



New York State Education Department

1

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

Request for Qualifications (RFQ) #15-001

Webinar

September 2015

Questions? Send an email to: ASSESSRFQ@nysed.gov



Introductions

2

This webinar is presented by:

Michael Scaptura
Office of Teacher and Leader Effectiveness



Questions & Answers

3

- All questions should be emailed to: ASSESSRFQ@nysed.gov.
- Questions must be received no later than **Thursday, September 24, 2015**.
- Questions and Answers will be posted by **Thursday, October 8, 2015** at <http://usny.nysed.gov/rttt/rfq/assessmentfaq.html>
- Questions received after the deadline will be answered on the web site above as deemed appropriate by NYSED on a rolling basis.



Agenda

4

- Program Summary
- Background
- Key Terms
- Specifications
- Application Procedures
 - Timeline
 - Submission Method
 - Applicant Responsibility Questionnaire
 - Application Package Format
 - Application Package Checklist
 - Application Package Sample
 - Application Evaluation
- Application Forms
- Appendices



Program Summary

5

To implement the provisions of Education Law §3012-d regarding 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 supplemental assessments in conjunction with a growth model or through an assessment used with an SLO that will generate a growth target for one year of expected growth, and will subsequently contribute to teachers' and principals' APPRs.



Please note:

6

This solicitation will NOT result in a contract with the New York State Education Department.



Important



Note: Education Law 3012-d, enacted in April 2015 and codified in Commissioner's Regulations Subpart 30-3, requires that all assessments, including those previously placed on the "List of Approved Student Assessments for Use by School Districts and BOCES in Teacher and Principal Evaluations," be approved through this RFQ. 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.



Application to either or both approved lists

8

SLOs

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”)

AND/OR

Growth Model

The List of Approved Supplemental Assessments and Corresponding Growth Models for Use by School Districts and BOCES in Teacher and Principal Evaluations (“Approved List of Supplemental Assessments and Growth Models”)



Assessments for use with SLOs

9

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. Forms B-2 and G are not required in the application for assessments to be used in conjunction with SLOs.



Supplemental Assessments and Corresponding Growth Models

10

Additionally, a full application for a supplemental assessment and corresponding 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; and
4. how the teacher/principal-level growth scores are converted to a 0-20 APPR score for each teacher or principal.

Form H is not required in the application for supplemental assessments and corresponding growth models



Approved assessments MUST include:

11

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 measures of student growth.

12

This portion is divided into two segments:

Required Student Performance Subcomponent

and

Optional Measures of Student Growth

- For subjects and grades for which New York State has growth model, and where such score covers at least 50% of a teacher's student population or at least 30% of a principal's student population, this model will be utilized to determine an educator's score on this portion of the evaluation.
- For all other teachers, student learning objectives (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 SLO.

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 test; or
- (B) a growth score based on a supplemental assessment, calculated using a State-provided or approved growth model.



Eligibility

13

Previously designed or acquired assessments

- Assessments previously designed or acquired by a school district or BOCES may be submitted to the Department for approval through this process, as well.

Non-competitive

- 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 to offer teacher and principal evaluation assessment services in conjunction with either SLOs that include a target setting process aligned with one-year expected academic growth or with approved growth models.



Approved Assessment List Process

14

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 and target setting process for one year's expected growth for use with an SLO or approved growth model used in conjunction with a supplemental assessment meets the requirements for inclusion on the applicable list.

Removal:

- 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 and an Assessment for Use with an SLO); or
 - upon request by the provider



Background

15

- Education Law §3012-d establishes a new performance evaluation system 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.

For additional information on New York State's new evaluation system, including information on the Commissioner's regulations, see the NYSED website <http://usny.nysed.gov/rttt/teachers-leaders/>.

Questions? Send an email to: ASSESSRFQ@nysed.gov



NYS Next Generation Assessment Priorities

16

- 1. Characteristics of good Math and ELA assessments:** To aid in determining whether an assessment is consistent with best practices in measuring the New York State Learning Standards in ELA and mathematics, NYSED often consults the Achieve the Core Assessment Evaluation Tool (AET), available at: <http://achievethecore.org>.
- 2. 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.
- 3. Performance assessment:** Performance assessments allow students to display understanding of a concept through a performance. Well-constructed performance assessments are often engaging and meaningful for students, making this type of assessment particularly beneficial to students in earlier grades.
- 4. 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 as they allow more classroom instructional time. Although performance assessments tend to take longer to administer and score than traditional multiple-choice assessments, some performance assessments are more efficient than others.
- 5. 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.
- 6. Degree to which the growth model differentiates across New York State's four levels of teacher effectiveness:** Ideally the degree of differentiation would be similar to that seen on New York State's own state growth model. By showing an acceptable degree of differentiation the growth models would ideally provide meaningful feedback for teachers and principals. For additional information on NYSED's growth model, see: <https://www.engageny.org>.

Questions? Send an email to: ASSESSRFQ@nysed.gov



Approved Assessment Lists

17

- NYSED will review the submitted assessments and associated growth models or assessments to be used with SLOs 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(s)*.
- Once approved, assessments will be on the applicable *Approved Assessment List(s)* until:
 - the assessment and/or 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.

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 based on the criteria stipulated in this RFQ and Subpart 30-3 of the Rules of the Board of Regents.

Questions? Send an email to: ASSESSRFQ@nysed.gov



RFQ Key Terms - 1

18

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 of the RFQ for more information.
<i>Approved List of Supplemental Assessments and Growth Models</i>	<i>“The List of Approved Supplemental Assessments and 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 to be used with SLOs.”</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 entail 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 and the New York State Education Department.



RFQ Key Terms - 2

19

Term	Definition
BOCES	Boards of Cooperative Educational Services. There are 37 BOCES in the State of New York that serve as shared service providers to the 700+ 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: http://www.p12.nysed.gov/cte/ .
Educator(s)	Teachers and Principals.

Questions? Send an email to: ASSESSRFQ@nysed.gov



RFQ Key Terms - 3

20

Term	Definition
Growth Model	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 .
Local Education Agency (LEA)	Local Education Agency. For purposes of this RFQ, one of the approximately 700 school districts in the State New York or a BOCES. Note that in some instances a BOCES may procure services on behalf of one or more school districts.
NYSED	The New York State Education Department
New York State Learning Standards	The learning standards approved by the Board of Regents. New York State Learning Standards in ELA and mathematics, titled “NYS P-12 Common Core Learning Standards for English Language Arts & Literacy” and “NYS P-12 Common Core Learning Standards for Mathematics” respectively, include the Common Core State Standards and an additional 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 .
Principal or Building Principal	Principal shall mean a certified administrator designated by the school’s controlling authority to have executive authority, management, and instructional leadership responsibility for all or a portion of a school or BOCES-operated program.

Questions? Send an email to: ASSESSRFQ@nysed.gov



RFQ Key Terms - 4

Term	Definition
RFQ	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.
School Representative	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.
Student Learning Objective	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 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.
Supplemental Assessments	A selection of State tests or 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.



RFQ Key Terms - 5

Term	Definition
Testing Standards, The	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).
Traditional Standardized Assessments	<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: https://www.engageny.org/file/96706/download/k-2-assessment-guidance.pdf</p>



Reservation of Rights

23

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.



Eligible Applicants

24

A. For Supplemental Assessments and Associated Growth Models or Assessment 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 NYS 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; Boards of Cooperative Educational Services (BOCES).

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).

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.

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.

Questions? Send an email to: ASSESSRFQ@nysed.gov



Technical Documentation for Assessments

25

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.



Termination of Approval of a Supplemental Assessment and Associated Growth Model and 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.



Application Timeline

27

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 **Monday, 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. 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.

Questions? Send an email to: ASSESSRFQ@nysed.gov



Application Submission Method

28

Applicants must adhere to the submission method detailed below.

Acceptable Submission Method:

- 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

Questions? Send an email to: ASSESSRFQ@nysed.gov



Questions

29

Any questions concerning this RFQ must be emailed by **Thursday, 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 following webpage: <http://usny.nysed.gov/rttt/rfq/assessmentfaq.html> by **Thursday, 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 using **Form B-2** and deemed adequate and acceptable by the reviewers. In addition the attestations on **Form G** must be checked and the form must be signed by the necessary parties. For assessments for use with SLOs, all assurances on **Form H** must be checked and the form must be signed by the appropriate parties.

Questions? Send an email to: ASSESSRFQ@nysed.gov



Applicant Responsibility Questionnaire

30

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 http://www.osc.state.ny.us/vendrep/faqs_general_vendor.htm#4 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.

To enroll in and use the New York State VendRep System, see the VendRep System instructions at: <http://www.osc.state.ny.us/vendrep/systeminit.htm> or go directly to the VendRep System online at <https://portal.osc.state.ny.us/wps/portal>.

Vendors should also refer to the VendRep System checklist, which can be found at <http://www.osc.state.ny.us/vendrep/documents/system/checklist.pdf>.

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: <http://www.osc.state.ny.us/vendrep/templates.htm> 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 that they are exempt.

Questions? Send an email to: ASSESSRFQ@nysed.gov



Application Package Format

31

- 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 Section 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.

Questions? Send an email to: ASSESSRFQ@nysed.gov



Trade Secrets

32

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.



Application Package Checklist

33

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"/>	VRQ	A completed Vendor Responsibility 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.).

Questions? Send an email to: ASSESSRFQ@nysed.gov



Mandatory Requirements

34

Failure to submit any of the mandatory requirements will result in ineligibility.



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):

35

**Appendices/
Attachments**
e.g., forms, reference letters, brochures, certificates of incorporation, technical manuals

Form G
Attestation of Technical Criteria

Form F
Approval to Submit on Behalf of Assessment Copyright Owner / Assessment Representative

Form E
Request for Exemption from Disclosure Pursuant to FOIL

Form D
Assurances and Signature

Form C
Publicly-Available Service Summary

Form B-2 Technical Application
(documentation/ qualifications)

Form B-1
Assessment Information Page

Form A
Application Cover Page

Vendor Responsibility Questionnaire
(if applicable)

Transmittal Letter
i.e., on applicant's stationery, signed and dated by authorized individual.

Questions? Send an email to: ASSESSRFQ@nysed.gov



Application Evaluation

36

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. 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 RFQ Response Categories and Maximum Points listed on slide 38 reflect all areas investigated by the application reviewers. The Response Categories listed summarize the elements the application reviewers will consider when evaluating applications. 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 meet the required minimum point thresholds by category outlined in the chart on slide 38) 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, with the exception of Form B-2 and Form G. Assessments will only be placed on the *Approved List of Assessments to be Used with SLOs* if all certifications and required responses are sufficient.

Questions? Send an email to: ASSESSRFQ@nysed.gov



Evidence

37

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 Score 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 utilized such assessment during the 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.



Desired Assessment Application Characteristics

38

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 that Generates a Target Aligned with One-year Expected Academic Growth	Application is clear, professional, and responds to all criteria identified in Sections 2.2. 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(B) Evidence of Capability	Detailed point breakdown: 2.2(A) = 5 points maximum (must achieve 3 points for approval) 2.2(B) = 10 points maximum (5 points per criterion) 2.2(C) = 5 points maximum 2.2(D) = 25 points maximum (5 points per criterion; must achieve 12 points for approval) 2.2(E) = 10 points maximum (5 points per criterion; must achieve 6 points for approval) 2.2(F) = 5 points maximum (must achieve 3 points for approval) 2.2(G) = 10 points maximum (5 points per criterion; must achieve 6 points for approval)
2.2(C) Evidence of Copyright Owner/Assessment Representative History of Assessment Development	
2.2(D) Technical Documentation Related to Assessment and Student Growth Score Properties	
2.2(E) Technical Documentation Related to Aggregating Student-Level Growth Scores to Teacher-Level Scores	
2.2(F) Technical Documentation Related to Converting Teacher-Level Growth Score to New York State's 0-20 APPR Scale	
2.2(G) Technical Documentation Related to Fairness	

Questions? Send an email to: ASSESSRFQ@nysed.gov



Application

39

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 on the next slide.



Required Elements of the Application

40

Form A

Application Cover Page

Form B-1

Assessment Information Page

Form B-2

Technical Application *(supplemental assessments with corresponding growth models only)*

Form C

Publicly-Available Service Summary

Form D

Assurance and Signature Page

Form E

Request for Exemption from Disclosure Pursuant to Freedom of Information Law

Form F

Approval to Submit on Behalf of Authorized Legal Representative Page

Form G

Attestation of Technical Criteria *(supplemental assessments with corresponding growth models only)*

Form H

Applicant Certification Form *(assessments for use with SLOs only)*

Appendices

Questions? Send an email to: ASSESSRFQ@nysed.gov



Required Elements: Form A

41

Form A: Application Cover Page

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

Applicant must include contact information, tax ID number and associated information for the assessment provider.

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.* (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

*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 at www.counsel.nysed.gov or you may also contact the Office at 518-474-6400 if you have any questions regarding this requirement.

Questions? Send an email to: **ASSESSRFQ@nysed.gov**



Required Elements: Form B-1

42

Form B-1: Assessment Information Page

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.



Required Elements: Form B-2

43

Form B-2: Technical Application

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.

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



Required Elements: Form C

44

Form C: Publicly-Available Service Summary

- 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.
- 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.



Required Elements: Form D

45

Form D: Assurance and Signature Page

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



Required Elements: Form E

46

Form E: Request for Exemption from Disclosure Pursuant to Freedom of Information Law (FOIL)

- 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.



Required Elements: Form F

47

Form F: Approval to Submit on Behalf of Authorized Legal Representative Page

- 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.



Required Elements: Form G

48

Form G: Attestation of Technical Criteria

The Assessment Representative/Provider must complete an **Attestation of Technical Criteria** 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.

Please note: Form G only needs to be completed for supplemental assessments with corresponding growth models.



Required Elements: Form H

49

Form H: Applicant Certification Form

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**.

Please note: Form H only needs to be completed for assessments to be used with SLOs.



Appendix A: New York State Learning Standards

50

- The New York State Learning Standards are approved by the New York State Board of Regents for use in educational purposes including assessment, curriculum, and professional development.
- For the purposes of this RFQ, assessments must address the standards below that are appropriate 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: <http://www.p12.nysed.gov/ciai/arts/artsls.html>

Career Development and Occupational Studies (CDOS): <http://www.p12.nysed.gov/cte/cdlearn/>

English Language Arts (Note: only the 2010 standards are admissible): <http://www.p12.nysed.gov/ciai/ela/elarg.html>

Health (The Learning Standards for Physical Education, Health, and Family Consumer Science):
<http://www.p12.nysed.gov/sss/schoolhealth/schoolhealtheducation/>

Languages other than English (LOTE; Note: Must specify alignment to either Checkpoint A, Checkpoint B, or Checkpoint C):
<http://www.p12.nysed.gov/ciai/lote/lotels.html>

Mathematics (Note: only the 2011 standards are admissible): <http://www.p12.nysed.gov/ciai/mst/math/standards/>

Science (Note: Alignment to content described in Resource Guides is admissible):
<http://www.p12.nysed.gov/ciai/mst/math/standards/>

Social Studies: <http://www.p12.nysed.gov/ciai/socst/ssrg.html>



Appendix B: Definitions of Growth Models -1

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:

$$\text{Gain} = X_2 - X_1$$

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.



Appendix B: Definitions of Growth Models -2

52

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 exhibited 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.



Appendix B: Definitions of Growth Models -3

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) 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.



Appendix B: Definitions of Growth Models - 4

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.

Appendix B: Definitions of Growth Models - 5

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.



Helpful Hints

56

- Use the Mandatory Requirements and Application Checklist to help you ensure your application is complete.
- Use the appendices – they are there to provide additional support and guidance.
- Email your questions no later than **Thursday, September 24, 2015** to ASSESSRFQ@nysed.gov.



Closing

57

Important Dates

August 31, 2015:	RFQ Applications open; application posted at http://www.p12.nysed.gov/comcontracts/comcontracts.html
Aug. 31- Sept. 14, 2015:	Email any questions to ASSESSRFQ@nysed.gov .
October 8, 2015:	Questions and Answers will be posted at http://usny.nysed.gov/rttt/rfq/assessmentfaq.html
On a rolling basis:	Applications will be reviewed. Once approved, assessments will be added to the appropriate approved list(s).
Two months:	Approximate application review time.
June 30 – Aug. 15, 2016:	Period to remove assessments from approved lists.

Questions? Send an email to: ASSESSRFQ@nysed.gov

