



THE UNIVERSITY OF THE STATE OF NEW YORK
THE STATE EDUCATION DEPARTMENT

REQUEST FOR QUALIFICATIONS (RFQ) # 15-001

**TEACHER AND PRINCIPAL EVALUATION:
QUALIFICATIONS FOR SUPPLEMENTAL ASSESSMENTS AND
CORRESPONDING GROWTH MODELS AND/OR
ASSESSMENTS FOR USE WITH SLOs
TO BE USED BY NEW YORK STATE SCHOOL DISTRICTS AND
BOARDS OF COOPERATIVE EDUCATIONAL SERVICES (BOCES)
IN TEACHER AND PRINCIPAL EVALUATIONS**

APPLICATION PERIOD: CONTINUOUS AND ONGOING

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1.0 GENERAL INFORMATION

1.1 PROGRAM SUMMARY

To implement the provisions of Education Law §3012-d relating to annual professional performance reviews (APPRs) of classroom teachers and building principals, the New York State Education Department (NYSED) is soliciting applications for assessments that will be used as measures of student growth, either through supplemental assessments in conjunction with a growth model for use in the Optional Student Performance Subcomponent or through an assessment used with a student learning objective (SLO) (see definition below) that will generate a growth target for one year of expected growth for use in the Required Student Performance Subcomponent, and will subsequently contribute to teachers’ and principals’ APPRs.

Please note, per Education Law §3012-d and Subpart 30-3 of the Rules of the Board of Regents, “supplemental assessments” may include assessments that have been developed or designed by the State, in addition to those that have been purchased or acquired by the State from (i) another state; (ii) an institution of higher education; or (iii)

a commercial or not-for-profit entity; provided that such entity must be objective and may not have a conflict of interest or appearance of a conflict of interest. Supplemental assessments may also be tests or assessments that have been previously designed or acquired by local districts.

THIS SOLICITATION WILL NOT RESULT IN A CONTRACT WITH THE NEW YORK STATE EDUCATION DEPARTMENT.

On April 13, 2015, the Governor signed Chapter 56 of the Laws of 2015 to add a new Education Law §3012-d to establish a new evaluation system for classroom teachers and building principals. As a result, during the June 2015 meeting of the Board of Regents, Subpart 30-2 was amended, and a new Subpart 30-3 of the Rules of the Board of Regents was added as an emergency adoption in order to implement Education Law §3012-d.

The new law requires teachers and principals to be evaluated based on two categories: the Student Performance Category and the Observation Category. The former is made up of two subcomponents, the Required Student Performance Subcomponent and the Optional Student Performance Subcomponent. Section 30-3.8 of the Rules of the Board of Regents requires the Commissioner to evaluate student assessments for use in the Required and/or Optional Student Performance Subcomponents based on the criteria outlined in this RFQ. Such assessments include those previously placed on the “List of Approved Student Assessments for Use by School Districts and BOCES in Teacher and Principal Evaluations.” Assessments approved under the previous list are only eligible for use under Education Law §3012-c. Assessment providers must apply to this RFQ in order to be approved for use under Education Law §3012-d.

Importantly, unlike past versions of New York State’s “Approved Assessment List” RFQ process, New York State is no longer approving assessments as stand-alone items. Beginning with this RFQ, all assessments must be approved in conjunction with a target setting process aligned with one-year expected academic growth (for use with SLOs) or a growth model (for use with a supplemental assessment).

In accordance with New York State’s new teacher and principal evaluation legislation, one category of an educator’s evaluation shall be based on student growth, which shall include one mandatory subcomponent and one optional subcomponent:

- 1. Required Student Performance Subcomponent.** For a teacher whose course ends in a State-created or administered test for which there is a State-provided growth model and at least 50% of a teacher’s students are covered by the State-provided growth measure, or for principals with at least 30% of his/her students covered under the State-provided growth measure, an educator shall have a State-provided growth score for this subcomponent¹. For all other teachers²,

¹ Pursuant to Sections 30-2.14 and 30-3.17 of the Rules of the Board of Regents, during the 2015-16 through 2018-19 school years, alternate SLO’s must be developed for any educator whose Student Performance measures are based entirely on the grades 3-8 NYS ELA or math assessments or State-provided growth scores. These alternate SLOs must be based on assessments that are not the grades 3-8 NYS ELA or math assessment or any State-provided growth scores.

² In addition to teachers requiring alternate SLOs according to the transition regulations.

SLOs must be developed, consistent with a goal-setting process determined or developed by the commissioner, that results in a student growth score based on whether or not the target of one year's worth of expected growth has been met; provided that, for any educator whose course ends in a State-created or administered assessment for which there is no State-provided growth model, such assessment must be used as the underlying assessment for such SLO³.

Through this RFQ, New York State seeks to build an "Approved List of Assessments to be used with SLOs" from which districts and BOCES can choose from for the Required Student Performance subcomponent.

2. **Optional Student Performance Subcomponent.** This portion of the APPR must be based on measures of student growth, which are selected by districts/BOCES. The measures, to the extent practicable, must apply in a consistent manner across the district and can be either: (A) a second State-provided growth score on a State-created or administered test⁴, or (B) a growth score based on a supplemental assessment, calculated using a State-provided or approved growth model.

Through this RFQ, New York State seeks to build the "Approved List of Supplemental Assessments to be used with Growth Models" from which districts and BOCES can choose from for the Optional Student Performance Subcomponent.

Both lists will constitute approved assessments for certain grades and subjects if they meet the State's technical criteria and are consistent with Commissioner's regulations for the Optional and/or Required Student Performance subcomponents (i.e., a list of assessments that can be used for #1 and #2 above).⁵ Assessments previously designed or acquired by a school district or BOCES may be submitted to the Department for approval through this process as well.

NYSED will use the objective criteria specified within this RFQ to review such applications for addition to either or both lists of approved assessments for the purposes of APPR:

- *The List of Approved Student Assessments for Use by School Districts and BOCES in Teacher and Principal Evaluations in conjunction with Student Learning Objectives (SLOs) for the Required Student Performance Subcomponent ("Approved List of Assessments to be Used with SLOs")*
- *The List of Approved Supplemental Assessments and Corresponding Growth Models for Use by School Districts and BOCES in the Optional Student Performance Subcomponent ("Approved List of Supplemental Assessments and Growth Models")*

³ Grade 3 ELA and math teachers require an alternate SLO in the event that there are no remaining measures across both the Required and Optional subcomponents of the Student Performance category.

⁴ During the transition period if the use of option (A) results in no remaining measures across both the Required and Optional subcomponents of the Student Performance category, an alternate SLO must be developed.

⁵ Assessments approved for grades K-2 shall not include "Traditional Standardized Assessments" as defined below in the section "Definitions of Key Terms Used in this RFQ."

Specifically, a full application for an assessment to be used in conjunction with SLOs must include a completed Form H assuring that the assessment meets the minimum requirements:

Additionally, a full application for a supplemental assessment to be used in conjunction with a growth model must include information about:

1. The assessment itself.
2. How the assessment's scores are used with a growth model.
3. How the individual student-level growth scores are aggregated—either through a statistical growth model or a series of business rules—to create a teacher/principal-level growth score.
4. How the teacher/principal-level growth scores are converted to a 0-20 APPR score for each teacher or principal.

This is not a competitive procurement. All submitted assessments that meet the criteria specified in this RFQ for either or both lists will be included on the applicable list. The lists will be maintained by NYSED and will indicate approved assessments that may be selected by districts and BOCES for use in teacher and principal evaluations in conjunction with either SLOs through a target setting process aligned with one-year expected academic growth or with an approved growth models. *No funding is directly associated with this application for approval.*

The lists will be updated on a rolling basis. On a continual basis, there is the opportunity for applicants to demonstrate that their submitted assessment for use with an SLO or with a growth model meets the requirements for inclusion on the applicable list. Assessments may be removed from approved lists for cause (as outlined in Section 2.3, Termination of Approval of an Assessment and Associated Growth Model) or upon request by the provider.

1.2 BACKGROUND

1.2(A) Background Information: New York State, NYSED, and Teacher Evaluation

The New York State school system is one of the most comprehensive educational systems in the country. It comprises 689 school districts, 37 BOCES, over 7,000 public/private elementary and secondary schools including 246 charter schools, and serves the educational needs of over 3.1 million students. Additionally, there are currently over 220,000 certified public school teachers and administrators employed by New York State schools who directly support the educational needs and achievement of our student population.

Education Law §3012-d establishes a new performance evaluation system for classroom teachers and building principals. New York State will implement a State-wide comprehensive evaluation system for school districts and BOCES. The evaluation system is designed to measure teacher and principal effectiveness based on performance, including measures of student growth and evidence of educator effectiveness in meeting the New York State Teaching Standards or the State's

school leadership standards (Educational Policy Leadership Standards: ISLLC: 2008). Under the law, New York State will differentiate teacher and principal effectiveness using four rating categories – Highly Effective, Effective, Developing, and Ineffective. Education Law §§3012-d(5)(a) and (b) require annual professional performance reviews (APPRs) to result in a single teacher or principal effectiveness rating, which incorporates multiple measures of effectiveness. The results of the evaluations shall be a significant factor in employment decisions, including but not limited to, promotion, retention, tenure determinations, termination, and supplemental compensation, as well as teacher and principal professional development (including coaching, induction support, and differentiated professional development).

Under the new system, one category of teacher and principal evaluations shall be based on measures of student performance. Importantly, the law now requires all measures of student performance to be based on student growth in up to two subcomponents: 1) required measures of student growth on State assessments or other Department-approved assessments, and 2) optional measures of student growth. For classroom teachers and building principals in subjects and grades where there is no State-provided growth score, or where State-provided growth scores do not cover the requisite percentage of an educator's student population⁶, the required subcomponent of the Student Performance Category will be based on a SLO consistent with a goal-setting process determined or developed by the commissioner. Under the new system, SLO targets must represent, at a minimum, one year's worth of expected growth for individual students. In cases where the district/BOCES elects, through collective bargaining, to use the optional student growth subcomponent, such measure must be either (A) a second State-provided growth score on a State-created or administered test⁷ or (B) a growth score based on a supplemental assessment, calculated using a State-provided or approved growth model. The weightings and scoring ranges for both subcomponents of the Student Performance Category are set forth in Subpart 30-3 of the Rules of the Board of Regents.

For additional information on New York State's new evaluation system, including information on the Commissioner's regulations, see the [NYSED website](#).

1.2(B) Background Information: New York State Next Generation Assessment Priorities

To help improve education in New York State, the New York State Board of Regents and the New York State Education Department have established a number of desirable characteristics for the State's accountability assessments. These characteristics, known as the New York State Next Generation Assessment Priorities, articulate aspects of assessments that the Board of Regents and NYSED find desirable due to their positive impact on the classroom.

⁶ In addition to teachers requiring alternate SLOs according to the transition regulations.

⁷ During the transition period if the use of option (A) results in no remaining measures across both the Required and Optional subcomponents of the Student Performance category, an alternate SLO must be developed.

The assessment service providers are in the early stages of creating new assessments that address most of the Next Generation Assessment Priorities with fidelity, so these priorities are considered optional and highly desirable at this time. As assessments continue to develop in the academic, not-for-profit, and for-profit sectors, NYSED will continually expect that assessments demonstrate greater adherence to New York State’s assessment priorities.

To help New York State districts and BOCES choose which assessments, for use with SLOs or supplemental assessments with corresponding growth models, from the *Approved Lists* districts and BOCES will implement, the application to this RFQ requires information be provided on each of the characteristics. For all assessments and associated target setting or growth models placed on the *Approved Lists*, this information will be publicly available through NYSED’s web site.

Characteristics of good ELA and math assessments: New York State has adopted state standards for ELA and mathematics, and NYSED will continually expect that assessments demonstrate greater adherence to the New York State Learning Standards in ELA and mathematics. For purposes of this RFQ, respondents are asked to briefly describe how their proposed assessment is consistent with the criteria below. For links to New York State Learning standards, see **Appendix A: New York State Learning Standards**.

Assessments woven tightly into the curriculum: The Board of Regents and NYSED believe the best assessments are those that are able to be seamlessly administered in conjunction with regular classroom instruction and in support of the day-to-day academic goals of the teacher.

Performance assessment: Although traditional multiple-choice assessments have a proven record of providing valuable data about student proficiency, the Board of Regents and NYSED believe that performance assessments serve at the least an equally valuable role in providing actionable feedback to educators and students. As conceptualized for the purposes of this RFQ, a performance assessment requires examinees to perform a task, often an authentic or “real” task. The purpose of a performance assessment is to allow a student to display an understanding of a concept through performance. Well-constructed performance assessments are often engaging and meaningful for students, making this type of assessment particularly beneficial to students in earlier grades. Performances may include demonstrations, explanations, conducting work, problem solving, etc. Examinees are then scored on their performances, which may include products that may be components of the performance.

Efficient time-saving assessments: In New York State, assessments that are able to maximize the efficiency with which they gather data on student proficiency are strongly preferred. Likewise, assessments that are able to collect a greater amount of information in a shorter amount of time are desirable as they allow more classroom instructional time. Assessment efficiency can be accomplished by minimizing the number of assessment items or the length of assessment items to the extent possible to still yield valid, reliable, and fair scores. Efficiencies can also be accomplished through innovative techniques such as computer-adaptive testing.

Note that NYSED recognizes that the degree to which an assessment is efficient is interpreted within the context of the particular type of assessment. For example, it is understood that performance assessments tend to take longer to administer and score than traditional multiple-choice assessments; however, within the field of performance assessments there are some that are more efficient than others.

Technology: The Board of Regents and NYSED recognize the many benefits of shifting to technology-based assessments. Not only can technology help with some of New York State's other Next Generation Assessment Priorities (e.g., performance assessments, shorter adaptive assessments), but technology can also aid in speeding the administration of assessments to students and the return of students' scores to educators to ensure those scores are immediately actionable. Additionally, in many instances technology may be able to decrease assessment-related costs.

Degree to which the growth model must differentiate across New York State's four levels of teacher effectiveness: Growth models proposed in conjunction with this RFQ must be able to differentiate educators across New York State's four levels of teacher effectiveness (Highly Effective, Effective, Developing, Ineffective). The degree of differentiation shall be similar to that seen on New York State's own state growth model (e.g., the same proportion of educators fall into each of the four effectiveness categories). By showing an acceptable degree of differentiation, the growth models will provide meaningful feedback for teachers and principals. For additional information on NYSED's growth model, see the [2015-16 NYSED Technical Report for Growth Measures](#).

1.2(C) Background Information: The Approved Assessment Lists

This RFQ is soliciting supplemental assessments, as defined earlier in this document, with associated growth models and assessments to be used with SLOs that include a target setting process aligned with one-year expected academic growth that are consistent with *the Testing Standards* (see definition below), and are consistent with the standards set forth in Education Law §3012-d.

NYSED will review the submitted assessments for use with SLOs and the supplemental assessments with associated growth models and evaluate them on the degree to which they meet criteria established in this RFQ and the Commissioner's regulations. Applicants and Providers of approved assessments will be notified and placed on the applicable *Approved Assessment List*. Once approved, assessments will be on the applicable *Approved Assessment List* unless the assessment and/or any associated growth model is disqualified, or approval is terminated by NYSED according to the specifications set forth within the Commissioner's regulations and this RFQ (refer to Section 2.3 for additional information), **or** upon the request of a provider for removal from the list.

Once each of the *Approved Assessment Lists* are established, districts and BOCES will have the opportunity to select supplemental assessments with associated growth models or assessments for use with SLOs from the *Approved Assessment Lists* and may enter into an agreement with the Assessment Provider for services within the

terms and conditions cited in State law and regulations, and this RFQ. If approved, districts and BOCES are not required to provide their assessments to other districts and BOCES. Additionally, third party assessments previously approved for use under Education Law §3012-c may be re-submitted by their providers, to be considered by the Department for use with SLOs or as supplemental assessments with associated growth models in teacher or principal evaluations under Education Law §3012-d. Previously approved assessments must be approved through this RFQ for use under Education Law §3012-d and will be reviewed in an expedited manner.

Though NYSED is approving assessments for use in teacher and principal evaluation, the *Approved Assessment Lists* are not an endorsement of any of the Assessment Providers. Districts and BOCES should verify the capabilities of the Assessment Providers prior to entering into any agreements. NYSED reviews the applications solely based on the criteria stipulated in this RFQ and Subpart 30-3 of the Rules of the Board of Regents.

1.3 DEFINITIONS OF KEY TERMS USED IN THIS RFQ

Term	Definition
Applicant	The entity submitting the application. The Applicant may, in some cases, not be the Copyright Owner, the Assessment Representative, or the Assessment Provider. See Section 2.1 for more information.
<i>Approved List of Supplemental Assessments to be used with Growth Models</i>	“ <i>The List of Approved Supplemental Student Assessments for Use by School Districts and BOCES in Teacher and Principal Evaluations in Conjunction with Approved Growth Models.</i> ” Applications to this RFQ that meet the requirements for this list and that are approved are placed on the <i>Approved List of Supplemental Assessments to be Used with Growth Models</i> .
<i>Approved List of Assessments to be Used with SLOs</i>	“ <i>The List of Approved Student Assessments for Use by School Districts and BOCES in Teacher and Principal Evaluations in conjunction with Student Learning Objectives.</i> ” Applications to this RFQ that meet the requirements for this list and that are approved are placed on the <i>Approved List of Assessments to be Used with SLOs</i> .
Assessment	A measure of a student’s skills or their understanding of concepts.
Assessment Provider	The person or entity actually providing the assessment and/or related services to the LEA. The Assessment Provider may, in some cases, be the Copyright Owner or the Assessment Representative.

Assessment Representative	For the purposes of this RFQ, the Assessment Representative is assumed to be legally authorized by the Copyright Owner to provide the assessment and/or any related assessment services. The Assessment Representative would provide products and/or services to an LEA, but this RFQ does not authorize the provision of any products and/or services to NYSED.
Board of Regents	The Board of Regents is responsible for the general supervision of all educational activities within the State, presiding over The University of the State of New York and the New York State Education Department.
BOCES	Boards of Cooperative Educational Services. There are 37 BOCES in the State of New York that serve as shared service providers to school districts in the State of New York.
Classroom Teacher	Classroom teacher or teacher shall mean a teacher in the classroom teaching service who is a teacher of record as defined §30-3.2 of the Rules of the Board of Regents, except evening school teachers of adults enrolled in nonacademic, vocational subjects, and supplemental school personnel (i.e., teaching assistants, teacher aides, pupil personnel providers).
Commissioner, The	The Commissioner is the chief executive officer of the New York State Education Department and president of the University of the State of New York.
Commissioner’s Regulations, The	Regulations in Title 8 of the New York Code of Rules and Regulations adopted by the Board of Regents, and, in particular, the regulations pertaining to New York State’s new teacher and principal evaluation system to implement §3012-d of the Education Law.
Copyright Owner	The person or entity that is the owner of the copyright of a particular assessment that is being submitted for approval through the RFQ process.
CTE	Career and Technical Education. Additional information on New York State’s Career and Technical Education programs is available on the NYSED website .
Educator(s)	Teachers and Principals.

<p>Growth Model</p>	<p>One of a variety of statistical models that can be used to make inferences about student growth. Categories of growth models include, but are not limited to, gain score models, growth-to-proficiency models, student growth percentiles, projection models, and value-added models. For the purposes of this RFQ, the growth model must control for prior academic history, poverty, students with disabilities and English language learners, and any additional factors approved by the Commissioner to measure student growth, either directly within the model or in conjunction with the model through a process to aggregate to an individual teacher’s or principal’s effectiveness score. For definitions of each type of growth model, see Appendix B: Definitions of Growth Models.</p>
<p>Local Education Agency (LEA)</p>	<p>For purposes of this RFQ, one of the approximately 700 school districts in the State of New York or a BOCES. Note that in some instances a BOCES may procure services on behalf of one or more school districts.</p>
<p>NYSED</p>	<p>The New York State Education Department</p>
<p>New York State Learning Standards</p>	<p>The learning standards approved by the Board of Regents, which include ta set of standards specific to the State of New York. A list of New York State Learning Standards is available in Appendix A: New York State Learning Standards.</p>
<p>Principal or Building Principal</p>	<p>Principal shall mean a building principal, or an administrator in charge of an instructional program of a board of cooperative educational services.</p>
<p>RFQ</p>	<p>A “Request for Qualification”; a procurement tool used by the State Education Department to identify one or more providers who meet a specified set of requirements.</p>
<p>School Representative</p>	<p>An LEA that has been authorized to submit an application to this RFQ for an assessment that the LEA uses, or plans to use, on behalf of the Copyright Owner or Assessment Representative.</p>

<p>Supplemental Assessments</p>	<p>A selection of assessments developed or designed by the State Education Department, or that the State Education Department purchased or acquired from (i) another state; (ii) an institution of higher education; or (iii) a commercial or not-for-profit entity, provided that such entity must be objective and may not have a conflict of interest or appearance of a conflict of interest; such definition may include tests or assessments that have been previously designed or acquired by local districts, but only if the state education department significantly modifies growth targets or scoring bands for such tests or assessments or otherwise adapts the test or assessment to the state education department's requirements.</p>
<p>Student Learning Objective</p>	<p>Student Learning Objectives (SLOs) are academic goals for an educator’s students that are set at the start of a course, except in rare circumstances as defined by the Commissioner. SLOs represent the most important learning for the year (or semester, where applicable). They must be specific and measurable, based on available prior student learning data, and aligned to the New York State learning standards, as well as to any other school and district priorities. An educator’s scores are based upon the percentage of students meeting their target. See Appendix A: New York State Learning Standards for a list of all content areas in New York State for which there are standards.</p>
<p>Testing Standards, The</p>	<p>Any reference in this RFQ to “the Testing Standards” shall mean the “Standards for Educational and Psychological Testing” (American Educational Research Association, American Psychological Association, & National Council on Measurement in Education, 2014—available at the Office of Counsel, State Education Department, State Education Building, Room 148, 89 Washington Avenue, Albany, New York, 12234).</p>
<p>Traditional Standardized Assessments</p>	<p>Traditional standardized assessments are defined by NYSED for the purposes of this regulation as a systematic method of gathering information from objectively scored items that allow the test taker to select one or more of the given options or choices as their response. Examples include multiple-choice, true-false, and matching items. NYSED defines this term to focus <u>specifically</u> on those assessments that require the student (and not the examiner/assessor) to directly use a "bubble" answer sheet.</p> <p>For further guidance on NYSED’s design principles for K-2 assessments and the State’s requirement that K-2 assessments not be “Traditional Standardized Assessments” as defined above, see APPR Assessment Guidance.</p>

1.4 RESERVATION OF RIGHTS

NYSED reserves the right to: (1) reject any or all applications received in response to the RFQ; (2) withdraw the RFQ at any time, at the agency's sole discretion; (3) disqualify any provider whose conduct and/or application fails to conform to the requirements of the RFQ and/or any applicable laws or regulations; (4) seek clarifications of applications; (5) use application information obtained through the State's investigation of a provider's qualifications, experience, ability, or financial standing, and any material or information submitted by the provider in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFQ; (6) during the application period, amend the RFQ specifications to correct errors or oversights, or to supply additional information, as it becomes available; (7) during the application period, direct providers to submit application modifications addressing subsequent RFQ amendments; (8) change any of the scheduled dates; (9) waive any requirements that are not material; (10) negotiate with the successful provider within the scope of the RFQ in the best interests of the state; (11) require clarification at any time during the qualification process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a provider's application and/or to determine a provider's compliance with the requirements of the RFQ; and (12) request accurate and current estimates of provider costs.

2.0 **SPECIFICATIONS**

2.1 **ELIGIBLE APPLICANTS**

The following sections describe the entities that qualify as eligible applicants and who therefore, may submit applications in response to this Request for Qualifications.

2.1(A) For a Supplemental Assessment and Associated Growth Model Created by a Vendor or Assessments to Be Used with SLOs Created by a Vendor: Eligible Applicants are Copyright Owners or Assessment Representatives of the Assessment Being Proposed Who Partner with a New York State Local Education Agency

To the extent authorized by law, entities eligible to apply to provide educator evaluation assessment services include, but are not limited to:

- Private for-profit companies, including but not limited to, test publishers and research organizations;
- Nonprofit organizations;
- Institutions of Higher Education; or
- Boards of Cooperative Educational Services (BOCES).

Each approved Copyright Owner or Assessment Representative will be responsible for meeting the terms of its agreement with the district or BOCES. For the purposes of this RFQ, each application must be co-submitted with one New York State Local Education Agency. If a supplemental assessment and associated growth model or assessment to be used with an SLO that generates a target aligned with one year expected academic growth is approved and placed on either (or both) *Approved Assessment Lists*, all districts or BOCES are eligible to contract with the vendor for the approved assessment to be used with an SLO or for the approved supplemental assessment and associated growth model(s).

2.1(B) Eligible Applications Also Include Districts and BOCES That Are Authorized to Submit an Application on Behalf of the Copyright Owner / Assessment Representative of a Supplemental Assessment and Associated Growth Model or Assessment to Be Used with an SLO

Districts and BOCES are eligible to submit an application for this RFQ on behalf of the Copyright Owner of an assessment and/or an Assessment Representative for an assessment used or planned to be used in their schools, provided that the district or BOCES receives approval from the Copyright Owner/Assessment Representative to submit an application for the assessment for this RFQ, and the Copyright Owner/Assessment Representative is an eligible entity listed in 2.1(A), above.

If an entity is submitting an application on behalf of the Copyright Owner/Assessment Representative of the assessment, **Form F: Approval to Submit on Behalf of Copyright Owner/Assessment Representative** (located in this RFQ), must be included in the RFQ application. This form must be signed by the Copyright Owner/Assessment Representative for the assessment being proposed.

See **Form F** and **Section 3.5: Application Package Checklist** for more information.

2.1(C) Eligible Applications Also Include Districts and BOCES as the Owners of the Supplemental Assessment and Associated Growth Model or Assessment to Be Used With an SLO

For supplemental assessments and associated growth models, districts, with the exception of city school districts of cities with populations of more than 500,000 inhabitants, are eligible to submit an application for this RFQ as the Owner of an assessment that has been designed by such district provided that each application must be sponsored by a BOCES. The assessment owner and the sponsor must both assure that the assessment complies with the technical requirements of the RFQ. BOCES and city school districts of cities with populations of more than 500,000 inhabitants are eligible to submit an application for this RFQ as the Owner of an assessment without a sponsor.

For assessments to be used with an SLO, districts are eligible to submit an application for this RFQ as the Owner of an assessment that has been designed by such district without sponsorship by a BOCES. Additionally, BOCES may submit an application for this RFQ as the Owner of an assessment that has been designed by such BOCES without need for any sponsorship.

An assessment submitted by an LEA, if approved and placed on the applicable *Approved Assessment List*, will be available for use by any LEA, so long as there is an agreement with the Copyright Owner/Assessment Representative and/or Assessment Provider.

2.1(D) Eligible Applications Also Include Copyright Owners or Assessment Representatives of the Assessment Being Proposed as the Owners of the Supplemental Assessment and Associated Growth Model or Assessment to Be Used With an SLO

To the extent authorized by law, entities eligible to apply to provide educator evaluation assessment services include, but are not limited to:

- Private for-profit companies, including but not limited to, test publishers and research organizations;
- Nonprofit organizations;
- Institutions of Higher Education; or
- Boards of Cooperative Educational Services (BOCES).

Each approved Copyright Owner or Assessment Representative will be responsible for meeting the terms of its agreement with the district or BOCES.

2.2 TECHNICAL DOCUMENTATION FOR ASSESSMENTS

Please note: technical documentation for assessments is only necessary for supplemental assessments with corresponding growth models. For technical criteria, please see the technical application in Form B-2 in this RFQ. For assessments for use with SLOs, applicants must instead complete Form H.

2.3 TERMINATION OF APPROVAL OF A SUPPLEMENTAL ASSESSMENT AND ASSOCIATED GROWTH MODEL AND AN ASSESSMENT FOR USE WITH AN SLO

1. Approval shall be withdrawn for good cause, including, but not limited to, a determination by the commissioner that:
 - a. the assessment does not comply with one or more of the criteria for approval set forth in this RFQ;
 - b. the Department determines that the assessment is not identifying meaningful and/or observable differences in performance levels across schools and classrooms; and/or
 - c. high quality academic research calls into question the correlation between high performance on the assessment and positive student learning outcomes.
2. Termination of a student assessment from the approved list shall be conducted in accordance with the following procedures:
 - a. The commissioner or his/her designee shall notify the provider of the approved assessment in writing of the intent to terminate approval at least 30 calendar days prior to the effective date of the termination, including a list of the identified deficiencies.
 - b. The provider may reply in writing within 10 calendar days of receipt of the commissioner's notification, addressing the commissioner's statement of reasons, indicating whether deficiencies and/or violations exist, what steps have been taken to correct conceded deficiencies and/or violations, and the time period and steps by which deficiencies and/or violations will be corrected. If no reply is received, termination and removal from the list will become effective 30 calendar days from the date of receipt of the commissioner's notification.
 - c. Within three business days of receipt of the commissioner's notification, the provider may request oral argument before the commissioner or his/her designee.
 - d. After consideration of any written response and of any oral argument, the Commissioner or his or her designee shall make a determination as to whether approval shall be terminated. Notice of such determination shall be provided in writing to the provider.

3.0 **APPLICATION PROCEDURES**

3.1 **APPLICATION TIMELINE**

All applicants shall submit all required materials as follows. Applications will be reviewed on a rolling basis in the order in which they are submitted beginning on August 31, 2015 and will continue as needed; provided that, for assessments previously approved by the Department pursuant to the RFQ for Student Assessments to Be Used by New York State School Districts and BOCES in Teacher and Principal Evaluations under Education Law §3012-c, the Department will expedite its review. In the case of supplemental assessments with associated growth models, the Department will also expedite its review of assessments with pre-established growth models that do not require conditional approval (see section 3.7, Note on Plans to Collect Evidence in Lieu of Actual Evidence). Vendors, districts, and BOCES whose assessments have not previously been approved by the Department and/or whose assessments do not have a corresponding growth model that has already been used in practice should assume a minimum of a two-month review window between submission and approval or denial of an application. The Department does not guarantee that such assessments will be reviewed and/or approved through this RFQ in time for inclusion in any particular school year. As such, districts and BOCES who wish to use a supplemental assessment for the optional subcomponent of their APPR plan should plan to use one of the other alternate instruments already included on the list if their submission is not approved in time for inclusion in their APPR plan.

NYSED reserves the right to update RFQ requirements at any time for any reason.

3.2 **APPLICATION SUBMISSION METHOD**

Applicants must adhere to the submission method detailed below.

Acceptable Submission Method:

Applicants may either:

1. Submit electronically by emailing an application packet containing a copy of the **full application** in Microsoft Office (.doc(x), .xls(x), .ppt(x)) and/or portable document format (.pdf). Also, if possible, include a single PDF containing all application materials / appendices / attachment to ASSESSRFQ@nysed.gov; or
2. Address or hand-deliver an application packet containing:
 1. **one (1) original**;
 2. **one (1) copy**;
 3. **one (1) CD** containing a copy of the **full application** in Microsoft Office (.doc(x), .xls(x), .ppt(x)) and/or portable document format (.pdf). Also, if possible, include a single PDF containing all application materials / appendices / attachments.

to the following address:
New York State Education Department
1071 EBA
Office of Teacher and Leader Effectiveness
89 Washington Ave
Albany, NY 12234

**ATTENTION: TEACHER AND PRINCIPAL EVALUATION:
QUALIFICATIONS FOR SUPPLEMENTAL ASSESSMENTS AND
CORRESPONDING GROWTH MODELS AND/OR ASSESSMENTS FOR
USE WITH SLOs TO BE USED BY NEW YORK STATE SCHOOL
DISTRICTS AND BOARDS OF COOPERATIVE EDUCATIONAL
SERVICES (BOCES)
IN TEACHER AND PRINCIPAL EVALUATIONS**

Any questions concerning this RFQ must be emailed by September 24, 2015 to: ASSESSRFQ@nysed.gov. (Note: This email address is for questions only; do not submit application materials to this address.) Questions and responses thereto will be posted on the [RFQ webpage](#) by October 8, 2015. No individual responses will be provided. Questions received after the deadline will be answered on the web site above as deemed appropriate by NYSED on a rolling basis.

For an assessment to be accepted and placed on either of the *Approved Assessment Lists* an Applicant **must present all the information required in this RFQ**. For supplemental assessments with corresponding growth models, responses to Section 2.2 of the Technical Application must be fully completed and deemed adequate and acceptable by the reviewers. For assessments for use with SLOs, all assurances on Form H must be checked and the form must be signed by the appropriate parties.

3.3 APPLICANT RESPONSIBILITY QUESTIONNAIRE

Applicants must file the required Vendor Responsibility Questionnaire (VRQ) online via the New York State VendRep System or may choose to complete and submit a paper questionnaire. School districts, Charter Schools, BOCES, public colleges and universities, public libraries, and the Research Foundation for SUNY and CUNY are some of the entities exempt from filing the VRQ. (See [The Office of the New York State Comptroller's State Vendors](#) page for a complete list of exempted entities.) Please note that if a district or BOCES is submitting the application on behalf of the Copyright Owner or Assessment Representative, the Copyright Owner or Assessment Representative must complete the VRQ.

NYSED recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the [VendRep System instructions](#) or go directly to the [VendRep System online](#).

Vendors should also refer to the [VendRep System checklist](#).

For direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at helpdesk@osc.state.ny.us.

Applicants opting to file a paper questionnaire can obtain the appropriate questionnaire from the [VendRep website](#) or may contact the State Education Department or the OSC Help Desk for a copy of the paper form.

Note: Applicants must include their method of filing the questionnaire in the application Transmittal Letter or indicate whether they are exempt.

3.4 APPLICATION PACKAGE FORMAT

- Type size should be no smaller than 9 pt.
- Applicants seeking approval for more than one assessment to be used with an SLO should submit a single application for all proposed assessments. Applicants should specify all applicable grades and subjects on Form B-1.
- Applicants seeking approval for more than one supplemental assessment and associated growth model must submit separate applications for each assessment and/or associated growth model.
- Applicants seeking approval of a supplemental assessment and associated growth model for more than one grade within the same subject area may submit one application, provided the application clearly specifies any variance in the degree to which the assessment meets the criteria in Form B-2 of this RFQ for the grades for which the assessment is being proposed.
- Applicants seeking approval of a supplemental assessment and corresponding growth model for more than one subject area may submit separate applications or a single application, but must clearly specify any variance in the degree to which the assessment meets the criteria in Sections 2.2 of this RFQ for the subjects for which the assessment is being proposed. **Please note that if one application includes an assessment for more than one subject area and/or grade, the assessment may not be approved for use in all subject(s)/grade(s) for which it was submitted if the technical documentation for each subject/grade does not meet the criteria specified in Form B-2.**
- All information should be submitted in the order indicated on the Application Package Checklist.
- Appendices/attachments may contain letters of reference, printed brochures describing the services provided, certificates of incorporation or other legal documents authorizing the Assessment Provider to provide supplemental educational services in New York, tables, charts, graphs, scanned images, or photocopies, as requested in this RFQ or referenced within the application. **It is expected that technical and administration manuals are included in the appendices.**
- Additional appendices/attachments, such as CD presentations, videotapes or other multimedia productions should not be included.
- All attachments should contain document footers with your entity name and page numbers, wherever possible.

PLEASE NOTE: Any documentation submitted by an Applicant that is considered by the Applicant to be a trade secret, or for which disclosure to third parties would result in a competitive disadvantage to the Applicant in the marketplace, should be specifically identified as such in the application package using Form E, and a justification must be provided for each such item as to why it should not be disclosed to third parties. Form E must be submitted with every application package; if an Applicant does not have trade secrets or materials that should not be disclosed, “N/A” should be written on Form E.

3.5 APPLICATION PACKAGE CHECKLIST

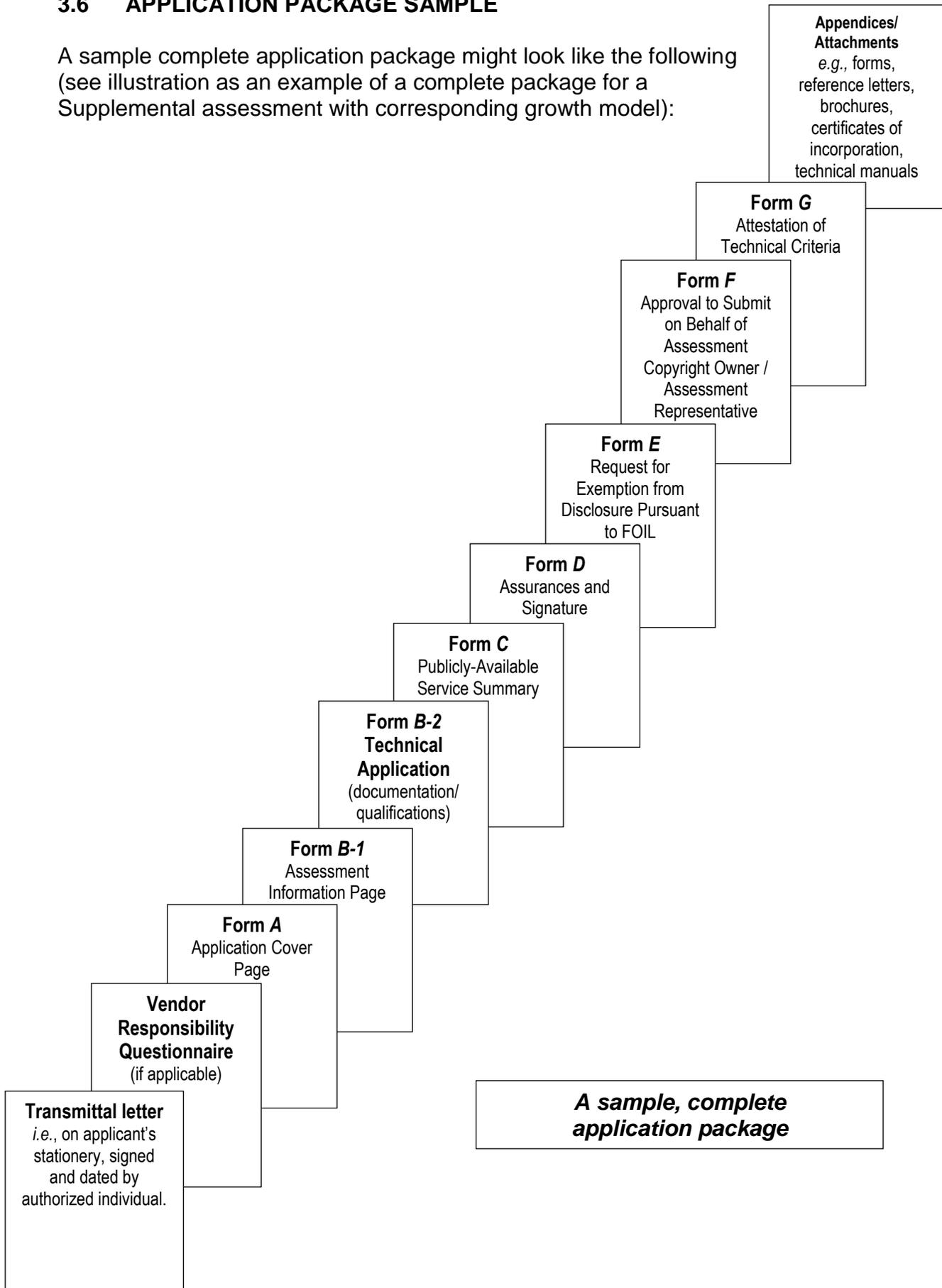
Please use the checklist below to ensure that you have submitted all required materials in the required format. An application must present all information requested and required in this RFQ in order to be considered for approval and placed on NYSED’s *Approved Assessment Lists*. **Applicants that fail to submit all required information will have five business days from notice to submit the requested information. Applicants that fail to adhere to this deadline will not be approved.**

Submitted?	Component	Requirement/Format
<input type="checkbox"/>	TRANSMITTAL LETTER	An authorized individual must write a brief Transmittal Letter to formally submit/transmit the application, and other materials, on behalf of the Applicant, to the New York State Education Department. The transmittal letter must be signed and dated by the authorized Applicant and, if applicable, the Copyright Owner/Assessment Representative.
<input type="checkbox"/>	VENDOR RESPONSIBILITY QUESTIONNAIRE (VRQ)	A completed VendRep Questionnaire must be included with the application or completed online, unless applicant is exempt.
<input type="checkbox"/>	FORM A	The Applicant must complete an Application Cover Page .
<input type="checkbox"/>	FORM B-1	The Applicant must complete an Assessment Information Page .
<input type="checkbox"/>	FORM B-2	The Applicant must submit a Technical Application . <i>This form only needs to be completed for supplemental assessments with corresponding growth models.</i>
<input type="checkbox"/>	FORM C	The Applicant must prepare a Publicly-Available Service Summary that will be posted to the Web if the application is approved and available for download.
<input type="checkbox"/>	FORM D	The Assessment Representative/Provider must complete an Assurances and Signature page that must be signed and dated by an authorized individual.
<input type="checkbox"/>	FORM E	The Applicant must complete a Request for Exemption from Disclosure Pursuant to the Freedom of Information Law , identifying any proprietary material submitted in the application for which exemption from FOIL is requested, or write “N/A” on the form, if the application does not include any proprietary material.
<input type="checkbox"/>	FORM F	If the applicant is NOT the Copyright Owner / Assessment Representative, then a completed Approval to Submit on

		Behalf of Assessment Copyright Owner / Assessment Representative form MUST be submitted.
<input type="checkbox"/>	FORM G	The Assessment Representative/Provider must complete an Attestation of Technical Criteria – Supplemental Assessments and Corresponding Growth Models that must be signed and dated by an authorized individual. For co-submitted applications, both applicants must submit a complete, signed and dated Attestation of Technical Criteria . <i>This form only needs to be completed for supplemental assessments with corresponding growth models.</i>
<input type="checkbox"/>	FORM H	The Assessment Representative/Provider must complete an Applicant Certification Form – Assessments for Use with SLOs that must be signed and dated by an authorized individual. For co-submitted applications, both applicants must submit a complete, signed and dated Certification Form . <i>This form only needs to be completed for assessments for use with SLOs.</i>
<input type="checkbox"/>	APPENDICES / ATTACHMENTS	The Applicant must provide appropriate Appendices/Attachments. <ul style="list-style-type: none"> ○ Technical/administration manuals as required in this RFQ. ○ Supporting documentation (Graphs or charts demonstrating achievement, certificates of incorporation, etc.).

3.6 APPLICATION PACKAGE SAMPLE

A sample complete application package might look like the following (see illustration as an example of a complete package for a Supplemental assessment with corresponding growth model):



3.7 APPLICATION EVALUATION

All applications received by NYSED will be reviewed by individuals with experience in content, assessment, measurement of growth, and SLO target-setting aligned with one year expected academic growth. Applicants must ensure that all components of this application request have been addressed, the required number of copies has been provided (if not submitted electronically), and all forms have been completed. The RFQ Response Categories listed below summarize the elements the application reviewers will consider when evaluating applications. All evidence submitted in conjunction with an application must be referenced within the application for use by the application reviewers if it is to be used in the evaluation of the application. Please refer to specific page numbers within a document or manual when referencing them in the application. The evaluations will be guided by the Testing Standards. NYSED reserves the right to request additional written material in support of an application.

For supplemental assessments with corresponding growth models, the Response Categories and Maximum Points listed below reflect all areas investigated by the application reviewers. The closer an application comes to achieving the Desired Characteristics, the higher the number of points it will receive in each related Response Category. Assessments that receive at least 56 out of 70 points (80% of available points) on the Technical Evaluation (and meets the required minimum point thresholds by category as outlined in the chart below) will be placed on the *Approved List of Supplemental Assessments to be used with Growth Models*.

For assessments for use with SLOs, applicants must provide responses to all items. Assessments will only be placed on the *Approved List of Assessments to be Used with SLOs* if all certifications and required responses are sufficient.

Note on Plans to Collect Evidence in Lieu of Actual Evidence: For criteria 2.2(E): *Technical Documentation Related to Aggregating Student-Level Growth Scores to Teacher-Level Scores* and 2.2(F): *Technical Documentation Related to Converting Teacher-Level Growth Scores to New York State's 0-20 APPR Scale*, in lieu of actual evidence of consistency with these two criteria, NYSED will accept a detailed plan for how evidence will be collected during the 2015-16 school year such that defensible teacher-level growth scores that are convertible to New York State's 0-20 APPR scale are available for use by teachers for the purposes of APPR by the end of the 2015-16 school year. For those proposals that include a plan for collecting evidence, that evidence should be collected as expeditiously as possible given the constraints of the methodology proposed by the provider for generating the evidence. Assessments that are conditionally placed on the *Approved List* based on an appropriate plan for collecting evidence for these two criteria, but do not carry out the proposed plan, may be removed from the *List* between June 30 and August 15 as described in Section 2.3 of this RFQ. Districts and BOCES that utilize such assessment during this conditional approval period will be required to submit a material change to their APPR plan removing such assessment from their plan. It is recommended that any relevant existing validity evidence be included in proposals to demonstrate the types of evidence that are being collected under ongoing research agendas. As indicated in Section 3.1 of this RFQ, the Department does not guarantee that such assessments will be reviewed and/or approved through this RFQ in time for inclusion in any particular school year. As

such, districts and BOCES who wish to use a supplemental assessment for the optional subcomponent of their APPR plan should plan to use one of the other alternate instruments already included on the list if their submission is not approved in time for inclusion in their APPR plan.

For Supplemental Assessments with Corresponding Growth Models:

Response Category	Desired Characteristics
2.2(A) Narrative Overview of Proposed Supplemental Assessment and Associated Growth Model or Assessment to be used with an SLO	Application is clear, professional, and responds to all criteria identified in Sections 2.2.
2.2(B) Evidence of Capability	Failure of an application to respond to one or more of the elements of Section 2.2 may result in zero points for this Response Category.
2.2(C) Evidence of Copyright Owner/Assessment Representative History of Assessment Development	Detailed point breakdown: 2.2(A) = 5 points maximum (must achieve 3 points for approval)
2.2(D) Technical Documentation Related to Assessment and Student Growth Score Properties	2.2(B) = 10 points maximum (5 points per criterion) 2.2(C) = 5 points maximum
2.2(E) Technical Documentation Related to Aggregating Student-Level Growth Scores to Teacher-Level Scores	2.2(D) = 25 points maximum (5 points per criterion; must achieve 15 points for approval) 2.2(E) = 10 points maximum (5 points per criterion; must achieve 6 points for approval)
2.2(F) Technical Documentation Related to Converting Teacher-Level Growth Score to New York State's 0-20 APPR Scale	2.2(F) = 5 points maximum (must achieve 3 points for approval)
2.2(G) Technical Documentation Related to Fairness	2.2(G) = 10 points maximum (5 points per criterion; must achieve 6 points for approval)

4.0 **APPLICATION**

In the Application, Applicants must describe in detail the assessment that they are qualified to deliver, or if the Applicant is a School Representative, the assessment that they are submitting for approval, and submit empirical data and other evidence that the assessment and associated services have been effective in improving instruction and the professional achievement of teachers and/or principals through the provision of data that yields valid inferences about student learning. The Application, which is reviewed by NYSED, is described below.

The Application is divided into five sections:

Section I—Application Cover Page (Form A)

In this section, the Applicant must include their contact information and, if the Applicant is a School Representative, contact information for the Assessment Provider (see definitions in Section 1.4 for more information), in addition to the tax identification number and any associated information for the Assessment Provider.

Section II—Assessment Information Page (Form B-1)

In this section, the Applicant must include the grade(s) and subject area(s) for which the assessment is intended to be used and whether the assessment can be used to measure growth.

Section III—Technical Application (Form B-2)

In this section, the Applicant must describe in detail the nature of the assessment that will be provided. This form only needs to be completed for supplemental assessments with corresponding growth models.

Section IV—Publicly-Available Service Summary (Form C)

The applicant must provide a Service Summary of the information outlined in the **Application and Technical Application**. This form will be made publicly available for all approved applications.

Section V—Assurance and Signature Page (Form D)

The Assessment Representative/Provider must complete an **Assurances and Signature** page that must be signed and dated by an authorized individual.

Section VI— Request for Exemption from Disclosure Pursuant to the Freedom of Information Law Page (Form E)

The Applicant must complete a **Request for Exemption from Disclosure Pursuant to the Freedom of Information Law** page, identifying any proprietary materials submitted as part of, or in support of, the application which the Applicant considers confidential or otherwise excepted from disclosure under the Freedom of Information Law. If no material is identified as proprietary, this form should be submitted with “N/A” written on it.

Section VII—Approval to Submit on Behalf of Authorized Legal Representative Page (Form F)

If the Applicant is not the Copyright Owner, the Applicant must complete and submit an **Approval to Submit on Behalf of Authorized Legal Representative** page. This form must be signed and dated by an authorized individual.

Section VIII— Attestation of Technical Criteria – Supplemental Assessments and Corresponding Growth Models (Form G)

The Assessment Representative/Provider must complete an **Attestation of Technical Criteria – Supplemental Assessments and Corresponding Growth Models** that must be signed and dated by an authorized individual. For co-submitted applications, both applicants must submit a complete, signed and dated **Attestation of Technical Criteria – Supplemental Assessments and Corresponding Growth Models**. This form only needs to be completed for supplemental assessments with corresponding growth models.

Section IX – Applicant Certification Form – Assessments for Use with SLOs (Form H)

The Assessment Representative/Provider must complete an **Applicant Certification Form – Assessments for Use with SLOs** that must be signed and dated by an authorized individual. For co-submitted applications, both applicants must submit a complete, signed and dated **Certification Form**. This form only needs to be completed for assessments for use with SLOs.

Section X—Appendices

The applicant must provide any supporting documentation that has been requested in this RFQ, or which the applicant has referenced in Sections I – IV that will aid the reviewers in inferring the degree to which the assessment meets the needs outlined herein.



**STUDENT ASSESSMENTS FOR
TEACHER AND PRINCIPAL EVALUATION**

FORM A

APPLICATION COVER PAGE

(NOTE: PLEASE SUBMIT ONE “FORM A” FOR EACH APPLICANT. CO-APPLICANTS SHOULD SUBMIT SEPARATE FORMS)

NAME OF APPLICANT		
NAME OF CO-APPLICANT (IF NECESSARY)		
THE APPLICANT IS: (PLEASE INDICATE BY CLICKING ON THE APPROPRIATE BOXES BELOW)		
SCHOOL REPRESENTATIVE (SEE DEFINITION IN SECTION 1.4)	<input type="checkbox"/>	
FOR-PROFIT CORPORATION	<input type="checkbox"/>	<input type="checkbox"/> NY CORP. OR <input type="checkbox"/> FOREIGN CORP.
NON-PROFIT CORPORATION	<input type="checkbox"/>	<input type="checkbox"/> NY CORP. OR <input type="checkbox"/> FOREIGN CORP.
LIMITED LIABILITY COMPANY (LLC)	<input type="checkbox"/>	<input type="checkbox"/> NY CORP. OR <input type="checkbox"/> FOREIGN CORP.
OTHER	<input type="checkbox"/>	PLEASE SPECIFY:
APPLICANT CONTACT NAME AND TITLE		
ADDRESS		
CITY, STATE ZIP		
PHONE		
FAX		
EMAIL (REQUIRED)		
TAX I.D. NUMBER		
<p>I hereby certify that I am the Applicant and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions and Assurances. It is understood by the Applicant that if the application is accepted for approval, no funding is directly associated with this approval. It is also understood by the Applicant that immediate written notice will be provided to the program office if at any time the Applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.</p>		

APPLICANT SIGNATURE	
CO-APPLICANT SIGNATURE (IF NECESSARY)	
NAME AND TITLE OF AUTHORIZED CONTACT FOR COPYRIGHT OWNER / ASSESSMENT REPRESENTATIVE, IF DIFFERENT FROM THE APPLICANT	
ADDRESS	
CITY, STATE ZIP	
PHONE	
FAX	
EMAIL (REQUIRED)	
TAX I.D. NUMBER	

IMPORTANT: For-profit corporations, non-profit corporations, and LLCs, are required to attach the following document(s), as applicable:

- **If a New York State corporation:** the Certificate of Incorporation, together with any Certificates of Amendments to such document filed to date.⁸ (See important footnote below.)
- **If a foreign corporation:** (1) the Application for Authority to do business in New York State filed with the NYS Dept of State, **and** (2) the Certificate of Incorporation filed in the State of incorporation, (3) together with any amendments to such documents filed to date.* (See important footnote below.)
- **If a New York State LLC:** the Articles of Organization, together with any amendments to such document filed to date. * (See important footnote below.)
- **If a foreign LLC:** (1) the Application for Authority to do business in New York State filed with the NYS Dept of State, **and** (2) the articles of organization filed in the State of formation, (3) together with any amendments to such documents filed to date. * (See important footnote below.)
- **If the corporation or LLC will use an assumed name in New York State:** the certificate of Assumed Name

⁸ Ensure that these documents include appropriate language authorizing the provision of these services. Information pertaining to the “Consent Obtaining” process may be accessed at the [NYSED Office of Counsel website](#) or you may also contact the Office at 518-474-6400 if you have any questions regarding this requirement.



**STUDENT ASSESSMENTS FOR
TEACHER AND PRINCIPAL EVALUATION**

FORM B-1

ASSESSMENT INFORMATION PAGE

NAME OF APPLICANT:	
NAME OF CO-APPLICANT (IF NECESSARY):	
NAME OF ASSESSMENT:	
IS THE APPLICANT THE COPYRIGHT OWNER / ASSESSMENT REPRESENTATIVE FOR THE ASSESSMENT?	<input type="checkbox"/> YES <input type="checkbox"/> NO; IF THE APPLICANT IS NOT THE COPYRIGHT OWNER/ASSESSMENT REPRESENTATIVE FOR THE ASSESSMENT, FORM F MUST BE INCLUDED WITH THE APPLICATION. APPLICATIONS FROM NON-COPYRIGHT OWNERS AND/OR ASSESSMENT REPRESENTATIVES OF THE ASSESSMENT WILL NOT BE REVIEWED UNLESS FORM F IS SUBMITTED.
IS THE ASSESSMENT AVAILABLE, EITHER FOR FREE OR THROUGH PURCHASE, TO OTHER DISTRICTS OR BOCES IN NEW YORK STATE	<input type="checkbox"/> YES <input type="checkbox"/> NO
SUBJECT(S) FOR WHICH ASSESSMENT IS BEING SUBMITTED:	<input type="checkbox"/> ELA (PLEASE SPECIFY): <input type="checkbox"/> MATH (PLEASE SPECIFY): <input type="checkbox"/> SCIENCE (PLEASE SPECIFY): <input type="checkbox"/> SOCIAL STUDIES (PLEASE SPECIFY): <input type="checkbox"/> ARTS (PLEASE SPECIFY): <input type="checkbox"/> FOREIGN LANGUAGE / LANGUAGES OTHER THAN ENGLISH (LOTE; PLEASE SPECIFY): <input type="checkbox"/> ALTERNATE ASSESSMENT (FOR 1% POPULATION – PLEASE SPECIFY CONTENT AREAS COVERED): <input type="checkbox"/> ENGLISH PROFICIENCY ASSESSMENTS FOR ENGLISH LANGUAGE LEARNERS (PLEASE SPECIFY): <input type="checkbox"/> NATIVE LANGUAGE ASSESSMENTS FOR ENGLISH LANGUAGE LEARNERS (PLEASE SPECIFY, INCLUDING THE LANGUAGE ASSESSED): <input type="checkbox"/> CAREER & TECHNICAL EDUCATION (PLEASE SPECIFY CONTENT AREA(S) COVERED): <input type="checkbox"/> OTHER (PLEASE SPECIFY):

<p>NATURE OF STUDENT-LEVEL GROWTH MODEL</p> <p>(CHECK ONLY ONE. SEPARATE APPLICATIONS MUST BE SUBMITTED FOR EACH SUPPLEMENTAL ASSESSMENT AND ASSOCIATED GROWTH MODEL OR ASSESSMENT TO BE USED WITH AN SLO)</p>	<p>GROWTH MODEL:</p> <p><input type="checkbox"/> GAIN SCORE MODEL</p> <p><input type="checkbox"/> GROWTH-TO-PROFICIENCY MODEL</p> <p><input type="checkbox"/> STUDENT GROWTH PERCENTILES</p> <p><input type="checkbox"/> PROJECTION MODELS</p> <p><input type="checkbox"/> VALUE-ADDED MODELS</p> <p><input type="checkbox"/> OTHER:</p> <p>STUDENT LEARNING OBJECTIVES MODEL:</p> <p><input type="checkbox"/> SLO TARGET SETTING MODEL</p>
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**STUDENT ASSESSMENTS FOR
NYSED Seal TEACHER AND PRINCIPAL EVALUATION**

FORM B-2

TECHNICAL APPLICATION⁹

Section I – Student Assessment for Teacher and Principal Evaluation Plan/Narrative:

In this section, the Applicant must describe in detail the supplemental assessment and associated growth model that will be provided.

If referencing a technical manual or other document contained in the Appendix, provide a short (2-3 sentence) summary and the specific page number of the technical manual or other document that provides further information.

COMPLETE THIS SECTION:

<p>2.2(A) Narrative Overview of Proposed Supplemental Assessment and Associated Growth Model (5 points—MUST achieve at least 60% of points available in this category (3 points) to be placed on the applicable <i>Approved Assessment List</i>.)</p>	
<p>2.2(A): Applicants must provide a short overview of the assessment being proposed, including the intended purpose of the assessment, how the assessment is administered, along with the growth model being proposed, as applicable, to be used in conjunction with the assessment.</p> <p>For K-2 assessments, evidence must also be provided that the proposed assessment is consistent with this RFQ’s requirement that the assessment not be a “Traditional Standardized Assessment” as defined above in the section “Definitions of Key Terms Used in this RFQ.”</p>	
<p>2.2(B) Evidence of Capability (10 points; 5 points per criterion)</p>	
<p>2.2(B)-i: Applicants must provide an overview of services provided by the Assessment Provider. Include a description of the range of support / technical assistance that the Assessment Provider would provide to an LEA if selected by an LEA for this service.</p> <p>2.2(B)-ii: Applicants must provide information as to whether the Applicant or Assessment Provider has been denied approval as a provider of assessment services in another state(s) and the reason(s) for such denial. If denied within New York State, indicate the location and reason.</p>	

⁹ Please note, Form B-2 only needs to be completed for supplemental assessments with corresponding growth models.

<p>2.2(C): Evidence of Copyright Owner/Assessment Representative History of Assessment Development (5 points)</p>	
<p>2.2(C): In evaluating assessments to build the Approved Assessment List, strong preference will be given to applications that submit evidence that the Copyright Owner/Assessment Representative has a history of developing assessments of student learning (achievement or growth) for the purpose of making defensible judgments about educator effectiveness.</p>	
<p>2.2(D) Technical Documentation Related to Assessment and Student Growth Score Properties (25 points total; 5 points per criterion—MUST achieve at least 60% of points available in this category (15 points) to be placed on the applicable <i>Approved Assessment List</i>.)</p> <p><i>Both “minimum” and “desired” qualifications are listed. For the purposes of this RFQ, applications will only be rated against the “minimum” qualifications; however, NYSED’s aspirational “desired” qualifications are also listed to identify possible future requirements for assessments and associated growth models.</i></p>	
<p>2.2(D)-i: RELIABILITY:</p> <p>For supplemental assessments used in conjunction with growth models:</p> <p>Minimum: Student test scores have adequate levels of reliability (e.g., coefficient alpha > 0.75).</p> <p>Desired: Standard errors provided for students’ growth scores. Student growth classifications have adequate decision consistency. Teacher effectiveness classifications demonstrate adequate consistency. Examples include agreement statistics (e.g., kappa coefficients) based on simulation studies.</p>	
<p>2.2(D)-ii: VALIDITY: ALIGNMENT:</p> <p>For supplemental assessments used in conjunction with growth models:</p> <p>Minimum: Evidence that test content is sufficiently aligned with New York State Learning Standards and covers a range of measurable standards. Documentation must demonstrate that:</p> <p>(a) at least 80% of the test measures content aligned with NYS learning standards,</p>	

<p>(b) no more than 20% of test content is aligned with other learning standards or objectives, and (c) a range of content from the NYS learning standards is measured</p> <p>Note: Other relevant standards can be proposed if NYS Learning Standards do not apply to subject area.</p> <p>Desired: 100% alignment between NYS Learning Standards and assessment.</p>	
<p>2.2(D)-iii: VALIDITY: RELATIONS TO OTHER VARIABLES:</p> <p>For supplemental assessments used in conjunction with growth models:</p> <p>Minimum: Evidence students' growth scores are correlated with other measures of student progress (e.g., $r > .5$ with measures such as the number of objectives mastered by a student over the course of the year, teachers' ratings of students' progress, or scores from other assessments).</p> <p>Desired: Evidence teacher effectiveness ratings are positively correlated (e.g., $r > .5$) with other measures of teaching effectiveness.</p>	
<p>2.2(D)-iv: VALIDITY: INTERNAL STRUCTURE:</p> <p>For supplemental assessments used in conjunction with growth models:</p> <p>Minimum: Scale properties appropriate for growth model used (*see notes*). Total scores and subscores on student assessments should be supported by dimensionality analyses (e.g., IRT residual analyses, factor analyses).</p> <p>Desired: Evidence students' scores are on an interval scale.</p> <p>*Notes: If gain score model is used, evidence is needed that students' pretest and posttest scores are on the same scale. If student growth percentile model used, justification for the number of years included in the model should be provided. If growth-to-proficiency, projection, or value-added models are used, evidence is needed that the model explains a</p>	

<p>significant amount of variability in student achievement. Also, models should demonstrate robustness to missing data.</p>	
<p>2.2(D)-v: UTILITY AND COMPREHENSIBILITY:</p> <p>For supplemental assessments used in conjunction with growth models:</p> <p>Minimum: Technical documentation that describes how student growth and educator effectiveness are calculated.</p> <p>Desired: Student growth reports support instructional improvement. Resources and supporting materials available to the field.</p>	
<p>2.2(E) Technical Documentation Related to Aggregating Student-Level Growth Scores to Teacher-Level Scores (10 points; 5 points per criterion—MUST achieve at least 6 out of 10 points on this section to be considered for placement on the applicable <i>Approved Assessment List</i>)</p>	
<p>2.2(E)-i: Creation of Teacher-Level Scores</p> <p>For supplemental assessments used in conjunction with growth models: Applicant must provide a narrative description of how student-level scores are aggregated to create a single teacher-level score for each teacher.</p>	
<p>2.2(E)-ii: Applicant must describe any exclusion rules that remove students associated with a given teacher from the teacher’s teacher-level score through a growth model.</p>	
<p>2.2(F) Technical Documentation Related to Converting Teacher-Level Growth Score to New York State’s 0-20 APPR Scale (5 points—MUST achieve at least 3 out of 5 points on this section to be considered for placement on the applicable <i>Approved Assessment List</i>)</p>	
<p>2.2(F): The Applicant must provide a crosswalk that maps scores on the assessment’s aggregated teacher-level growth score to the required New York State teacher and principal evaluation metric, which ranges from 0-20.</p> <p>Applicant should articulate how procedures for converting teacher-level growth scores to the 0-20 APPR scale comply with the New York Standards for each evaluation rating category, which are based on the following definitions.</p>	

<p>*For supplemental assessments to be used in conjunction with a growth model, applicants must assign HEDI rating categories based on the following ranges:</p> <p><u>Highly Effective</u>: results are well-above State average* for similar students <u>Effective</u>: results meet State average* for similar students <u>Developing</u>: results are below State average* for similar students <u>Ineffective</u>: Results are well-below State average* for similar students</p>	
<p>2.2(G) Technical Documentation Related to Fairness Consistent with the new Testing Standards (2014), there is an increased focus in the industry on fairness of assessments and their uses. Please provide evidence of fairness for both the proposed assessment and, if applicable, the proposed growth model. (10 points; 5 points per criterion—MUST achieve at least 6 out of 10 points on this section to be considered for placement on the applicable <i>Approved Assessment List</i>)</p>	
<p>2.2(G)-i: Please provide evidence that the proposed assessments are fair to all test takers (e.g., Differential Item Functioning [DIF] / bias information, fairness evaluation / sensitivity review plan.)</p>	
<p>2.2(G)-ii: Please provide evidence of fairness of the proposed aggregated teacher growth scores (e.g., lack of correlation between aggregated teacher growth scores and student demographics).</p> <p>Note: For assessments proposed in conjunction with a growth model, this narrative must include how the growth model incorporates (a) prior academic history, (b) poverty, (c) students with disabilities, and (d) English language learners.</p>	



**STUDENT ASSESSMENTS
AND ASSOCIATED GROWTH MODELS FOR
TEACHER AND PRINCIPAL EVALUATION**

FORM C

PUBLICLY AVAILABLE SERVICES SUMMARY

This form will be posted on the New York State Education Department’s Web site and distributed through other means for all applications that are approved in conjunction with this RFQ to allow districts and BOCES to understand proposed offerings in advance of directly contacting Assessment Providers regarding potential further procurements.

Assessment Provider Information	
Name of Assessment Provider:	
Assessment Provider Contact Information:	
Name of Assessment:	
Nature of Assessment:	<input type="checkbox"/> ASSESSMENT FOR USE WITH STUDENT LEARNING OBJECTIVES WITH A TARGET SETTING MODEL; OR <input type="checkbox"/> SUPPLEMENTAL ASSESSMENT WITH AN ASSOCIATED GROWTH MODEL: <input type="checkbox"/> GAIN SCORE MODEL <input type="checkbox"/> GROWTH-TO-PROFICIENCY MODEL <input type="checkbox"/> STUDENT GROWTH PERCENTILES <input type="checkbox"/> PROJECTION MODELS <input type="checkbox"/> VALUE-ADDED MODELS <input type="checkbox"/> OTHER:
What are the grade(s) for which the assessment can be used to generate a 0-20 APPR score?	
What are the subject area(s) for which the assessment can be used to generate a 0-20 APPR score?	
What are the technology requirements associated with the assessment?	
Is the assessment available, either for free or through purchase, to other districts or BOCES in New York State?	<input type="checkbox"/> YES <input type="checkbox"/> NO

<p>Please provide an overview of the assessment for districts and BOCES. Please include:</p> <ul style="list-style-type: none"> • A description of the assessment; • A description of how the assessment is administered; • A description of how scores are reported (include links to sample reports as appropriate); • A description of how the Assessment Provider supports implementation of the assessment, including any technical assistance. (3 pages max)

Please provide an overview of the student-level growth model or target setting model for SLOs for districts and BOCES, along with how student-level growth scores are aggregated to create teacher-level scores, and how those teacher-level scores are converted to New York State’s 0-20 metric.

--

New York State Next Generation Assessment Priorities

Please provide detail on how the proposed supplemental assessment or assessment to be used with SLOs addresses each of the Next Generation Assessment Priorities below.

Characteristics of Good ELA and Math Assessments (only applicable to ELA and math assessments):	
Assessments Woven Tightly into the Curriculum:	
Performance Assessment:	
Efficient Time-Saving Assessments:	
Technology:	
Degree to which the growth model must differentiate across New York State’s four levels of teacher effectiveness (only applicable to supplemental assessments):	



**STUDENT ASSESSMENTS FOR
TEACHER AND PRINCIPAL EVALUATION**

FORM D

**ASSESSMENT REPRESENTATIVE/PROVIDER
ASSURANCES AND SIGNATURE PAGE**

In submitting this assessment to be included in the New York State Education Department’s *The List of Approved Student Assessments for Use by School Districts and BOCES in Teacher and Principal Evaluations* I certify that:

1. The organization will comply with all applicable Federal, State and local health, safety, and civil rights laws.
2. All individuals employed by or otherwise associated with the organization, who will have direct contact with eligible teachers, principals, or students, will be subject to all of the fingerprint and criminal history record check requirements contained in law, including, Education Law §§305(30), 1125(3), 1604(39), 1604(40), 1709(39), 1709(40), 1804(9), 1804(10), 1950(4)(II), 1950(4)(mm), 2503(18), 2503(19), 2554(25), 2554(26), 2590-h (20), 2854(3)(a-2), 2854(3)(a-3), 3035 and Part 87 of the regulations of the Commissioner of Education.
3. All instruction and content will be secular, neutral, and non-ideological.
4. All instruction and content provided to LEA’s will be aligned to the applicable professional standards of practice for teachers and/or principals, including but not limited to, the NYS Teaching Standards or leadership standards, NYS Education Law, and NYS Commissioner’s regulations.
5. The organization is fiscally sound and will be able to complete services to the eligible local educational agency.
6. Any proprietary materials considered confidential by the organization must be specifically so identified, and the basis for such confidentiality must be specifically set forth in Form E, Request for Exemption from Disclosure Pursuant to the Freedom of Information Law.
7. Any costs and/or legal restrictions on the use of the product must be disclosed to NYS districts and BOCES (i.e., copyright on the assessment(s), exclusive rights to a software provider, etc.) as soon as such information is available.

The undersigned hereby certifies that I am an individual authorized to act on behalf of the organization in submitting this application and assurances. I certify that all of the information provided herein is true and accurate, to the best of my knowledge. I understand that, if any of the information contained herein is found to have been deliberately misrepresented, that may constitute grounds for denying the applicant’s request for approval to be placed on *The List of Approved Supplemental Student Assessments for Use by School Districts and BOCES in Teacher and Principal Evaluations in Conjunction with Approved Growth Models* or *The List of Approved Student Assessments for Use by School Districts and BOCES in Teacher and Principal Evaluations in conjunction with Student Learning Objectives (SLOs)* (“Approved List of Assessments to be Used with SLOs” or for removal from those same Lists. I further certify that the organization will comply with all of the assurances set forth herein.

To be completed by the Assessment Representative/Provider of the assessment being proposed:

1. Name of Organization (PLEASE PRINT/TYPE)	4. Signature of Authorized Representative
2. Name of Authorized Representative (PLEASE PRINT/TYPE)	5. Date Signed
3. Title of Authorized Representative (PLEASE PRINT/TYPE)	



**STUDENT ASSESSMENTS FOR
TEACHER AND PRINCIPAL EVALUATION**

FORM E

**REQUEST FOR EXEMPTION FROM DISCLOSURE
PURSUANT TO THE FREEDOM OF INFORMATION LAW**

New York State Public Officers Law, Article 6 (Freedom of Information Law) requires that each agency shall make available all records maintained by said agency, except that agencies may deny access to records or portions thereof that fall within the scope of the exceptions listed in Public Officers Law §87(2).

Any proprietary materials submitted as part of, or in support of, an application, which Applicant, or, in the case of an application submitted by a School Representative, the Copyright Owner / Assessment Representative, considers confidential or otherwise excepted from disclosure under the Freedom of Information Law, must be specifically so identified, and the basis for such confidentiality or other exception must be specifically set forth.

Please list **all** such documents for every portion of the application on the form below. Materials which are not indicated below may be released in their entirety upon request without notice to you.

According to law, the entity requesting exemption from disclosure has the burden of establishing entitlement to confidentiality. Submission of this form does not necessarily guarantee that a request for exemption from disclosure will be granted. If necessary, NYSED will make a determination regarding the requested exemptions, in accordance with the process set forth in Public Officers Law §89(5).

Material for which Exemption is Requested	Location / Page Number(s)	Basis for Request



**STUDENT ASSESSMENTS FOR
TEACHER AND PRINCIPAL EVALUATION**

FORM F

**APPROVAL TO SUBMIT ON BEHALF OF
COPYRIGHT OWNER / ASSESSMENT REPRESENTATIVE**

As described in Section 2.1(B): some Eligible Applicants may submit an application on behalf of the Copyright Owner/Assessment Representative for the assessment being proposed.

FORM F IS REQUIRED TO BE SUBMITTED BY APPLICANTS IF THEY ARE NOT THE COPYRIGHT OWNER/ASSESSMENT REPRESENTATIVE OF THE ASSESSMENT SUBMITTED IN THIS APPLICATION.

This form certifies that _____ (Copyright Owner/Assessment Representative), identified as “the Organization” from here forward, gives _____ (Name of School Representative) permission to submit the following assessment(s), for which the Organization is copyright owner and/or the legally authorized representative for, to the New York State Education Department for review as part of their Request for Qualifications for Supplemental Assessments and and/or Assessments for Use with SLOs to be used by New York State School Districts and Boards of Cooperative Educational Services in Teacher and Principal Evaluations.

Completion of this form does not guarantee that an assessment will be approved for use in New York State for the purposes of Teacher and Principal Evaluations.

- The Organization agrees to supply any additional information requested by the New York State Education Department in support of the application.
- The Organization agrees that the New York State Education Department will post on its website Form C of this application which includes the following topics: Organization contact information, information about the assessment; an overview of the application; and, information about coverage of the New York State Learning Standards (as appropriate).
- The Organization agrees that any costs and/or legal restrictions on the use of the product must be disclosed to New York State districts and BOCES (i.e., copyright on the assessment(s), exclusive rights to a software provider, etc.) as soon as such information is available.



**STUDENT ASSESSMENTS FOR
TEACHER AND PRINCIPAL EVALUATION**

FORM F

**Approval to Submit on Behalf of
Copyright Owner/Assessment Representative
(Continuation of form)**

I have reviewed the application attached herein in its entirety and attest that:

- the Organization has the capability to provide the assessment(s) and any related services;
- the Organization has no past experience with denials of use in other locations;
- the evidence included identifies that the assessment(s) is aligned to NYS Learning Standards (or acceptable research-based learning standards) and alignment techniques/studies are included and are accurate;
- the psychometric properties of the assessment(s) are accurately portrayed in the application and attached documentation;
- the technical documentation related to growth is accurate;
- the technical manual is accurate and current;
- the assessment administration documentation is accurate and current;
- the attachments are accurate; and
- the guidance on use of the assessment for teacher and principal evaluations is accurate.

I certify the accuracy of the statements presented and the documents provided herein.

To be completed by the Copyright Owner/Assessment Representative of the assessment being proposed:

1. Name of Organization (PLEASE PRINT/TYPE)	4. Signature of Authorized Representative (PLEASE USE BLUE INK)
2. Name of Authorized Representative (PLEASE PRINT/TYPE)	5. Date Signed
3. Title of Authorized Representative (PLEASE PRINT/TYPE)	



**STUDENT ASSESSMENTS FOR
TEACHER AND PRINCIPAL EVALUATION**

FORM G

**ATTESTATION OF TECHNICAL CRITERIA
SUPPLEMENTAL ASSESSMENTS WITH CORRESPONDING GROWTH MODELS**

Please read each of the items below and check the corresponding box to ensure the fulfillment of the technical criteria outlined in the Technical Application on “FORM B-2”.

PLEASE SUBMIT ONE “FORM G” FOR EACH APPLICANT. CO-APPLICANTS SHOULD SUBMIT SEPARATE FORMS.

COMPLETE THIS SECTION:

2.2(A) Narrative Overview of Proposed Supplemental Assessment and Associated Growth Model	
This application contains a short overview of the assessment being proposed, including the intended purpose of the assessment, and how the assessment is administered.	<input type="checkbox"/>
For supplemental assessments, this application contains a description of the growth model and how it is used in conjunction with the assessment.	<input type="checkbox"/> <input type="checkbox"/> N/A
For K-2 assessments, this application contains evidence that the proposed assessment is consistent with this RFQ’s requirement that the assessment not be a “Traditional Standardized Assessment” as defined above in the section “Definitions of Key Terms Used in this RFQ.”	<input type="checkbox"/> <input type="checkbox"/> N/A
2.2(B) Evidence of Capability	
This application provides an overview of services provided by the Assessment Provider, including a description of the range of support / technical assistance that the Assessment Provider would provide to an LEA if selected by an LEA for this service.	<input type="checkbox"/>
This application contains information as to whether the Applicant or Assessment Provider has been denied approval as a provider of assessment services in another state(s) and the reason(s) for such denial. If denied within New York State, the location and reason are indicated.	<input type="checkbox"/> <input type="checkbox"/> N/A
2.2(C): Evidence of Copyright Owner/Assessment Representative History of Assessment Development	
This application contains evidence that the Copyright Owner/Assessment Representative has a history of developing assessments of student learning (achievement or growth) for the purpose of making defensible judgments about educator effectiveness.	<input type="checkbox"/> <input type="checkbox"/> N/A

<p>2.2(D)-i: Technical Documentation Related to Assessment and Student Growth Score Properties: RELIABILITY <i>Both “minimum” and “desired” qualifications are listed. For the purposes of this RFQ, applications will only be rated against the “minimum” qualifications; however, NYSED’s aspirational “desired” qualifications are also listed to identify possible future requirements for assessments and associated growth models.</i></p>	
<p>For supplemental assessments used in conjunction with growth models: This application contains evidence of the <i>minimum</i> criteria for reliability:</p> <ul style="list-style-type: none"> • Student test scores have adequate levels of reliability (e.g., coefficient alpha > 0.75). <p>This application contains evidence of the <i>desired</i> criteria for reliability:</p> <ul style="list-style-type: none"> • Standard errors provided for students’ growth scores. • Student growth classifications have adequate decision consistency. • Teacher effectiveness classifications demonstrate adequate consistency. <p><i>Examples include agreement statistics (e.g., kappa coefficients) based on simulation studies.</i></p>	<p>Check all that apply:</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<p>2.2(D)-ii: Technical Documentation Related to Assessment and Student Growth Score Properties: VALIDITY – ALIGNMENT <i>Both “minimum” and “desired” qualifications are listed. For the purposes of this RFQ, applications will only be rated against the “minimum” qualifications; however, NYSED’s aspirational “desired” qualifications are also listed to identify possible future requirements for assessments and associated growth models.</i></p>	
<p>For supplemental assessments used in conjunction with growth models: This application contains evidence of the <i>minimum</i> criteria for alignment validity:</p> <ul style="list-style-type: none"> • Evidence that test content is sufficiently aligned with New York State Learning Standards and covers a range of measurable standards. Documentation that demonstrates that: <ul style="list-style-type: none"> (a) at least 80% of the test measures content aligned with NYS learning standards, (b) no more than 20% of test content is aligned with other learning standards or objectives, and (c) a range of content from the NYS learning standards is measured <p><i>Note: Other relevant standards can be proposed if NYS Learning Standards do not apply to subject area.</i></p> <p>This application contains evidence of the <i>desired</i> criteria for alignment validity:</p> <ul style="list-style-type: none"> • 100% alignment between NYS Learning Standards and assessment. 	<p>Check all that apply:</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<p>2.2(D)-iii: Technical Documentation Related to Assessment and Student Growth Score Properties: VALIDITY – RELATIONS TO OTHER VARIABLES <i>Both “minimum” and “desired” qualifications are listed. For the purposes of this RFQ, applications will only be rated against the “minimum” qualifications; however, NYSED’s aspirational “desired” qualifications are also listed to identify possible future requirements for assessments and associated growth models.</i></p>	
<p>For supplemental assessments used in conjunction with growth models: This application contains evidence of the <i>minimum</i> criteria for validity in relation to other variables:</p> <ul style="list-style-type: none"> • Evidence students’ growth scores are correlated with other measures of student progress (e.g., $r > .5$ with measures such as the number of objectives 	<p>Check all that apply:</p>

<p>mastered by a student over the course of the year, teachers’ ratings of students’ progress, or scores from other assessments).</p> <p>This application contains evidence of the <i>desired</i> criteria for validity in relation to other variables:</p> <ul style="list-style-type: none"> Evidence teacher effectiveness ratings are positively correlated (e.g., $r > .5$) with other measures of teaching effectiveness. 	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<p>2.2(D)-iv: Technical Documentation Related to Assessment and Student Growth Score Properties: VALIDITY – INTERNAL STRUCTURE <i>Both “minimum” and “desired” qualifications are listed. For the purposes of this RFQ, applications will only be rated against the “minimum” qualifications; however, NYSED’s aspirational “desired” qualifications are also listed to identify possible future requirements for assessments and associated growth models.</i></p>	
<p>For supplemental assessments used in conjunction with growth models: This application contains evidence of the <i>minimum</i> criteria for validity of internal structure:</p> <ul style="list-style-type: none"> Scale properties appropriate for growth model used (*see notes*). Total scores and subscores on student assessments should be supported by dimensionality analyses (e.g., IRT residual analyses, factor analyses). <p>This application contains evidence of the <i>desired</i> criteria for validity of internal structure:</p> <ul style="list-style-type: none"> Evidence students' scores are on an interval scale. <p><i>*Notes: If gain score model is used, evidence is needed that students' pretest and posttest scores are on the same scale. If student growth percentile model used, justification for the number of years included in the model should be provided. If growth-to-proficiency, projection, or value-added models are used, evidence is needed that the model explains a significant amount of variability in student achievement. Also, models should demonstrate robustness to missing data.</i></p>	<p>Check all that apply:</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<p>2.2(D)-v: Technical Documentation Related to Assessment and Student Growth Score Properties: UTILITY AND COMPREHENSIBILITY <i>Both “minimum” and “desired” qualifications are listed. For the purposes of this RFQ, applications will only be rated against the “minimum” qualifications; however, NYSED’s aspirational “desired” qualifications are also listed to identify possible future requirements for assessments and associated growth models.</i></p>	
<p>For supplemental assessments used in conjunction with growth models: This application contains evidence of the <i>minimum</i> criteria for utility and comprehensibility:</p> <ul style="list-style-type: none"> Technical documentation that describes how student growth and educator effectiveness are calculated. <p>This application contains evidence of the <i>desired</i> criteria for utility and comprehensibility:</p> <ul style="list-style-type: none"> Student growth reports support instructional improvement. Resources and supporting materials available to the field. 	<p>Check all that apply:</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<p>2.2(E)-i: Technical Documentation Related to Aggregating Student-Level Growth Scores to Teacher-Level Scores: CREATION OF TEACHER LEVEL SCORES</p>	
<p>For supplemental assessments used in conjunction with growth models: This application includes a narrative description of how student-level scores are aggregated to create a single teacher-level score for each teacher.</p>	<p><input type="checkbox"/> <input type="checkbox"/> N/A</p>

To be completed by the Copyright Owner/Assessment Representative of the assessment being proposed and, where necessary, the co-applicant LEA:

1. Name of Organization (PLEASE PRINT/TYPE)	4. Signature of Authorized Representative (PLEASE USE BLUE INK)
2. Name of Authorized Representative (PLEASE PRINT/TYPE)	5. Date Signed
3. Title of Authorized Representative (PLEASE PRINT/TYPE)	

1. Name of LEA (PLEASE PRINT/TYPE)	4. Signature of School Representative (PLEASE USE BLUE INK)
2. School Representative's Name (PLEASE PRINT/TYPE)	5. Date Signed
3. Title of School Representative (PLEASE PRINT/TYPE)	



**STUDENT ASSESSMENTS FOR
TEACHER AND PRINCIPAL EVALUATION**

FORM H

**APPLICANT CERTIFICATION FORM
ASSESSMENTS FOR USE WITH STUDENT LEARNING OBJECTIVES**

Please read each of the items below and check the corresponding box to ensure the fulfillment of the technical criteria.

PLEASE SUBMIT ONE “FORM H” FOR EACH APPLICANT. CO-APPLICANTS SHOULD SUBMIT SEPARATE FORMS.

The Applicant makes the following assurances:

Assurance	Check each box:
The assessment is rigorous, meaning that it is aligned to the New York State learning standards or, in instances where there are no such learning standards that apply to a subject/grade level, alignment to research-based learning standards.	<input type="checkbox"/>
To the extent practicable, the assessment must be valid and reliable as defined by the Standards of Educational and Psychological Testing.	<input type="checkbox"/>
The assessment can be used to measure one year’s expected growth for individual students.	<input type="checkbox"/>
For K-2 assessments, the assessment is not a “Traditional Standardized Assessment” as defined in Section 1.3 of this RFQ.	<input type="checkbox"/>
For assessments previously used under Education Law §3012-c, the assessment results in differentiated student-level performance. If the assessment has not produced differentiated results in prior school years, the applicant assures that the lack of differentiation is justified by equivalently consistent student results based on other measures of student achievement.	<input type="checkbox"/>
For assessments not previously used in teacher/principal evaluation, the applicant has a plan for collecting evidence of differentiated student results such that the evidence will be available by the end of each school year.	<input type="checkbox"/>
At the end of each school year, the applicant will collect evidence demonstrating that the assessment has produced differentiated student-level results and will provide such evidence to the Department upon request. ¹⁰	<input type="checkbox"/>

¹⁰ Please note, pursuant to Section 2.3 of this RFQ, an assessment may be removed from the approved list if such assessment does not comply with one or more of the criteria for approval set forth in this RFQ

To be completed by the Copyright Owner/Assessment Representative of the assessment being proposed and, where necessary, the co-applicant LEA:

1. Name of Organization (PLEASE PRINT/TYPE)	4. Signature of Authorized Representative (PLEASE USE BLUE INK)
2. Name of Authorized Representative (PLEASE PRINT/TYPE)	5. Date Signed
3. Title of Authorized Representative (PLEASE PRINT/TYPE)	

1. Name of LEA (PLEASE PRINT/TYPE)	4. Signature of School Representative (PLEASE USE BLUE INK)
2. School Representative's Name (PLEASE PRINT/TYPE)	5. Date Signed
3. Title of School Representative (PLEASE PRINT/TYPE)	

Appendix A: New York State Learning Standards

The New York State Learning Standards are adopted by the New York State Board of Regents for educational purposes including assessment, curriculum, and professional development.

For the purposes of this RFQ, Applicants must demonstrate that the assessment is aligned with the New York learning standards below for the content area and grade level the assessment is designed to measure.

In instances in which there are no such standards that apply to the content area / grade level, evidence of alignment must be provided to research-based learning standards.

Content Areas in which New York State Has Learning Standards:

- [Arts](#)
- [Career Development and Occupational Studies \(CDOS\)](#)
- [English Language Arts](#) (Note: only the most recent standards are admissible)
- [Health \(The Learning Standards for Physical Education, Health, and Family Consumer Science\)](#)
- [Languages other than English \(LOTE\)](#) (Note: Must specify alignment to either Checkpoint A, Checkpoint B, or Checkpoint C)
- [Mathematics](#) (Note: only the most recent standards are admissible)
- [Science](#) (Note: Alignment to content described in Resource Guides is admissible)
- [Social Studies](#)

Appendix B: Definitions of Growth Models¹¹

Gain Score Model

The Gain Score model is the model that is most aligned with what people commonly associate with the idea of growth. The gain score model quantifies changes in student scores on a particular assessment. For example, if a test produces scores on a 100-point scale, and a student received a score of 70 at time 1, and 80 at time 2, then the gain score would be 10 points. That is gain is conceptualized as:

$$\text{Gain} = X_2 - X_1 \quad (1)$$

where X_2 represents that score at time 2, and X_1 represents the score at time 1. The underlying assumption, of course, is that the scores are on the same scale, to make the difference meaningful. This would imply either that the scores are obtained on a single assessment/parallel forms, where the scores are comparable, or there is a vertical scale underlying the scores that are being subtracted.

Growth-to-Proficiency Model

The Growth to Proficiency Model defines growth in terms of progress toward proficiency. The growth to proficiency model typically only measures growth for students below proficiency (or any other defined target). The amount of gain required for a student to reach proficiency is calculated, and a target amount of gain for a student to exhibit each year to be on track to proficiency is calculated. A student is said to have exhibit growth if they reach or exceed the target set for them. There are many different ways to operationalize this model, and this model does not inherently require a vertical scale. To aggregate these measures to a teacher level, the percent of students that meet their gain target is typically used.

Student Growth Percentiles

The Student Growth Percentile (SGP) is one of the most complex models for computing “growth.” This model does not assume a vertical scale. The statistical details of the model can be found in Betebenner (2009). As noted by Goldschmidt et al. (2012) the SGP does *not* measure absolute growth in performance. Instead, it is a conditional status model, rather than a growth measure.

In computing SGPs, a student’s performance on a test is compared to hypothetical students’ performance on the test who are predicted to have scored similarly to that student in the past (commonly referred to as “academic peers,” but it is important to note the model *estimates* this student group rather than using an observed student group). A percentile rank is assigned to the student to indicate where in the distribution of scores of his “academic peers” his/her score falls. For example, a student with a SGP of 60 performed better than 60% of his/her hypothetical peers predicted to have similar test score histories. Many students may receive an SGP of 60, but that does not mean that the change in the performance of those students is the same. Some of them may have shown more “growth” than others. Because this model does not measure growth in the sense that is most commonly understood, these results can be confusing. Therefore, it is important for stakeholders to understand the proper interpretation of the measure, and how to use it. As with other models, there are variants to this model (e.g. New York City Residual Gain Model)

¹¹ See also Castellano and Ho (2013) for more complete descriptions of growth models.

which are not discussed in detail in this document, since the models are specific to the jurisdictions, and many of the issues that apply to the overarching model (the SGP) remain.

Projection Models

The projection model (also called a residual gain or conditional status model) uses a linear regression model created from a previous group of students to make a prediction about how a student will do based on his/her previous test scores. That is, for each student, a predicted posttest score (e.g., this year's summative posttest score) is computed based on a regression equation from a prior year and the students' pretest (e.g., last year's summative test score). This predicted score is the "projection" of how the student is expected to do this year. A residual score is calculated for each student by subtracting their projected score from their actual posttest score. These residual scores represent "growth." Students whose actual posttest scores are larger than their projected posttest scores demonstrate positive growth.

Value-Added Models

Value-added models are typically used for measuring teacher or school effectiveness, rather than individual student growth. Student achievement data (via test scores) are used as inputs into the model to determine the effect that the teacher (or school) has had on the student. One of the great differentiating factors of value-added models compared to other student growth models is the ability to include student-level covariates, or background variables. By including these variables in the models, we attempt to "level the playing field" for making comparisons among teachers and their effects on student learning.

There is no one value-added model; rather it is a class of models, whose goals are to determine what impact a teacher has on student performance after controlling for student background experience, typically including prior academic achievement. The models are typically hierarchical linear models, with models for the student-level, classroom-level, and teacher level (the model can be extended to school-level as well, of course).

To compute a value-added score, the expected growth (based on previous achievement and background variables) is computed for each student in a classroom. The actual "growth" of the student is compared to the expected growth, and the difference between the two is the "achievement beyond expectation"; this can be a positive or a negative value. The average value of these differences is computed for a teacher. This is the value-added score for the teacher. It can be conceptualized as the average residual of the students' growth. Value-added models are currently popular, and are being used in North Carolina, Ohio, Pennsylvania, and Tennessee, among other states.

References

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