certification Form, what further information is required to be submitted to the Department to demonstrate full implementation of my district's 2017-18 APPR plan?

A: LEAs must report 2017-18 final and complete data, including Original and, where necessary, Transition scores and ratings for all applicable teachers and principals to the New York State Education Department's Student Information Repository System (SIRS) by November 2, 2018.^{1,2,3} Required elements can be found in the table in Q10 of this FAQ.

In addition, the 2017-18 Statement of Confirmation of Staff Evaluation Rating Verification Report is required to be signed by the LEA's certifying official who verifies the data submitted to the Department by November 9, 2018. By signing the Implementation Certification form that was due to the Department on August 24, 2018, LEAs assured that all data will be submitted to the Commissioner starting on August 6, 2018 to the extent practicable, and that all data submitted to the Commissioner by November 2, 2018 will be a complete and accurate representation of the information requested and includes all required scores and ratings consistent with the implemented 2017-18 APPR plan for all teachers and principals employed by the district or BOCES, for the 2017-18 school year.

However, please be advised that pursuant to Education Law §3012-c(9)⁴, the Department reserves the right to monitor and take appropriate action with districts, including potential loss of State aid, if a district is not fully implementing their approved APPR plan in accordance with the law and regulations.

Q2: When is the information related to the 2017-18 APPR due to the Department?

A: Submission of staff evaluation data for classroom teachers and building principals for the 2017-18 school year is required to be submitted starting on August 6 to the extent practicable; however, the submission of 2017-18 full and complete data, including all required Original and Transition (where applicable) scores and ratings consistent with the implemented 2017-18 APPR plan are due to the Department by no later than **November 2, 2018**^{5,6} Please note: Local Level 1 data centers will require earlier due dates to allow sufficient time for processing.

In addition, the Statement of Confirmation of 2017-18 Staff Evaluation Rating Certification Report form is required to be signed by the LEA's certifying official by **November 9, 2018**.

¹ Please see [Executive Director Alexander Trikalinos' July 25, 2018 memorandum](#).

² Please see Section M5 of the [§3012-d APPR Guidance](#).

³ Please see Sections C21-C28 of the [§3012-d APPR Guidance](#).

⁴ Education Law §3012-c(9) is made applicable to APPRs completed pursuant to Education Law §3012-d through Education Law §3012-d(15) and §30-3.13 of the Rules of the Board of Regents.

⁵ Please see [Executive Director Alexander Trikalinos' July 25, 2018 memorandum](#).

⁶ Please see Section C26 of the [§3012-d APPR Guidance](#).

Q3: Why do we need to submit this information? What happens if we do not submit data?

A: If your school district/BOCES has a 2017-18 APPR plan approved by the Commissioner, it is expected that the district/BOCES will have taken the steps necessary to carry out the evaluations of classroom teachers and building principals in accordance with the approved APPR plan. Therefore, the Commissioner requires proof of submission of preliminary staff evaluation data for classroom teachers and building principals for the 2017-18 school year by no later than August 6, 2018, to the extent practicable, and a certification by the superintendent of schools that final, complete data including all required Original and Transition (where applicable) scores and ratings consistent with the implemented 2017-18 APPR plan will be submitted by November 2, 2018.⁷ As a reminder, pursuant to Education Law §3012-d(11), school districts must demonstrate that they have implemented their APPR plans in the prior school year in order to be eligible for an increase in State aid for the coming school year.

Data Submission Questions:

Q4: How are the data submitted?

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

Q5: What format should be used to submit the data?

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

Q6: Are we required to report both teacher and principal data?

A: Yes, both teacher and principal data are required to be submitted to the Department.

Q7: What educator ID should be used when submitting the data?

A: Staff Evaluation Rating records can be submitted using either the local ID (field 2) or the Alternate Staff (TEACH) ID (field 14). Either field 2 or field 14 is used, not both. The ID used (field 2 or 14) must match that defined in the Staff Snapshot table. This ID matches the staff person's TEACH ID held in the NYSED's Teacher certification database.

⁷Please see Section C27 of the [§3012-d APPR Guidance](#).

Q8: Do Transition scores and ratings need to be submitted for all educators?

A: During the transition period (2015-16 through 2018-19), Transition scores and ratings are required to be submitted in addition to Original scores and ratings **only** for those educators whose evaluation scores and ratings are determined using the NYS grades 3-8 ELA/Math assessments or State-provided growth scores, in whole or in part.

Districts/BOCES need to report only Original staff evaluation scores and ratings for those educators whose evaluation scores and ratings **are not** determined using the NYS grades 3-8 ELA/Math assessments or State-provided growth scores.

Detailed information on the determination of transition scores and ratings can be found in the Department's [APPR Transition Guidance](#). Further information on the submission of transition scores and ratings is included on EngageNY under [Resources for Closeout of 2017-18 APPR](#).

Q9: How do we determine which educators receive Transition scores and ratings?

A: All educators whose evaluation scores and ratings are determined using the NYS grades 3-8 ELA/Math assessments or State-provided growth scores, in whole or in part require Transition scores and ratings. These educators are found in Task 2/Task 7 Transition of the approved APPR plan for 2017-18.

APPR summaries have been posted in the [IRS Portal](#) for all districts and BOCES with approved APPR plans for the 2017-18 school year. This APPR summary provides information from the approved APPR plan on measures and assessments, HEDI scoring ranges for observations and principal school visits, and subcomponent weighting, as applicable. The APPR summary is broken into groups of educators based on the use of optional subcomponents and the type of scores and ratings needed (original/transition). Each summary also provides a description of the items that should be distributed to educators as their final staff evaluation and those that should be submitted to the Department for the November 2, 2018 staff evaluation data submission deadline.

Detailed information and examples of the APPR summaries can be found on the [Resources for Closeout of 2017-18 APPR page](#) on EngageNY. Questions regarding the APPR summaries can be directed to EducatorEval@nysed.gov. Regional Information Centers have also received an APPR summary for all LEAs in their area.

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

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

Evaluation Category under Education Law §3012-d	Description
Overall Rating	<p>Reported using the following codes: OCR04 = highly effective, OCR03 = effective, OCR02 = developing, OCR01 = ineffective for Original ratings based on the matrix prescribed in Education Law §3012-d(5).</p> <p>Reported using the following codes: TOCR04 = highly effective, TOCR03 = effective, TOCR02 = developing, TOCR01 = ineffective for Transition ratings, as applicable, based on the matrix prescribed by Education Law §3012-d(5).</p>
Teacher Observation/Principal School Visit Category	<p>Original Required Teacher Observation/Principal School Visit subcomponent scores reported as a value of 0.00 or a number from 1.00-4.00, using the following code: REQOB.</p> <p>Transition Required Teacher Observation/Principal School Visit subcomponent scores, as applicable, reported as a value of 0.00 or a number from 1.00-4.00, using the following code: TREQOB.</p> <p>Original Optional Teacher Observation/Principal School Visit subcomponent scores, as applicable, reported as a number from 1.00-4.00, using the following code: OPTOB.</p> <p>Transition Optional Teacher Observation/Principal School Visit subcomponent scores, as applicable, reported as a number from 1.00-4.00, using the following code: TOPTOB.</p>
Student Performance Category	<p>Original Required Student Performance subcomponent reported as a whole number from 0-20, using the following code: REQSP.</p> <p>Transition Required Student Performance subcomponent scores, as applicable, reported as a whole number from 0-20, using the following code: TREQSP.</p> <p>Original Optional Student Performance subcomponent scores, as applicable, reported as a whole number from 0-20, using the following code: OPTSP.</p> <p>Transition Optional Student Performance subcomponent scores, as applicable, reported as a whole number from 0-20, using the following code: TOPTSP.</p>

Q11: Can the reported numerical scores contain decimals?

A: Required Teacher Observation/Principal School Visit subcomponent scores will be a score of 0.00 or from 1.00 to 4.00, Optional Teacher Observation/Principal School Visit subcomponent scores will be a score from 1.00 to 4.00. These scores may contain up to two decimal places (see, e.g., pages 26 and 27 of [APPR Guidance \(§3012-d\)](#)).

Required and Optional Student Performance subcomponent scores may not report be reported as decimals and should be a whole number from 0 to 20.

Q12: How do I find out if our data has been submitted to the Department? I think we submitted our full and complete data set, but I would like to confirm and verify the data. How do we do so?

A: Your submitted data can be viewed in L2RPT- SIRS 325 Staff Evaluation Rating Verification Report in the Level 2 (L2RPT) Reporting System. If your data is not available in L2RPT, please follow typical protocol for questions surrounding data submission, which may include contacting your Level 1 data center to determine if data has been submitted and that the person attempting to review the data has the proper entitlements to that report.⁸

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

Please see Q13 for guidance regarding what to do if incorrect data are found during your review of submitted data.

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

A: Prior to the deadline of November 2, 2018, districts and BOCES should verify the data submitted to the Department Level 2 (L2RPT).

If you believe there has been an error in the data reported to the Department, please check your source data to confirm that the data submitted to the Department are the correct data. If an error still exists after confirming your source data, contact your RIC/Big 5 City School District data center through your local data coordinator to confirm that the data submitted to the Department are the correct data before the November 2, 2018 deadline.⁹

After the November 2, 2018 submission deadline, changes for staff evaluation data will be handled through the [Level 0 Historical application](#). More information about the availability of Level 0 Historical will be communicated from the Office of Information Reporting Services after the initial reporting cycle is complete.

⁸ Please see Section M50 of the [§3012-d APPR Guidance](#).

⁹ Please see Section M51 of the [§3012-d APPR Guidance](#).

Q14: We do not have full and complete data for all of our educators. What data do we submit to the Department for those educators with incomplete subcomponent scores/ratings? Should a zero be used for an incomplete subcomponent score?

A: Full and complete data, including all required original and transition (where applicable) scores and ratings consistent with the implemented 2017-18 APPR plan are due to the Department no later than **November 2, 2018**^{10,11}. If for some reason districts/BOCES have one or more educator(s) who are missing a subcomponent evaluation score, districts/BOCES should **not** report any missing or incomplete subcomponent(s) and should **not** report an Overall rating for those educator(s) who are missing one or more subcomponent score(s). A value of zero should only be reported for an educator's subcomponent score when the evaluation requirements for the subcomponent have been completed and the educator's performance merits a rating of zero.

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

Q15: Should an Overall Rating be reported for an educator who is missing a subcomponent?

A: No, districts/BOCES should **not** report an Overall rating for an educator who is missing one or more subcomponent score(s).¹²

Q16: If an educator is missing a subcomponent, should that educator be left out of the data file?

A: No, districts and BOCES must submit all complete data sets for that educator even if there are one or more subcomponents missing (see Q14 and 15 above). However, an Overall rating should not be submitted for an educator who is missing one or more subcomponents.¹³ Further information on the submission of transition scores and ratings is included on EngageNY under [Resources for Closeout of 2017-18 APPR](#).

¹⁰ Please see [Executive Director Alexander Trikalinos' July 25, 2018 memorandum](#).

¹¹ Please see Section M52 of the [§3012-d APPR Guidance](#).

¹² Please see Section M53 of the [§3012-d APPR Guidance](#).

¹³ Please see Section M54 of the [§3012-d APPR Guidance](#).

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

A. In the rare instance whereby an educator was subject to evaluation under Education Law §3012-d, but is missing all subcomponents, report this information within the 2017-18 Statement of Confirmation of Staff Evaluation Rating Verification Report Form located on [NYSED's Application Business Portal](#).

This reporting will require the following information:

- Educator's Teach ID
- The name of the educator
- A selection from the drop-down menu indicating that there was no staff evaluation data reported for this individual¹⁴

Q18: If an educator's score is the subject of an ongoing appeal that will not be resolved by November 2, 2018 what data should be submitted? If we have submitted and certified our data, but, due to an appeal an educator's score changes after November 2, 2018 and/or November 9, 2018, what action is needed?

A: The data submitted to the Department by November 2, 2018 must be complete data as of that date. The Department understands that as a result of appeals, data may still be the subject of change after November 2, 2018 and/or November 9, 2018. Changes for staff evaluation data after this date(s) will be handled through the [Level 0 Historical application](#) for LEAs with approved appeals. More information about the process for submitting changes will be made available after the initial reporting cycle is complete.¹⁵

Statement of Confirmation of Staff Evaluation Rating Verification Report Questions

Q19: Where do I find the 2017-18 Statement of Confirmation of Staff Evaluation Rating Verification Report?

A: The certification form will be available in SED Monitoring through [NYSED's Application Business Portal](#), in the same location as the online APPR submission form.¹⁶

Q20: How do I submit the 2017-18 Statement of Confirmation of Staff Evaluation Rating Verification Report?

A: The certification form must be submitted through [NYSED's Application Business Portal](#), in the same location as the online APPR submission form.¹⁷

¹⁴ Please see Section M55 of the [§3012-d APPR Guidance](#).

¹⁵ Please see Section M56 of the [§3012-d APPR Guidance](#).

¹⁶ Please see Section M57 of the [§3012-d APPR Guidance](#).

¹⁷ Please see Section M58 of the [§3012-d APPR Guidance](#).

Q21: What information needs to be included on the 2017-18 Statement of Confirmation of Staff Evaluation Rating Verification Report?

A: The 2017-18 Statement of Confirmation of Staff Evaluation Rating Verification Report is an online form that requires districts and BOCES to provide the following information:

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

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

Q22: I see there is an option to report educators who received a modified State-provided growth score. Under what circumstances would I report these educators?

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

- 1) A principal has less than 30% of his or her students covered by the State-provided growth measure;¹⁸
- 2) A teacher has less than 50% of his or her students covered by the State-provided growth measure;¹⁹
- 3) A State-provided growth measure may have been provided for an educator who is not subject to Education Law §3012-d, or should not have received a score pursuant to Education Law §3012-d, Subpart 30-3 of the Rules of the Board of Regents, and/or applicable APPR Guidance;^{20,21}
- 4) Final determination of a local appeal; or
- 5) Final determination of an appeal to the State.²²

¹⁸ Please see Section D42 of [§3012-d APPR Guidance](#).

¹⁹ Please see Section D44 of [§3012-d APPR Guidance](#).

²⁰ Please see all of Section B of [§3012-d APPR Guidance](#).

²¹ Please see, generally, Sections D1 and D2 of [§3012-d APPR Guidance](#).

²² Please see the [FAQ: Challenges to a State-Provided Growth Score document](#).

Q23: Other than receipt of a modified State-provided growth score, are there other reasons I would list an educator on the 2017-18 Statement of Confirmation of Staff Evaluation Rating Verification Report?

A: Educators who fall into one or more of the following categories should also be listed on the 2017-18 Statement of Confirmation of Staff Evaluation Rating Verification Report:

- Educators for whom evaluation scores were modified subsequent to the final determination of a local appeal; or
- Educators who were subject to evaluation under Education Law §3012-d, but for whom staff evaluation data were not submitted.²³

Q24: What needs to be reported if an educator received a modified State-provided growth score or a modification in evaluation ratings due to the final determination of a local appeal or appeal to the State?

A: Educator(s) with a modified State-provided growth score or evaluation score(s) prior to November 9, 2018 should be reported on the 2017-18 Statement of Confirmation of Staff Evaluation Rating Verification Report form, available through [NYSED's Application Business Portal](#), in the same location as the online APPR submission form. This form requires a district or BOCES to report the educator's Teach ID and a selection from a drop-down menu indicating the reason for the modification of the State-provided growth score or staff evaluation score(s).

Educator(s) with a modified State-provided growth score or evaluation score(s) after November 9, 2018 should be handled through the [Level 0 Historical application](#). More information about the availability of Level 0 Historical will be communicated from the Office of Information Reporting Services after the initial reporting cycle is complete.²⁴

²³ Please see Section M55 of [§3012-d APPR Guidance](#).

²⁴ Please see Section M60 of [§3012-d APPR Guidance](#).