



New York State
EDUCATION DEPARTMENT

Knowledge > Skill > Opportunity

New York State's Teacher and Principal Evaluation System

Continuing Guidance on the Submission of
2020-21 Staff Evaluation Data:
Tips for Submission

2020-21 Staff Evaluation Data Collection

- Chapter 147 of the Laws of 2021 excuses LEAs from the requirement to complete APPR for the 2020-21 school year and eliminates any state aid penalties for school districts that fail to implement any component of their approved APPR plans, including the submission of staff evaluation data.
- Although LEAs are not required to complete teacher and principal evaluations for the 2020-21 school year, they are not prohibited from doing so.
- To the extent that LEAs are able to complete all or part of an educator's evaluation, the Department expects that resulting scores and ratings will be reported; as such, staff evaluation data may be submitted to the Department between July 1 and October 22, 2021.
- To reduce the burden on LEAs, the Department will not be requiring LEAs to certify data for the 2020-21 school year.
- **The information in the following slides is applicable to those LEAs who have implemented APPR and intend to submit corresponding staff evaluation data.**

2020-21 Staff Evaluation Data Collection

- 2020-21 staff evaluation data scores and ratings can be submitted to the Department through October 22, 2021.
- Staff evaluation data elements to be submitted include:
 - Subcomponent Scores (Required/Optional Student Performance and Teacher Observation/Principal School Visits)
 - Overall Rating
- The “Statement of Confirmation of Staff Evaluation Rating Verification Report” form will not be utilized for 2020-21.

Key Tools and Resources

Data Collection and APPR Closeout

- [Annual Professional Performance Review Data Submission Dates for the 2020-21 School Year memo and FAQ](#)
- [Staff Evaluation Data Template Examples](#)
- [APPR Closeout Reminders](#)
- [Staff Evaluation Data Reporting under Education Law §3012-d, as Amended in 2019](#)

APPR Summaries

- APPR Summaries for LEAs (posted in the [IRSP](#)) are organized by groups of educators based on the type of scores and ratings needed and provide a description of the items that should be distributed to educators as their final staff evaluation and those that should be submitted.

APPR Guidance

- [APPR Guidance: Education Law §3012-d](#)
- [APPR Guidance: Education Law §3012-d, as amended by the Laws of 2019](#)

Tip 1: Incomplete Subcomponent(s)

- If an educator is missing one or more subcomponents (*e.g., educator was out on maternity leave and did not have required number of observations or the SLO could not be calculated*):
 - Do not submit scores for the missing subcomponent(s);
 - Do not submit an Overall rating
- The Department understands that many SLOs were not able to be completed because assessments were not able to be administered due to COVID-19. In such cases, the LEA may submit only the teacher observation/principal school visit subcomponent scores without an overall rating.

Example #1: Missing Subcomponents

Educator is missing the student performance subcomponents, as all assessments included in the SLO were not administered.

Action: report only the teacher observation subcomponent and do not report an overall rating.

Incorrect

STUDENT PERFORMANCE				TEACHER OBSERVATION/ PRINCIPAL SCHOOL VISITS				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
XX	XX	XX	XX	2.71	REQOB	N/A	N/A	OCR03 (E)

Correct – an Overall rating should not be submitted

STUDENT PERFORMANCE				TEACHER OBSERVATION/ PRINCIPAL SCHOOL VISITS				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
XX	XX	XX	XX	2.71	REQOB	N/A	N/A	XX

The information illustrated is specific to data submission. The final staff evaluation provided to the educator should consist of the following: Teacher observation – required: 2.71/effective, category: effective. This educator should not receive any student performance subcomponents or category rating and should not receive an overall rating.

Tip 2: Optional Subcomponent(s)

- The Optional Student Performance subcomponent is found in Tasks 3/8 of the approved APPR plan.
 - For plans approved under Education Law §3012-d (prior to 2020) the Optional Student Performance subcomponent is based on a second growth score or a supplemental assessment.
 - Plans approved under Education Law §3012-d, as amended in 2019 (after January 1, 2020) have multiple options for the Optional Student Performance subcomponent.
- The Optional Teacher Observation/Principal School Visit subcomponent is based on the peer observation/school visit found in Tasks 4/9 of the approved APPR plan.
- If an Optional subcomponent is not used per the approved APPR plan, **do not submit the corresponding codes** – OPTSP or OPTOB.

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

The Optional Student Performance subcomponent is not used per the LEA's approved APPR plan.

Action: report all complete subcomponents and overall ratings, submit nothing for the Optional Student Performance subcomponent.

Incorrect

STUDENT PERFORMANCE				TEACHER OBSERVATION/ PRINCIPAL SCHOOL VISIT				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
17	REQSP	18	OPTSP	3.48	REQOB	3.52	OPTOB	OCR03 (E)

Correct – nothing should be reported for the Optional Student Performance subcomponent

STUDENT PERFORMANCE				TEACHER OBSERVATION/ PRINCIPAL SCHOOL VISIT				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
17	REQSP	N/A	N/A	3.48	REQOB	3.52	OPTOB	OCR03 (E)

The information illustrated is specific to data submission. The final staff evaluation provided to the educator should consist of the following: Student performance – required: 17/effective, category: effective; Teacher observation/principal school visits – required: 3.48/effective, optional: 3.52/highly effective, category: effective; Overall rating: effective.

Tip 3: Overall Rating

- If all subcomponents are complete for an educator, be sure to submit an Overall rating.
- An educator should only be missing an Overall rating if there are one or more incomplete subcomponent(s).
- The Overall rating should be based on the combination of the Student Performance and Teacher Observation/Principal School Visit category ratings, per the matrix defined in Education Law §3012-d(5); however, the category ratings should not be submitted.

Example #3a: Overall Rating (Complete Evaluation)

All subcomponents are complete (student performance and principal school visit).

Action: report all subcomponents and an Overall rating

Incorrect

STUDENT PERFORMANCE				TEACHER OBSERVATION/ PRINCIPAL SCHOOL VISIT				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
17	REQSP	N/A	N/A	3.48	REQOB	3.52	OPTOB	XX

Correct – be sure to submit an Overall rating if all applicable subcomponents are complete

STUDENT PERFORMANCE				TEACHER OBSERVATION/ PRINCIPAL SCHOOL VISIT				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
17	REQSP	N/A	N/A	3.48	REQOB	3.52	OPTOB	OCR03 (E)

Example #3b: Overall Rating (Missing Subcomponent)

The Required Teacher Observation/Principal School Visit subcomponent was not able to be determined and optional peer observations/school visits are not included in the approved APPR plan.

Action: report only the student performance subcomponents and do not report incomplete Overall ratings.

Incorrect

STUDENT PERFORMANCE				TEACHER OBSERVATION/PRINCIPAL SCHOOL VISIT				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
16	REQSP	N/A	N/A	XX	XX	XX	XX	OCR03 (E)

Correct – an Original Overall rating should not be submitted

STUDENT PERFORMANCE				TEACHER OBSERVATION/PRINCIPAL SCHOOL VISIT				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
16	REQSP	N/A	N/A	XX	XX	XX	XX	XX

Example #3c: Overall Rating (determined by the evaluation matrix)

The Student Performance category rating and the Teacher Observation/Principal School Visit category were both determined to be effective.

Action: use the evaluation matrix to determine the Overall rating using the category ratings; submit only the Overall Rating (category ratings should not be submitted).

		Teacher Observation/ Principal School Visit			
		Highly Effective (H)	Effective (E)	Developing (D)	Ineffective (I)
Student Performance	Highly Effective (H)	H	H	E	D
	Effective (E)	H	E	E	D
	Developing (D)	E	E	D	I
	Ineffective (I)	D*	D*	I	I

Incorrect

STUDENT PERFORMANCE				TEACHER OBSERVATION/PRINCIPAL SCHOOL VISIT				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
17	REQSP	N/A	N/A	3.42	REQOB	N/A	N/A	OCR04 (H)

Correct – the Original Overall rating should be effective

STUDENT PERFORMANCE				TEACHER OBSERVATION/PRINCIPAL SCHOOL VISIT				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
17	REQSP	N/A	N/A	3.42	REQOB	N/A	N/A	OCR03 (E)



The information illustrated is specific to data submission. The final staff evaluation provided to the educator should consist of the following: Student performance – required: 17/effective, category: effective; Teacher observation/principal school visits – required: 3.42/effective, category: effective; Overall rating: effective.

Tip 4: A Zero Represents an Earned Score

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

Example #4: A Score of Zero

A zero should only be reported if it was earned.

	STUDENT PERFORMANCE				TEACHER OBSERVATION/ PRINCIPAL SCHOOL VISIT				OVERALL CODE
	REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
	SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
ORIGINAL RECORD	0	REQSP	N/A	N/A	3.50	REQOB	N/A	N/A	OCR02 (D)

If a subcomponent was not determined, it should not be submitted; an Overall rating should also not be submitted.

	STUDENT PERFORMANCE				TEACHER OBSERVATION/ PRINCIPAL SCHOOL VISIT				OVERALL CODE
	REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
	SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
ORIGINAL RECORD	XX	XX	N/A	N/A	3.50	REQOB	N/A	N/A	XX

The information illustrated is specific to data submission. The final staff evaluation provided to the educator should consist of the following:

Example 1 – Student performance – required:0/ineffective, category: ineffective; Teacher observation/principal school visits – required: 3.50/highly effective, category: highly effective; Overall rating: developing;

Example 2 – Student performance – required: missing, optional: N/A, no category rating; Teacher observation/principal school visits – required: 3.50/highly effective, optional: N/A, category: effective; No overall rating.

Tip 5: Scores and Ratings based on Transition Measures

(applicable only to plans approved prior to 2020, under Education Law §3012-d*)

- 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, 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 State 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.*
- Scores and ratings for an educator whose evaluation, per Task 2/7, is not based on NYS grades 3-8 ELA/Math assessments or State-provided growth scores are based on said measures.
- Scores and ratings for an educator whose evaluation, per Task 2/7 of the approved APPR plan, is based on NYS grades 3-8 ELA/Math assessments or State-provided growth scores are instead based on Task 2/7 Transition (or the approved Supplemental Form for Alternate SLOs).
- Regardless of whether an educators' scores and ratings are based on the original measures in Task 2/7 of the approved APPR plan or based on Task 2/7 Transition of the approved APPR plan or Supplemental Form for Alternate SLOs, each educator should only have one set of scores and ratings.

* This includes approved APPR variances and supplemental removal forms that have corresponding plans approved prior to 2020.

Example #5a: Student performance based on Task 2/7 of APPR plan

Educator's evaluation is not based on the NYS grades 3-8 ELA/math assessments or State-provided growth scores and all subcomponents are complete per Task 2/7 of the approved 2020-21 APPR plan.

Action: report only one set of subcomponents and an Overall rating; do not report an additional set of data.

Incorrect

STUDENT PERFORMANCE				TEACHER OBSERVATION/PRINCIPAL SCHOOL VISIT				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
13	REQSP	N/A	N/A	3.48	REQOB	3.47	OPTOB	OCR03 (E)
13	TREQSP	N/A	N/A	3.48	TREQOB	3.47	TOPTOB	TOCR03 (E)

* Please note, Level 0 and Level 2 edit checks will only allow one set of records for each educator.

Correct – submit only one set of scores and ratings

STUDENT PERFORMANCE				TEACHER OBSERVATION/PRINCIPAL SCHOOL VISIT				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
13	REQSP	N/A	N/A	3.48	REQOB	3.47	OPTOB	OCR03 (E)

The information illustrated is specific to data submission. The final staff evaluation provided to the educator should consist of the following: Student performance – required: 13/developing, category: developing; Teacher observation/principal school visits – required: 3.48/effective, optional: 3.47/effective, category: effective; Overall rating: effective.

Example #5b: Student performance based on Task 2/7 Transition of APPR plan or Supplemental Form for Alternate SLOs

The measures included in Task 2/7 of the approved APPR plan are based on NYS grades 3-8 ELA/math assessments or State-provided growth scores, therefore the student performance subcomponent was calculated using an Alternate SLO*.

Action: report only one set of subcomponents and an Overall rating using the Alternate SLO* for student performance; do not report an additional set of data.

Incorrect – Transition codes are used

STUDENT PERFORMANCE				OBSERVATION/SCHOOL VISIT				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
14	TREQSP	N/A	N/A	3.48	TREQOB	3.47	TOPTOB	TOCR03 (E)

Correct – submit only one set of scores and ratings using the codes shown below

STUDENT PERFORMANCE				OBSERVATION/SCHOOL VISIT				OVERALL CODE
REQUIRED		OPTIONAL		REQUIRED		OPTIONAL		
SCORE	CODE	SCORE	CODE	SCORE	CODE	SCORE	CODE	
14	REQSP	N/A	N/A	3.48	REQOB	3.47	OPTOB	OCR03 (E)

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

The information illustrated is specific to data submission. The final staff evaluation provided to the educator should consist of the following: Student performance – required: 14/developing, category: developing; Teacher observation/principal school visits – required: 3.48/effective, optional – 3.47/effective, category: effective; Overall rating: effective.

Tip 6: Completeness of Data

- To the extent the LEA is able to complete all or part of an educator's evaluation, data should be submitted for all teachers and principals in the LEA subject to evaluation under Education Law §3012-d who were able to be evaluated.
 - Staff Snapshot data will also be used to identify principals in staff evaluation data; educators identified as principals in Staff Snapshot that match on Staff ID with the staff evaluation file will be coded as principals.
- Since 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 plans, including the submission of staff evaluation data, LEAs are encouraged to submit the subcomponents that are complete for applicable educators.
 - There are no repercussions for submitting partial data for an educator, where a subcomponent is incomplete, or for submitting data for only some educators whose evaluations were completed in whole or in part.

Example #6a: All educators are missing one subcomponent

Due to circumstances related to COVID-19, student performance scores and ratings were not able to be calculated because one or more included assessments were not administered, or complete observations/school visits were not possible under the model implemented during the pandemic.

Action: LEA should submit only the completed subcomponents for each educator and should not submit an overall rating.

Example #6b: Educator with No Evaluation Data

Educator was subject to evaluation under Education Law §3012-d, but does not have any subcomponent scores and ratings to be reported (e.g., SLOs were not implemented and only one observation was conducted).

Action: LEA should not include such educator in the staff evaluation data submitted to the Department; no further action is needed.

Our goal is to help each LEA submit a full and complete data set, to the extent the LEA was able to complete all or part of an educator's evaluation.

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