

CATTARAUGUS-ALLEGANY-ERIE-WYOMING BOCES (BOCES)
PRINCIPAL/LEADER ANNUAL PROFESSIONAL PERFORMANCE REVIEW
PLAN (APPR)

PRINCIPAL EVALUATION

2016 – 2017 and Beyond

In accordance with 3012-d of the New York State Education Law and the Principal evaluation requirements found in Chapter 103 of the Laws of 2010 as adopted by the New York State Legislature in the Summer of 2010, the evaluation process described herein is intended to meet the legislative and regulatory requirements for teacher evaluations in New York State.

New York State Principal/Leader Standards

The professional performance review for Principals/Leaders will be based upon the Interstate School Leaders Licensure Consortium (ISLLC) Standards. These standards are:

Standard 1: An educational Leader promotes the success of every student by facilitating the development, articulation, implementation and stewardship of a vision of learning that is shared and supported by all stakeholders.

Standard 2: An education Leader promotes the success of every student by advocating, nurturing, and sustaining a school culture and instruction programs conducive to student learning and staff professional growth.

Standard 3: An education Leader promotes the success of every student by ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.

Standard 4: An education Leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.

Standard 5: An educational Leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner.

Standard 6: An educational Leader promotes the success of every student by understanding, responding to, and influencing the political, social, economic, legal, and cultural context.

Principal/Leader Effectiveness: Composite Effectiveness Rating

Commencing in 2016-17, all building principal/leaders (including all principals, supervisors, and program managers that oversee teaching staff) will receive a Composite Effectiveness Rating as a result of the annual professional performance review in alignment with Education Law 3012-d. Based upon the state-mandated Composite Rating Matrix, principals/leaders will be rated as Highly Effective (H), Effective (E), Developing (D), or Ineffective (I).

The Composite Rating will be calculated based on the state-mandated matrix, referencing the Student Performance Subcomponent Rating and the School Visit Subcomponent Rating.

		School Visit			
Student Performance		Highly Effective (H)	Effective (E)	Developing (D)	Ineffective (I)
	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

*If a Principal/Leader is rated Ineffective on the Student Performance category, and a State-designed supplemental assessment was included as an Optional subcomponent of the Student Performance category, the Principal/Leader can be rated no higher than Ineffective overall (see Education Law §3012-d (5)(a) and (7)).

Student Performance Subcomponent Rating

A rating of Highly Effective (HE), Effective (E), Developing (D) or Ineffective (I) shall be based upon the Principal’s/Leader’s students’ growth on State assessments compared to similarly achieving students. The State will assign each Principal/Leader a State Provided Growth score on a scale of 0-20 as follows:

Growth Score	Rating
18-20 points	Highly Effective
15-17 points	Effective
13-14 points	Developing
0-12 points	Ineffective

2016-2017 through 2018-2019:

During the 2016-2017 through 2018-2019 school years, NYS Education Law prohibits the use of state provided growth scores or scores derived from NYS 3-8 Math/ELA tests. During this time period, principals with scores derived from those measures will have those components replaced with SLO's from a NYS approved third party assessment, such as the relevant STAR exam. Per law, both original and transition scores will be reported to NYS.

Where No State Assessment Exists:

If no state assessment exists, or the principal/leader does not have the minimum number of student scores required, the Student Performance subcomponent of the APPR composite rating will be based upon Student Learning Objectives (SLOs). A student Learning Objective (SLO) is an academic goal for students set at the start of a course. SLOs are specific and measurable, based upon prior student learning data, and aligned to Common Core, State, or National standards, as well as to any other school and district priorities. Principal's/Leader's scores are based upon the degree to which their goals are obtained. SLOs will include the following eight basic elements, as required by NYSED:

- Student Population;
- Learning Content;
- Interval of Instructional Time;
- Evidence;
- Baseline;
- Target and HEDI Criteria;
- HEDI Criteria; and
- Rationale

Student Performance Scoring Ranges/Ratings: SLOs

Highly Effective	Effective	Developing	Ineffective
<i>18-20 points</i>	<i>15-17 points</i>	<i>13-14 Points</i>	<i>0-12 Points</i>
90-100% of students meeting or exceeding expected growth targets determined by the superintendent	75-89% of students meeting or exceeding expected growth targets determined by the superintendent	60-74% of students meeting or exceeding expected growth targets determined by the superintendent	0-59% of students meeting or exceeding expected growth targets determined by the superintendent

- Each performance measure must result in a score between 0-20.
- Multiple measures will be combined using a weighted average to produce an Overall Student Performance category score between 0-20.
- The Overall Student Performance score will be converted into a HEDI rating based on the ranges listed below:

	Overall Student Performance Category Score and Rating	
	<i>Minimum</i>	<i>Maximum</i>
<i>H</i>	18	20
<i>E</i>	15	17
<i>D</i>	13	14
<i>I</i>	0	12

School Visit Subcomponent Rating

The *Reeve's Leadership Performance Matrix* rubric will be used to evaluate Principals/Leaders. All personnel serving as evaluators shall be trained on the rubric.

In order to support continuous professional growth, multiple school visits will be conducted. At least one announced visit must be conducted by the supervisor and must be a minimum of thirty (30) minutes in length.

At least one unannounced visit must be conducted by an Independent Evaluator. A peer from within the same BOCES Division will serve as the Independent Evaluator.

Each visit will include building/classroom walk-throughs and a discussion regarding school leadership and management efforts and initiatives.

Consideration should be given when selecting the time of a performance observation, i.e., observations should be avoided the day before/after holidays or during the first or last two (2) weeks of the school year. Before observations are conducted by an Independent Evaluator, he/she should consult with the appropriate supervisor to ensure timing and situations are appropriate.

The Principal/Leader Supervisor will meet with the Principal/Leader by January 31st of each year to discuss the Principal's/Leader's performance as of that date.

By September 1st, the Principal/Leader Supervisor and the Principal/Leader will meet for the purpose of an Annual Professional Performance Review conference. The context of the conference will involve a review of the Principal's/Leader's strengths and areas of improvement.

Each domain of the rubric should have at least one scored component. The rubric's domains will be equally and averaged.

Final Observation Rating

Each set of school visits (by supervisor or independent evaluator) will be completed using a rubric with rating categories that are aligned to HEDI ratings and 1-4 levels. Each school visit will be scored between 1 and 4.

- All observable domains of the rubric will be assessed at least once a year across the total number of observations.
- Once all evaluations are complete, the different types of school visits will be combined using a weighted average, producing an Overall School Visit Subcomponent score between 1-4.
- The evaluation(s) conducted by the supervisor will be weighted 90% while the evaluation(s) conducted by the Independent Evaluator will be weighted 10%.
- In the event that a Principal/Leader earns a score of 1 on all rated components in a domain of the practice rubric across all observations, a score of 0 will be assigned.
- The Overall School Visit Subcomponent Score will be converted into a HEDI rating based on locally determined ratings listed below.

	Overall Teacher Observation Subcomponent Score and Rating	
	Minimum	Maximum
H	3.5	4.0
E	2.5	3.49
D	1.5	2.49
I	0	1.49

***Principals/Leaders will receive their Final Observation Rating through My Learning Plan by the end of the school year in which the rating was conducted.**

Composite Effectiveness Rating (Final Rating):

Based upon the Overall School Visit Subcomponent Rating and the Overall Student Performance Subcomponent Rating, principal/leaders will receive a Composite Effectiveness Rating as Highly Effective (HE), Effective (E), Developing (D) or Ineffective (I).

The Composite Effectiveness Rating will be calculated based on the state-mandated matrix, cross-referencing the Student Performance Subcomponent and the School Visit Subcomponent.

		School Visit			
Student Performance		Highly Effective (H)	Effective (E)	Developing (D)	Ineffective (I)
	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

*If a Principal/Leader is rated Ineffective on the Student Performance category, and a State-designed supplemental assessment was included as an Optional subcomponent of the Student Performance category, the Principal/Leader can be rated no higher than Ineffective overall (see Education Law §3012-d (5)(a) and (7)).

***Principals/Leaders will receive their Final Composite Rating through My Learning Plan by September 1st of the following school year.**

Use and Submission of APPR Data

Enrolled students in accordance with principal/leader of record policies will be included and may not be excluded from the evaluation process.

Every principal/leader will be given an opportunity to verify the subjects and/or teacher and student rosters assigned to them.

BOCES will be responsible to ensure SED receives accurate principal/leader and student data, including enrollment and attendance data, and any other student, teacher, school, course, and teacher/student linkage data necessary to comply with regulations, including providing scores and ratings for all principals/leaders for each category, as well as the overall rating.

Both BOCES and principals/leaders will be responsible for following procedures for ensuring data accuracy and integrity are being utilized.

Principal/Leader Improvement Plans

If a principal's/leader's performance is rated as Ineffective or Developing, the principal/leader supervisor shall develop a Principal/Leader Improvement Plan (PIP) (using form in Appendix A). The PIP is to be implemented no later than ten (10) days after the start of the school year. The PIP shall include, but not limited to, 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.

Appeal Procedure

Principals may only appeal an Ineffective rating of an overall APPR composite rating. All appeals must be based upon at least one of the following grounds:

1. the substance of the annual professional performance review, pursuant to Education Law 3012-d;
2. the BOCES adherence to the standards and methodologies required for such reviews, pursuant to Education Law 3012-d.

Principals may not file multiple appeals regarding the same performance review. The appeal procedure contained in this APPR plan is the exclusive means for initiating, reviewing and resolving challenges related to principal performance reviews. A principal may not resort to any other contractual grievance procedure for the resolution of challenges and appeals related to professional performance review, except as provided by law. Any deviations in the timelines of the stages will be mutually agreed upon by the association and the district and will be in compliance with the timeliness provisions found in 3012-d of NYS Education Law.

In the event the principal chooses to initiate an appeal of a State Provided Growth Score with the NYS Education Department, all regulations of that appeal process must be followed. In addition, the appeals process contained herein will only go into effect at the conclusion of that appeal. Within seven (7) days of notification to the BOCES of a decision by the NYS Education Department, the BOCES will regenerate and deliver to the principal the adjusted score. The principal will then have seven (7) days to begin the local appeals process, as described below.

Stage 1:

A principal wishing to appeal an ineffective rating on an overall APPR composite rating must file their appeal in writing to the Evaluating Administrator within seven (7) calendar days of receiving their appealed rating or any other ineffective composite rating. A copy of the appeal must also be provided to the Association President. The appeal must include the grounds for the appeal. Any grounds not raised at the time the appeal is filled will be deemed waived. The principal must submit all supporting information with the appeal. Information not submitted at the time the appeal is filed will not be considered.

Within five (5) calendar days of receiving the appeal, the Evaluating Administrator must submit a response to the appeal and hold a conference with the principal. If the appeal is upheld, the updated evaluation related to the appeal and/or Principal Improvement Plan to be implemented as a result of the upheld appeal will be forwarded to the District Superintendent for confirmation, and a copy will be placed in the principal's personnel file.

Stage 2:

If a principal is not satisfied with the outcome at Stage 1 and wishes to appeal, the principal must file their appeal, in writing, to the APPR Review Committee within two (2) calendar days of the conference with the Evaluating Administrator. The APPR Review Committee will be comprised of three (3) individuals; one representative chosen by the Association; one representative chosen by the District; and a third representative mutually chosen by the parties. Should the parties not be able to agree to a third member, one shall be chosen at random from a list of names (not to exceed 3) provided by each of the first two (2) committee members.

Appeals to the Committee must be concluded and a final recommendation rendered, based on consensus, within eight (8) calendar days from receipt of the appeal at Stage 2. The decision shall be based upon the written record, which records include: any evaluation impacting the appealed rating; supporting documentation submitted by the principal and Evaluating Administrator; and the appeal record. The APPR Review Committee shall forward to the District Superintendent its written recommendation on the appeal. A copy of the recommendation shall also be given to the principal.

Stage 3:

The District Superintendent or his/her designee shall review the recommendation of the APPR Review Committee and issue a written response to the principal within eight (8) calendar days of receipt of the committee's decision. The decision of the District Superintendent or his/her designee shall be final and binding and not subject to the grievance process. However, BOCES failure to abide by the negotiated appeal process is subject to the grievance procedure. The District Superintendent or his/her designee has the right to affirm, modify or rescind the evaluation in question. The District Superintendent or his/her designed may also order a new observation and evaluation to take place using a different evaluator.

Copies of the decision of the District Superintendent or his/her designee will be sent to the original evaluator and to the members of APPR Review Committee. A copy of the written appeal and relevant documentation shall be given to the principal and placed in the principal's personnel file.

Process for Training Lead Evaluators/Evaluators/Independent Observers:

The CA BOCES Instructional Support Services Evaluator Program will provide training, consisting of 1 day/6 hours of instruction, to Lead Evaluators/Evaluators and will address all 9 elements required for certification according to subpart 30-3.10(b) of the Rules of the Board of Regents:

1. The New York State Teaching Standards, and their related elements and performance indicators and the Leadership Standards and their related functions, as applicable;
2. Evidence-based observation techniques that are grounded in research;
3. Application and use of the student growth percentile model and any other growth model approved by the Department as defined in section 30-3.2 of this Subpart;

4. Application and use of the State-approved principal rubric(s) selected by the district/BOCES for use in evaluations, including training on the effective application of such rubrics to observe a principal's practice;
5. Application and use of any assessment tools that the school district/BOCES utilizes to evaluate its principals;
6. Application and use of any locally selected measures of student growth used in the Optional subcomponent of the Student Performance category used by the district/BOCES to evaluate its principals;
7. Use of the Statewide Instructional Reporting System;
8. The scoring methodology utilized by the Department and/or the district/BOCES to evaluate a principal under this Subpart, including the weightings of each subcomponent within a category; how overall scores/ratings are generated for each subcomponent and category and application and use of the evaluation matrix(es) prescribed by the Commissioner for the four designated rating categories used for the principal's overall rating and their category ratings and;
9. Specific considerations in evaluating principals of English language learners and students with disabilities.

The CA BOCES Instructional Support Services Evaluator Program will provide required training, consisting of 1 day/6 hours of instruction, for Independent Evaluators and will address all 3 elements required for certification according to subpart 30-3.10(c) of the Rules of the Board of Regents:

1. The New York State Teaching Standards, and their related elements and performance indicators and the Leadership Standards and their related functions, as applicable.
2. Evidence-based observation techniques that are grounded in research and;
3. Application and use of the State-approved principal rubric(s) selected by the district/BOCES for use in evaluations, including training on the effective application of such rubrics to observe a principal's practice.

Process for ensuring inter-rater reliability:

The CA BOCES Instructional Support Services Evaluator Program will provide required training, consisting of 1 day/6 hours of instruction, for all Evaluators related to inter-rater reliability.

Process for the certification and re-certification of lead evaluators:

Certification of Evaluators: The BOCES Superintendent will certify Lead Evaluators/Evaluators/Independent Evaluators qualified to conduct principal evaluations under 3012-d and the Rules of the Board of Regents after they have completed 1 training, at least 1 full day/6 hours of instruction, per school year offered by CA BOCES Instructional Support Services Evaluator Program AND after they have complete at least 1 required training, consisting of 1 day/6 hours of instruction, related to inter-rater reliability.

Recertification of Evaluators: The BOCES District Superintendent will recertify Lead Evaluators/Evaluators/Independent Evaluators qualified to conduct principal evaluations under 3012-d and the Rules of the Board of Regents after they have completed 1 training, at least 1 full day/6 hours of instruction, per school year offered by CA BOCES Instructional Support Services Evaluator Program AND after they have complete at least 1 required training, consisting of 1 day/6 hours of instruction, related to inter-rater reliability.

Appendix A

Principal Improvement Plan – (PIP)

Principal:

Position:

Evaluator:

Date:

Domains in which the principal is in need of improvement:

Area Needing Improvement	Domain	Priority	Performance Goal (s)

Professional improvement activities and anticipated dates for follow-up meetings/progress check:

Professional Development/Materials/Resources Supports	Timeline/Follow-up Date

Evidence that will be used to determine if performance indicators have been achieved:

Educator/Administrator Meetings re: PIP

Meeting Date:

Administrator Comments:	Principal Comments:
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Meeting Date:

Administrator Comments:	Principal Comments:
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Meeting Date:

Administrator Comments:	Principal Comments:
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My administrator and I have discussed this improvement plan. My signature does not endorse nor refute this plan.

_____	_____
Signature of Principal	Date
_____	_____
Signature of Administrator	Date

Recommendations/Results of : PIP

- Principal has met performance goals identified
- Principal has not met performance goals identified. Recommendation:

_____	_____
Signature of Principal	Date
_____	_____
Signature of Administrator	Date

Appendix B

**APPR Evaluation Appeals Form
Cattaraugus-Allegany BOCES**

You must submit this form to the evaluating administrator within 7 days of receiving your summative APPR Evaluation Score. Please review the APPR Evaluation appeals process for guidance and timelines.

Evaluation Appeal Information

I request review of the attached evaluation to determine in the evaluation rating should be affirmed or overturned.

Educator Name (print): _____

Educator Title: _____ Job Placement/Location: _____

Evaluating Administrator: _____ Administrator Title: _____

Evaluation Date: _____ Date Summative Results Received from Administrator: _____

Date Appeal Submitted: _____

Indicate grounds for appeal. If there are several, all must be indicated within one appeal. **Any grounds not raised at the time the appeal is filed shall be deemed waived.** Please check all that apply:

_____ The BOCES adherence to the standards and methodologies required for such reviews, pursuant to Education Law 3012-d.

_____ The adherence to the Commissioner's regulations, as applicable to such reviews.

_____ Compliance with any locally negotiated procedures applicable to annual professional performance reviews or improvement plan.

_____ The BOCES issuance and/or implementation of the terms of the teacher improvement plan under Education Law 3012-d.

Appeal Justification. Explain why you believe the evaluation should be reviewed/overturned. **Please note: Attach the evaluation being appealed and any supporting documentation for the Review Panel. Information not submitted at the time the appeal is filed will not be considered.**

Appeals Process – Stage 1 – Evaluator Response

This process must be completed within 5 days of receipt of appeal.

Date received by administrator: _____

Evaluator Response:

Supporting Documentation:

Conference with evaluator and teacher date: _____ Outcome: ____ Affirmed ____ Overturned

Teacher Signature: _____ Evaluator Signature: _____

If the evaluation is affirmed, the teacher has 2 calendar days to decide to send the appeal to Phase 2.

Appeals Process – Stage 2 – APPR Review Committee

This process must be completed within 8 days of receipt following Phase 1 decision.

Date received by review committee: _____

Review Committee Comments:

Review Committee Resolution Date: _____ Outcome: ____ Affirmed ____ Overturned ____

If the evaluation is affirmed, the teacher has 2 calendar days to decide to send the appeal to Phase 3.

_____ APPR Accepted – Teacher Signature: _____ Date: _____

_____ Phase 3 Appeal Requested – Teacher Signature: _____ Date: _____

Appeals Process – Stage 3 – Superintendent's Final Decision

The process must be completed within 6 days of receipt following Phase 2 decision.

Date received by Superintendent/Designee: _____

Superintendent/Designee Comments:

Final Decision Date: _____ Outcome: ____ Affirmed ____ Overturned