

2020-21 APPR Closeout and Data Submission

2021 Staff Evaluation Status, data collection, and reporting

Important Dates

As a reminder, on June 7, 2021, Governor Andrew Cuomo signed Chapter 112 of the Laws of 2021, which was subsequently amended on June 11, 2021 by Chapter 147 of the Laws of 2021, which, in part, provides that for the 2020-21 school year, no school districts or BOCES shall be required to complete an annual teacher or principal evaluation for any classroom teacher or building principal due to concerns related to the ongoing response to the COVID-19 pandemic.

In effect, the bill excuses school districts and BOCES from the requirement to complete an educator's evaluation under Education Law §3012-d and Regents Rules 30-3 for the 2020-21 school year. The bill also eliminates any state aid penalties for school districts that fail to implement any component of their approved APPR plan.

The amendments to the law eliminate the requirement for LEAs to complete teacher and principal evaluations for 2020-21, but do not prohibit evaluations from being completed where an LEA is able to do so.

To the extent that LEAs are able to complete all or part of an educator's evaluation, the Department expects that such scores and ratings will be reported. To reduce the burden on LEAs, the Department will not be requiring LEAs to certify data or complete an APPR implementation certification for the 2020-21 school year.

| Date/Event | Description/Information |
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| <i>June 28, 2021 – September 30, 2021 (extended from August 27)</i> 2020-21 Staff Evaluation Status form submission | LEAs should submit the 2020-21 Staff Evaluation Status form by September 30, 2021. The form contains a question regarding the status of an LEA's APPR for the 2020-21 school year and should be signed by the superintendent/district superintendent. The form is now available and must be submitted through the NYSED Application Business Portal . |
| <i>July 1, 2021 – October 22, 2021</i> Submission of 2020-21 Evaluation Ratings and Subcomponent Scores | LEAs that implemented APPR in the 2020-21 school year should report 2020-21 staff evaluation data to the Commissioner through the Student Information Repository System (SIRS) for all applicable teachers and principals. These data can be submitted through October 22, 2021. All final and complete data, including scores for the Required and Optional (as applicable) Student Performance subcomponents, scores for the Required and Optional (as applicable) Teacher Observation/Principal School Visit subcomponents and the Overall rating. <i>If an LEA is unable to complete one of the subcomponents of the APPR, any complete subcomponents may be submitted with no overall rating for applicable educators.</i> |

Reporting Requirements Related to Education Law §3012-d

All LEAs that complete APPR in the 2020-21 school are able to submit 2020-21 school year data to SIRS through October 22, 2021. Please share this information with personnel in your organization who have responsibility for data collection and reporting.

For APPR plans under Education Law §3012-d approved prior to 2020, scores in each subcomponent and an overall rating should be reported for all applicable educators subject to evaluation under Education Law §3012-d. Original SLOs must be the basis of the required student performance subcomponent for all educators whose evaluation measures per the LEA's approved APPR plan DO NOT incorporate the results of the NYS grades 3-8

ELA/Math assessments and/or State-provided growth scores. Alternate SLOs must be the basis of the required student performance subcomponent for all educators whose original evaluation measures per the LEA’s approved APPR plan incorporate the results of the NYS grades 3-8 ELA/Math assessments and/or State-provided growth scores¹. *Please note, for educators who required a transition evaluation in prior years, this evaluation will now replace the original evaluation and so the original, advisory evaluations no longer need to be provided.*

For APPR plans under Education Law §3012-d approved prior to January 1, 2020 with an accompanying approved Supplemental Removal form, scores in each subcomponent and an overall rating should be reported for all applicable educators subject to evaluation under Education Law §3012-d. Original SLOs must be the basis of the required student performance subcomponent for all educators whose evaluation measures per the LEA’s approved APPR plan DO NOT incorporate the results of the NYS grades 3-8 ELA/Math assessments and/or State-provided growth scores. Alternate SLOs must be the basis of the required student performance subcomponent for all educators whose original evaluation measures per the LEA’s approved APPR plan incorporate the results of the NYS grades 3-8 ELA/Math assessments and/or State-provided growth scores. The measures and assessments included in the approved Supplemental Removal form shall replace original or alternate SLOs, as applicable. *Please note, for educators who required a transition evaluation in prior years, this evaluation will now replace the original evaluation and so the original, advisory evaluations no longer need to be provided.*

For APPR plans under Education Law §3012-d, as amended in 2019, scores in each subcomponent and an overall rating based on the contents of the approved APPR plan should be reported for all applicable educators subject to evaluation under Education Law §3012-d.

The table below summarizes the data elements required to be submitted for staff evaluation under Education Law §3012-d via the Staff Evaluation Rating Template for the 2020-21 school year, exported from your local data systems for each teacher and principal. *Please note, If an LEA is unable to complete one of the subcomponents of APPR, any complete subcomponents may be submitted with no overall rating for applicable educators.*

| APPR PLANS APPROVED UNDER EDUCATION LAW §3012-D PRIOR TO 2020 | |
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| Evaluation Category | Description |
| Student Performance Category | <p>Required Student Performance subcomponent scores reported as a whole number from 0-20, using the following code: REQSP.</p> <p><i>If the evaluation measures per the LEA’s approved APPR plan DO NOT incorporate the results of the NYS grades 3-8 ELA/Math assessments, State-provided growth scores, and/or the aimsweb assessment, these measures are the basis of the required student performance subcomponent score.</i></p> <p><i>If the evaluation measures per the LEA’s approved APPR plan DO NOT incorporate the results of the NYS grades 3-8 ELA/Math assessments and/or State-provided growth scores, but DO incorporate the aimsweb assessment, the measures included in the Removal of aimsweb supplemental form are the basis of the required student performance subcomponent score.</i></p> <p><i>If the original evaluation measures per the LEA’s approved APPR plan incorporate the results of the NYS grades 3-8 ELA/Math assessments and/or State-provided growth scores, Alternate SLOs are the basis of the required student performance subcomponent score.</i></p> <p>Optional Student Performance subcomponent scores, as applicable, reported as a whole number from 0-20, using the following code: OPTSP.</p> <p><i>Please note, any optional student performance subcomponent based on a State-provided growth score should be excluded from an educator’s staff evaluation.</i></p> |

¹ In LEAs where the optional student performance subcomponent is used with a supplemental assessment, these educators do not require an alternate SLO; the basis of the student performance category is the optional measure.

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| Teacher Observation/ Principal School Visit Category | Required Teacher Observation/Principal School Visit subcomponent scores reported as a number from 1.00-4.00 or 0.00, using the following code: REQOB. Optional Teacher Observation/Principal School Visit subcomponent scores, as applicable, reported as a number from 1.00-4.00, using the following code: OPTOB. |
| Overall Evaluation Rating Category | Overall ratings reported using the following codes: OCR04 = highly effective, OCR03 = effective, OCR02 = developing, OCR01 = ineffective based on the matrix prescribed in Education Law §3012-d(5). |
| APPR PLANS APPROVED UNDER EDUCATION LAW §3012-D AS AMENDED IN 2019 | |
| Evaluation Category | Description |
| Student Performance Category | Required Student Performance subcomponent scores reported as a whole number from 0-20, using the following code: REQSP. Optional Student Performance subcomponent scores, as applicable, reported as a whole number from 0-20, using the following code: OPTSP. |
| Teacher Observation/ Principal School Visit Category | Required Teacher Observation/Principal School Visit subcomponent scores reported as a number from 1.00-4.00 or 0.00, using the following code: REQOB. Optional Teacher Observation/Principal School Visit subcomponent scores, as applicable, reported as a number from 1.00-4.00, using the following code: OPTOB. |
| Overall Evaluation Rating Category | Overall ratings reported using the following codes: OCR04 = highly effective, OCR03 = effective, OCR02 = developing, OCR01 = ineffective based on the matrix prescribed by Education Law §3012-d(5). |

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](#).

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 2020-21 APPR](#), and [resources related to Education Law §3012-d](#) are available online. If you have any questions or require technical assistance with your APPR plan, please contact educatoreval@nysed.gov.

Frequently Asked Questions

General Questions

Q1: Is the 2020-21 APPR Implementation Certification form required to be submitted to the Department to demonstrate full implementation of my district's 2020-21 APPR plan?

A: No, to reduce the burden on LEAs, the Department will not be requiring LEAs to complete an APPR implementation certification for the 2020-21 school year.

Q2: What is the 2020-21 Staff Evaluation Status form?

A: The 2020-21 Staff Evaluation Status form contains a question regarding the status of an LEA's APPR implementation for the 2020-21 school year and also has a space to indicate the staff evaluation data contact for the LEA. The form is available through September 30, 2021 and should be signed by the superintendent/district superintendent; it is now available and must be submitted through the [NYSED Application Business Portal](#).

Q3: Do we need to submit staff evaluation data? What happens if we do not submit data?

A: To the extent that LEAs are able to complete all or part of an educator's evaluation, the Department expects that such scores and ratings will be reported. Staff evaluation may be submitted through October 22, 2021. As a reminder, Chapter 147 of the Laws of 2021 excuses school districts and BOCES from the requirement to complete an educator's evaluation under Education Law §3012-d and Regents Rules 30-3 for the 2020-21 school year. The bill also eliminates any state aid penalties for school districts that fail to implement any component of their approved APPR plan, including staff evaluation data submission.

Q4: Is the 2020-21 Statement of Confirmation of Staff Evaluation Rating Verification Report required to be submitted to the Department?

No, to reduce the burden on LEAs, the Department will not be requiring LEAs to certify data for the 2020-21 school year.

2020-21 Staff Evaluation Status Form Questions

Q5 Where do I find the 2020-21 Staff Evaluation Status form?

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

Q6: How do I submit the 2020-21 Staff Evaluation Status form?

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

Q7: What information needs to be included on the 2020-21 Staff Evaluation Status form?

A: The 2020-21 Staff Evaluation Status form is an online form that requests the following information:

- 1) The status of staff evaluation in your LEA for the 2020-21 school year; and
- 2) If APPR was implemented in 2020-21, please provide the name and contact information for the best person to reach out to regarding the submission of staff evaluation data.

Q8: If one of the first two options is selected on the 2020-21 Staff Evaluation Status form, is the LEA required to submit staff evaluation data?

A: Although the Department would like to collect staff evaluation data from as many LEAs as possible, Chapter 147 of the Laws of 2021 eliminates any state aid penalties for school districts that fail to implement any component of their approved APPR plan, including staff evaluation data submission; therefore, data submission is not required.

LEAs should accurately describe the implementation of their APPR on the Staff Evaluation Status form, even if they do not ultimately intend to submit evaluation data to the Department. The answer on the form does not commit an LEA to submitting their data.

Q9: What is the purpose of the 2020-21 Staff Evaluation Status form?

A: The Department is interested in knowing how many LEAs were unable to implement their APPR plans in the 2020-21 school year, for informational purposes only.

The status form also communicates to the Department which LEAs potentially may need technical assistance with the submission of staff evaluation data.

The Office of Educator Quality and Professional Development typically reaches out to all LEAs during the staff evaluation data submission period to provide technical assistance. Based on the results of the status form, those who were unable to implement will be removed from the outreach list. We will contact those LEAs who indicate they did implement APPR to determine whether technical assistance is needed, but if an LEA indicates that it will not be submitting staff evaluation data, the LEA will be removed from the contact list for 2020-21 and there will be no further implications.

Data Submission Questions

The questions below are applicable to those LEAs who have implemented APPR and intend to submit corresponding staff evaluation data.

Q10: 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.

Q11: What format should be used to submit the data?

A: Some districts and BOCES have Professional Development, Instructional Information, Human Resources, 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.

Q12: Should both teacher and principal data be reported?

A: Yes, to the extent that teacher or principal evaluation is available, the Department expects both teacher and principal data to be submitted.

Q13: 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.

Q14: Should NYS grades 3-8 ELA/math assessments and State-provided growth scores be used for staff evaluation for 2020-21?

A. On April 12, 2019, Governor Andrew Cuomo signed Chapter 59 of the Laws of 2019, which amends Education Law §3012-d. As a result of these amendments, for APPR plans under Education Law §3012-d approved prior to 2020, the transition measures included in the approved APPR plan will continue to be used in determining scores and ratings instead of the NYS grades 3-8 ELA/math assessments (and State-provided growth scores). Therefore, the original measures based on the NYS grades 3-8 ELA/math assessments and/or State-provided growth scores are no longer required to be calculated or provided to educators for advisory purposes.

For APPR plans under Education Law §3012-d, as amended in 2019, the measures included in the approved APPR plan should be used as included in the plan; transition measures are not included in such plans.

Q15: Do Transition scores and ratings need to be submitted for all educators?

A: For APPR plans under Education Law §3012-d approved prior to 2020, transition scores and ratings are required to be submitted instead of Original scores and ratings for **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. This includes grades 3-8 ELA/math teachers, principals of grades 3-8 and 9-12, in addition to any other educator assigned a school-, program-, district-, or BOCES-wide measure that is based on the NYS grades 3-8 ELA/Math assessments or State-provided growth scores, in whole or in part. For these educators, only Transition scores and ratings should be submitted; the original measures based on the NYS grades 3-8 ELA/math assessments and/or State-provided growth scores are no longer required to be calculated or provided to educators for advisory purposes.

Only Original staff evaluation scores and ratings should be submitted 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, per Task 2/Task 7 of the [approved APPR plan for 2020-21](#).

Please note, regardless of whether an educator receives original or transition scores and ratings, only one set of scores and ratings should be submitted to the Department using only one set of codes. The second set of codes beginning with 'T' have been eliminated.

For APPR plans under Education Law §3012-d, as amended in 2019, the measures included in the approved APPR plan should be used as included in the plan; transition measures are not included in such plans.

Further information on the submission of staff evaluation scores and ratings is included on [Resources for Staff Evaluation Data Collection and Submission page](#).

Q16: How do we determine which educators receive Transition scores and ratings?

A: For APPR plans under Education Law §3012-d approved prior to 2020, all educators whose evaluation scores and ratings **would have been** determined, in whole or in part, using NYS grades 3-8 ELA/Math assessments or State-provided growth scores, based on Task 2/7 of the approved APPR plan for 2020-21, require Transition scores and ratings based on Task 2/7 Transition of the APPR plan.

Updated APPR summaries have been posted in the [IRS Portal](#) for all districts and BOCES with approved APPR plans for the 2020-21 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 or transition) and 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.

Transition measures do not apply to newly approved APPR plans under Education Law §3012-d, as amended in 2019.

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

Q17. Will any educator receive two sets of scores and ratings (both Original and Transition)?

No. All educators will receive only one set of scores and ratings.

For APPR plans under Education Law §3012-d approved prior to 2020, scores and ratings are either based on the measures and assessments indicated in Task 2/Task 7 of the approved APPR plan; or for educators whose evaluation scores and ratings **would have been** determined using the NYS grades 3-8 ELA/Math assessments or State-provided growth scores, in whole or in part based on Task 2/Task 7 of the approved APPR plan, based on the transition measures and assessments included in Task 2/Task 7 Transition of the approved APPR plan for 2020-21.

For APPR plans under Education Law §3012-d, as amended in 2019, the measures included in Task 2/Task 7 of the approved APPR plan are the basis of scores and ratings.

Q18: What elements are should to be submitted to the Department for each teacher and principal in the Staff Evaluation Rating template?

A: The table below summarizes the data elements 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. *Please note, If an LEA is unable to complete one of the subcomponents of APPR, any complete subcomponents may be submitted with no overall rating for applicable educators.*

| APPR PLANS APPROVED UNDER EDUCATION LAW §3012-D PRIOR TO 2020 | |
|---|--|
| Evaluation Category | Description |
| Student Performance Category | <p>Required Student Performance subcomponent scores reported as a whole number from 0-20, using the following code: REQSP.</p> <p><i>If the evaluation measures per the LEA’s approved APPR plan DO NOT incorporate the results of the NYS grades 3-8 ELA/Math assessments, State-provided growth scores, and/or the aimsweb assessment, these measures are the basis of the required student performance subcomponent score.</i></p> <p><i>If the evaluation measures per the LEA’s approved APPR plan DO NOT incorporate the results of the NYS grades 3-8 ELA/Math assessments and/or State-provided growth scores, but DO incorporate the aimsweb assessment, the measures included in the Removal of aimsweb supplemental form are the basis of the required student performance subcomponent score.</i></p> <p><i>If the original evaluation measures per the LEA’s approved APPR plan incorporate the results of the NYS grades 3-8 ELA/Math assessments and/or State-provided growth scores, Alternate SLOs are the basis of the required student performance subcomponent score.</i></p> <p>Optional Student Performance subcomponent scores, as applicable, reported as a whole number from 0-20, using the following code: OPTSP.</p> <p><i>Please note, any optional student performance subcomponent based on a State-provided growth score should be excluded from an educator’s staff evaluation.</i></p> |
| Teacher Observation/Principal School Visit Category | <p>Required Teacher Observation/Principal School Visit subcomponent scores reported as a number from 1.00-4.00 or 0.00, using the following code: REQOB.</p> <p>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> |
| Overall Evaluation Rating Category | <p>Overall ratings reported using the following codes: OCR04 = highly effective, OCR03 = effective, OCR02 = developing, OCR01 = ineffective based on the matrix prescribed in Education Law §3012-d(5).</p> |
| APPR PLANS APPROVED UNDER EDUCATION LAW §3012-D AS AMENDED IN 2019 | |
| Evaluation Category | Description |
| Student Performance Category | <p>Required Student Performance subcomponent scores reported as a whole number from 0-20, using the following code: REQSP.</p> <p>Optional Student Performance subcomponent scores, as applicable, reported as a whole number from 0-20, using the following code: OPTSP.</p> |
| Teacher Observation/Principal School Visit Category | <p>Required Teacher Observation/Principal School Visit subcomponent scores reported as a number from 1.00-4.00 or 0.00, using the following code: REQOB.</p> <p>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> |
| Overall Evaluation Rating Category | <p>Overall ratings reported using the following codes: OCR04 = highly effective, OCR03 = effective, OCR02 = developing, OCR01 = ineffective based on the matrix prescribed by Education Law §3012-d(5).</p> |

Q19: 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 25-26 of [APPR Guidance \(§3012-d\)](#)).

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

Q20: How do I find out if our data has been submitted to the Department? I think we submitted our 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 331 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.

Please note: Staff Evaluation Rating Records can only be verified in the SIRS-331 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.

Q21: What should I do if there are incorrect data in my Staff Evaluation Rating Report?

A: Prior to October 22, 2021, 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 October 22, 2021.

After October 22, 2021, 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.

Q22: 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: If an LEA has one or more educator(s) who are missing a subcomponent evaluation score, the LEA should **only** report the complete 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 score of zero.

Q23: Should an Overall Rating be reported for an educator who is missing a subcomponent?

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

Q24: If an educator is missing a subcomponent, should that educator be left out of the data file?

A: No, to the extent that teacher or principal evaluation is available, LEAs should submit all complete data sets for that educator even if there are one or more subcomponents missing (see Q22 and 23 above). However, an Overall rating should not be submitted for an educator who is missing one or more subcomponents.

Q25. 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 case that an educator has no complete staff evaluation subcomponents, nothing should be submitted for this educator; they should be left out of the submitted data file.

Q26: If an educator's score is the subject of an ongoing appeal that will not be resolved by October 22, 2021 what data should be submitted? If we have submitted our data, but, due to an appeal an educator's score changes after October 22, 2021, what action is needed?

A: The data submitted to the Department by October 22, 2021 should be the data as it stands as of that date. The Department understands that as a result of appeals, data may still be the subject of change after October 22, 2021. 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.