

11. Additional Requirements - Principals

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11.1) Assurances -- Improvement Plans

Please check the boxes below.

11.1) Assurances -- Improvement Plans Assure that principals who receive a Developing or Ineffective rating will receive a Principal Improvement Plan (PIP) within 10 school days from the opening of classes in the school year following the performance year	Checked
11.1) Assurances -- Improvement Plans Assure that PIPs shall include: identification of needed areas of improvement, a timeline for achieving improvement, the manner in which the improvement will be assessed, and, where appropriate, differentiated activities to support a principal's improvement in those areas	Checked

11.2) Attachment: Principal Improvement Plan Forms

As a required attachment to this APPR plan, upload the PIP forms that are used in your school district or BOCES. For a list of supported file types, go to the Resources folder (above) and click Technical Tips.

assets/survey-uploads/5276/162305-Df0w3Xx5v6/Principal Improvment Plan.pdf

11.3) Appeals Process

Pursuant to Education Law section 3012-c, a principal may only challenge the following in an appeal:

(1) the substance of the annual professional performance review

(2) the school district's or BOCES' adherence to the standards and methodologies required for such reviews, pursuant to Education Law section 3012-c

(3) the adherence to the regulations of the Commissioner and compliance with any applicable locally negotiated procedures, as well as the school district's or BOCES' issuance and/or implementation of the terms of the teacher or principal improvement plan, as required under Education Law section 3012-c

Describe the procedure for ensuring that appeals of annual performance evaluations will be handled in a timely and expeditious way:

The District and principals association affirm that the appeals process will be carried out in a timely and expeditious manner.

SECTION VI: APPEAL PROCESS

*Malone Central School District
Principal APPR Appeal Process*

To the extent that a principal wishes to issue an appeal, the following appeals procedure is established.

1. Appeals will be limited to the following situations:

a. A principal completing the first year of a three-year probationary appointment may appeal only an ineffective APPR composite rating;

b. Any other principal may appeal only an ineffective or a developing APPR composite rating;

c. Any principal may appeal an improvement plan if and only if the plan was generated as the result of an ineffective or developing composite rating, in accordance with Section II, e, below.

2. The scope of any appeal will be limited to the following subjects:

a. The substance of the individual's annual professional performance review;

b. The District's adherence to the standards and methodologies required for such reviews, pursuant to Education Law 3012-c;

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

d. Compliance with any applicable locally negotiated procedures regarding annual professional performance reviews or improvement plans, as limited by Section I, above; or,

e. The District's issuance and/or implementation of the terms of the principal improvement plan under Education Law 3012-c in connection with an ineffective or developing rating.

3. A principal may not file multiple appeals regarding the same performance review or principal improvement plan. All grounds for appeal must be raised with specificity within one appeal. Any grounds not raised at the time the appeal is filed shall be deemed waived.

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

5. The following timelines will be strictly adhered to unless extended by mutual agreement. Failure of the petitioner to meet a timeline will nullify the appeal; failure of the respondent to meet a timeline will allow movement of the appeal to the next level.

Level 1 – Evaluator

a. (Informal) Following a qualifying event, as defined in Sections I and II, above, the principal shall be encouraged and shall be entitled to schedule a follow up meeting to informally discuss with the evaluator any and all related issues.

b. (Formal) Any appeal must be submitted to the evaluator in writing no later than ten (10) school days of the date when the principal receives his/her annual professional performance review. If a principal is challenging the issuance or implementation of a principal improvement plan, the appeal must be submitted in writing within ten (10) school days of issuance or of the time when the principal knew or should have known of an alleged implementation breach of such plan.

c. When filing an appeal, the principal must submit a detailed written description of the specific grounds for the appeal as well as the performance review and/or improvement plan being challenged. Along with the appeal, all supporting documentation must be submitted, or specifically noted if pending. Any grounds for appeal or any supporting documentation/information not submitted or noted at the time the appeal is filed shall not be considered.

d. Within ten (10) school days of receipt of an appeal, the evaluator responsible for the issue(s) being appealed must submit a detailed written response to the appeal. Along with the response, all supporting documentation must be submitted, or specifically noted if pending, as well as any additional documents or materials relevant to the response. Any supporting documentation/ information not submitted or noted at the time the response is issued shall not be considered in the deliberations related to the resolution of the appeal. The principal initiating the appeal, and the Principals' Association President, shall receive copies of the response and any and all additional information submitted with the response.

Level 2 – Superintendent

a. Within five (5) school days of receipt of the Level 1 response, if a principal is not satisfied with such response the principal must

submit the appeal to the Superintendent of Schools, or the Superintendent's designee. (If the Superintendent was the evaluator at Level 1, this Level 2 appeal must go to the Superintendent's designee.) The Superintendent or designee will be provided all documentation submitted in both the appeal and the evaluator's response.

b. Within five (5) school days of receipt of the principal's appeal, the Superintendent or designee will conduct a hearing at which the principal (and representative at the option of the principal) and the evaluator (and representative at the option of the evaluator) will be allowed to present oral arguments in support of the appeal and the response, respectively.

c. Within five (5) school days of the Superintendent hearing, the Superintendent or designee will issue a written determination to the principal, the Principals' Association President, and the evaluator.

Level 3 – Panel

a. Within five (5) school days of receipt of the Level 2 determination, if a principal is not satisfied with such determination and if the Principals' Association deems the appeal meritorious, the Association must submit the appeal to a bipartisan panel comprised of two (2) principal representatives and two (2) administration representatives. The panel will be provided the entire appeals record; however, any information identifying the appellant or the appellant's district, evaluator or superintendent will be redacted prior to receipt by the panel. Further, the anonymity of the panel members will be protected to the extent possible throughout this procedure.*

b. Within five (5) school days of receipt of the Association's appeal, the panel will jointly conduct a paper review and deliberation of the matter, and will issue a written recommendation for resolution to the Principals' Association President and the Superintendent of Schools or designee. The recommendation may be to deny the appeal, to sustain the appeal and grant the remedy sought, or to sustain the appeal and modify the remedy; further, reasoning for the recommendation, as well as dissenting opinions, if any, will be included with the recommendation. This panel's decision will be final and binding for all appeals on developing ratings. Appeals of ineffective ratings and split decisions on an appeal of a developing rating will proceed to level 4 below.

Level 4 – Superintendent

a. Within five (5) school days of receipt of the Level 3 recommendation for resolution, the Superintendent of Schools or designee will give due consideration to the panel's recommendation and will issue a final and binding decision, in writing, to the appellant, to the Principals' Association, and to the panel members. Whether the appeal is denied, sustained, or modified, such decision will set forth the reasons and factual basis for each determination on each of the specific grounds raised in the appeal. If the appeal is sustained, the Superintendent or designee may set aside or modify a rating or improvement plan or order a new evaluation or improvement plan if procedures have been violated.

6. The entire appeals record will be part of the principal's APPR.

7. This appeals procedure constitutes the exclusive means for initiating, reviewing, and resolving any and all appeals within the scope of Sections I and II, above. A principal may not resort to any other contractual grievance procedure for the resolution of these appeals, except as otherwise authorized by law.

Nothing in this appeals procedure will restrict the right of the district or the obligation of the principal to proceed in accordance with otherwise standard practice, e.g., implementation of an improvement plan or denial/granting of tenure, while an appeal is pending.

11.4) Training and Certification of Lead Evaluators and Evaluators

Describe the process by which evaluators will be trained and the process for how the district will certify and re-certify lead evaluators. Describe the process for ensuring inter-rater reliability. Describe the duration and nature of such training.

Superintendent and designee have been enrolled in the following training sessions.

Principal Evaluator Training - Initial - Day 1 (combined with Teacher Evaluator Training)

Principal Evaluator Training - Initial - Day 2 Overview of the Multidimensional Principal

Principal Evaluator Training - Initial - Day 3 LLC Standards and map/alignment to MPPR

Principal Evaluator Training - Initial - Day 4 Structured Review - All superintendents are encouraged to attend this session

11.5) Assurances -- Evaluators

Please check the boxes below:

• Checked

(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 the value-added growth model as defined in section 30-2.2 of this Subpart

(4) application and use of the State-approved teacher or principal rubric(s) selected by the district or BOCES for use in evaluations, including training on the effective application of such rubrics to observe a teacher or principal's practice

(5) application and use of any assessment tools that the school district or BOCES utilizes to evaluate its classroom teachers or building principals, including but not limited to, structured portfolio reviews; student, parent, teacher and/or community surveys; professional growth goals and school improvement goals, etc.

(6) application and use of any State-approved locally selected measures of student achievement used by the school district or BOCES to evaluate its teachers or principals

(7) use of the Statewide Instructional Reporting System

(8) the scoring methodology utilized by the Department and/or the district or BOCES to evaluate a teacher or principal under this Subpart, including how scores are generated for each subcomponent and the composite effectiveness score and application and use of the scoring ranges prescribed by the Commissioner for the four designated rating categories used for the teacher's or principal's overall rating and their subcomponent ratings

(9) specific considerations in evaluating teachers and principals of English language learners and students with disabilities

• Checked

11.6) Assurances -- Principals

Please check all of the boxes below:

11.6) Assurances -- Principals Assure the entire APPR plan will be completed for each principal as soon as practicable, but in no case later than September 1 of the school year next following the school year for which the building principal's performance is being measured.	Checked
11.6) Assurances -- Principals Assure that the district will provide the principal's score and rating on the locally selected measures subcomponent, if available, and on the other measures of principal effectiveness subcomponent for a principal's annual professional performance review, in writing, no later than the last	Checked

school day of the school year for which the principal is being measured.	
11.6) Assurances -- Principals Assure that the APPR will be put on the district website by September 10 or within 10 days after approval, whichever is later.	Checked
11.6) Assurances -- Principals Assure that the evaluation system will be used as a significant factor for employment decisions.	Checked
11.6) Assurances -- Principals Assure that principals will receive timely and constructive feedback as part of the evaluation process.	Checked
11.6) Assurances -- Principals Assure the district has appeal procedures that are consistent with the regulations and that they provide for the timely and expeditious resolution of an appeal.	Checked

11.7) Assurances -- Data

Please check all of the boxes below:

11.7) Assurances -- Data Assure that the NYSED will receive accurate teacher and student data, including enrollment and attendance data and any other student, teacher, school, course, and teacher/student linkage data necessary to comply with this Subpart, in a format and timeline prescribed by the Commissioner.	Checked
11.7) Assurances -- Data Certify that the district provides an opportunity for every classroom teacher to verify the subjects and/or student rosters assigned to them.	Checked
11.7) Assurances -- Data Assure scores for all principals will be reported to NYSED for each subcomponent, as well as the composite rating, as per NYSED requirements.	Checked