



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234

**TO:** P-12 Education Committee  
Higher Education Committee

**FROM:** John B. King, Jr.  
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**SUBJECT:** Data Collection and Policy Options for Teacher/Principal Effectiveness: Teacher/Principal of Record

**DATE:** December 30, 2010

**AUTHORIZATION(S):**

### SUMMARY

#### Issue for Discussion

In order to give the Regents Task Force on Teacher and Principal Effectiveness, the Commissioner, and the Board of Regents additional policy options regarding teacher and principal evaluations, does the Board of Regents support the Department's proposal to disseminate an initial Teacher of Record policy for the 2010-11 school year collection and set standards for schools, districts, and data system vendors for the collection of additional data elements for the 2011-12 school year and beyond?

#### Proposed Handling

This item will come before a joint meeting of the P-12 Education Committee and the Higher Education Committee for discussion at its January 2011 meeting.

#### Background Information

Section 6401(e)(2)(D) of the America COMPETES Act (20 U.S.C. 9871) requires that the New York State Education Department (NYSED) establish a longitudinal data system (LDS) that includes:

- A teacher identifier system with the ability to match teachers to students; and

- Student-level transcript information, including information on courses completed and grades earned.

In addition, the American Recovery and Reinvestment Act of 2009 (ARRA) requires a state that receives State Fiscal Stabilization Fund (SFSF) funds (which includes, but is not limited to, the competitive Race to the Top program) to provide assurances using the following indicators and descriptors for Education Reform Area (A) – Achieving Equity in Teacher Distribution:

- **Indicator (a)(3)** – New York must indicate that the systems used to evaluate the performance of teachers include student achievement outcomes or student growth data as an evaluation criterion; and
- **Indicator (a)(6)** – New York must indicate that the systems used to evaluate the performance of principals include student achievement outcomes or student growth data as an evaluation criterion.

In May 2010, the Legislature enacted Section 3012-c of the Education Law, which requires that, beginning with the 2011-12 school year, classroom teachers of common branch subjects or English language arts (ELA) or mathematics in grades 4-8 and all building principals in school districts (other than charter schools) and BOCES where such teachers are employed have forty percent of their composite score of effectiveness be based on student achievement measures as follows: (i) twenty percent based upon student growth data on State assessments; and (ii) twenty percent based on other locally selected measures of student achievement (these percentages are adjusted to twenty-five and fifteen, respectively, in the first school year for which the Board of Regents has approved use of a value-added growth model). Beginning with the 2012-13 school year, these effectiveness factors will apply to all building principals and classroom teachers in school districts (other than charter schools) and BOCES.

Finally, implementation of these required system enhancements are necessary to provide the foundation for the comprehensive instructional reporting system and professional development networks that were proposed in the State's Race to the Top application, as well as to inform policy decisions of the Board of Regents.

### Teacher/Principal of Record Policies

In order for New York to meet its federal and State requirements, as well as to ensure that teacher/principal evaluation systems are fair and understandable, it will be necessary to adopt a teacher/principal of record policy that clearly identifies the teachers and principals who are responsible for student instruction for evaluation purposes.

The adoption of this teacher/principal of record policy is complicated by the fact that effective instruction is often the outcome of a complex set of teacher/student instructional relationships. In addition, teacher/principal assignments and student

enrollments change over time. Finally, it is likely that school districts will not be immediately able to report the desired data because existing local data systems were not designed for these purposes.

Generally, a *Teacher of Record* is defined as an individual (or individuals, such as in co-teaching assignments) who has been assigned responsibility for a student's learning in a subject/course with aligned performance measures. A *Contributing Professional* is an individual who has been assigned the responsibility to provide additional services that support and increase a student's learning.

At its meeting on December 14, 2010, the Regents Task Force on Teacher and Principal Effectiveness considered four related questions:

- How do we collect and verify teacher of record data?
- What are the policy decisions that apply to the use of these data in teacher (and principal) evaluations?
- How do we balance the complexities of implementation with the need for a system that makes sense to teachers, principals, parents, and schools?
- How can we ensure that the system keeps up with innovative practices?

#### Examples of Teacher-Student Instructional Linkages and Policy Questions

The following scenarios illustrate the range of issues that may need to be considered in the adoption of a fair and understandable evaluation system.

##### *Scenario 1: Same Teacher the Entire Year*

In this scenario, the class has only one teacher, and the teacher is assigned to the class for the entire year. Each student learns from the same teacher, and each student is in the class the entire year. The likely policy decision in this scenario is that each of these students should contribute to this teacher's student learning results for evaluation purposes.

##### *Scenario 2: Team Teaching*

In this scenario, the class has two teachers, and these teachers are assigned to the class for the entire year. Each student learns from the same teachers, and each student is in the class the entire year. The policy question for this scenario is "*Should both teachers be considered the teacher of record for each student in the class?*"

##### *Scenario 3: Teacher for Part of the Year*

In this scenario, the class has two teachers, but neither teacher is assigned to the class for the entire year. One teacher teaches part of a full course; the other teacher teaches the rest of the course. Each student learns from the same teachers, and each student is in the class the entire year. The policy question for this scenario is

*“Should one, the other, both, or neither of the assigned teachers be the teacher of record?”*

#### *Scenario 4: Student for Part of the Year*

In this scenario, the class has one teacher, and the teacher is assigned to the class for the entire year. Each student learns from the same teacher, but one or more of the students are in the class for less than the entire year. The policy question for this scenario is *“How long must a student be in a class for his or her score to contribute to the teacher’s student learning results for evaluation purposes?”*

#### *Scenario 5: Student Supplemental Instruction*

In this scenario, the class has one teacher, and the teacher is assigned to the class for the entire year. One or more students receive different or additional instruction (e.g., push-in or pull-out). Each student is in the class for the entire year. The policy questions for this scenario are *“Do the assessment scores of students with supplemental instruction count toward the main classroom teacher? How is the supplemental-instruction teacher evaluated?”*

#### *Additional Scenarios*

Innovations in educational practice have resulted in various other teacher-student-course linkages that will need to be considered. These included re-grouping students with different teachers by subject, instruction provided via virtual or distance learning, integrated co-teaching classrooms for students with a disability, and instances where a student takes an assessment when he or she is no longer enrolled in the course that helped prepare the student for the assessment (including assessments whose content spans more than one course).

#### Ensuring Accuracy of Evaluation Data

It will be critical to develop procedures and tools that allow teachers and principals to help ensure that accurate data are used for their evaluations. Issues that will need careful review include the accuracy of the courses a teacher taught and who helped teach those courses; when the teacher taught those courses; which students were in the course and when; and, which students received supplemental instruction, from whom, and to what degree.

#### Initial Teacher of Record Policy Guidance

The scenarios above suggest that policy makers may desire access to data elements that are not currently available, including the collection of multiple teachers per course, multiple assessments per course, teacher assignment begin/end dates for each course taught, student enrollment begin/end dates for each enrolled course, and indicators of supplemental instruction. None of these data elements are available in the

student management systems that are currently in use for most schools and districts in the State.

However, it remains necessary to collect statewide teacher, course, and student-teacher linkages data for the 2010-11 school year in order to meet federal requirements, as well as to provide statewide data for analysis and policy purposes. To provide guidance to the field for the submission of these data, the following initial Teacher/Principal of Record policy is proposed for the 2010-11 school year collection:

For those courses included in the 2010-11 school year collection (grades 3-8 English language arts and math, grade 4/8 science, and those secondary-level courses associated with a Regents exam), the Teacher of Record is the **single teacher** who is **primarily and directly responsible** for a student's year-long learning activities (i.e., provides direct instruction to the majority of the students for the majority of the year) that are aligned to the performance measures of the course.

### Recommendations

It is recommended that the Department do the following:

- Issue the proposed initial Teacher of Record policy guidance for the 2010-11 school year collection;
- Work with data system vendors to enable the collection of additional data for the 2011-12 school year collection and beyond (including the collection of multiple teachers per course, multiple assessments per course, teacher assignment begin/end dates for each course taught, student enrollment begin/end dates for each enrolled course, and an indicator of supplemental instruction);
- Explore and implement best practices in the verification of teacher/course data;
- Engage with the task force to explore possible policy options around the scenarios described to ensure that decisions are fair to teachers, principals, and students.