

# ***Tippecanoe Valley School Corporation***

**Document A**



***Teacher Performance Evaluation  
Handbook  
2012-2013***

## **ACKNOWLEDGMENT**

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## **Mission Statement**

The Tippecanoe Valley School Corporation is committed to serving the community by preparing all students for each educational transition. We will provide a strong academic foundation, develop employability skills, and create an awareness of career opportunities. We will serve the community by challenging all individuals to achieve their potential, develop a passion for lifelong learning, and become productive members of society.

## **Hedgehog Statement**

Student Success through Character Education, Leadership, and Literacy

## **Core Values**

- Consistently Put Kids First
- Shared Leadership
- Differentiated Instruction – Meeting Students at Their Ability Level
- Collaboration
- Build Positive Relationships with Stakeholders

## **Belief Statements**

- We value and model respect, courtesy, self-discipline, and concern for everyone.
- We value moral character development, positive attitudes, and teamwork for all students and staff.
- We value a safe school atmosphere for all students, staff, and families that is warm, caring, and challenging.
- We value education, lifelong learning, and excellence in academics, the arts, athletics, and life skills.
- We value each and every student and believe that every student can learn and achieve.
- We value all students, staff, and community members as partners in providing a positive and respectful learning environment.

## **Philosophy of Teacher Performance Evaluation**

The purpose of evaluation in the Tippecanoe Valley School Corporation is to improve student learning by developing the personal and professional skills of teachers. Performance of teachers is assessed to cooperatively develop a plan which reinforces effective behaviors and identifies where growth is necessary.

Evaluation is a continual process and designed to improve instruction and promote growth and development of teachers. Objective measures are used to identify strength and weaknesses and to develop a corrective plan of action.

Reports, observations, and other information are used in planning for staff development and in making personnel decisions. Teachers will participate in the evaluation process and assume responsibility for their continued growth and improvement.

## **Purpose for Teacher Performance Evaluation**

The intended purpose of the Teacher Evaluation Process is to:

- Provide a means by which the district becomes a “A” corporation.
- Ensure teacher quality;
- Promote teacher and student learning;
- Enhance performance and instructional effectiveness that improves student learning and results;
- Promote a positive environment for professional growth and student development;
- Provide additional structure to the collaboration process, ensuring all teachers, teams, and schools are working toward the same goal;
- Provide an objective assessment of overall performance based on the six standards of teaching responsibility;
- Collaboratively establish a plan for professional growth that will improve teaching and learning;
- Assess the teacher’s performance in relation to the Professional Teaching Standards; and
- Actively engage each teacher through the use of self-assessment, reflection, presentation of artifacts, classroom demonstration(s), and data indicating student achievement and growth.

## **Primary Components to Assess Teacher Performance**

1. **Student Learning** – Student learning will be measured in two ways:
  - a. Student growth as indicated by the Indiana growth model, where appropriate data is available; and

- b. Student mastery of rigorous academic goals and standards based upon a variety of summative assessments and measured through a goal attainment process.
- 2. **Professional Practices** – The extent to which a teacher executes a set of core competencies, including content, through observations of teacher and student interactions and review of artifacts. Professional practice competencies are clearly mapped on a performance rubric.
- 3. **Professional Responsibilities** – The extent to which a teacher exhibits skill and knowledge based on actions and attitudes that reflect a clearly defined set of professional responsibilities.
- 4. **Data Measures** – Objective measures of student achievement and growth to significantly inform the evaluation. The objective measures must include:
  - a. Student assessment results for certified staff whose responsibilities include instruction in subjects measured by statewide assessments; and
  - b. Methods for assessing student growth for certified staff that does not teach in areas measured by statewide assessments.
  - c. Methods for assessing student growth for certified staff that teaches a combination of tested and non-tested content.

### **Teacher Evaluation Plan Expectations & Requirements:**

- 1. Performance evaluations for all certified staff, conducted at least annually.
- 2. Objective measures of student achievement and growth to significantly inform the evaluation. The objective measures include:
  - A. Student assessment results for certified staff whose responsibilities include instruction in subjects measured in statewide assessments.
  - B. Methods for assessing student growth for certified staff who do not teach in areas measured by statewide assessments.
- 3. An annual designation of each certified staff in one(1) of the following rating categories:
  - A. Highly Effective
  - B. Effective
  - C. Improvement Needed or Necessary
  - D. Ineffective
- 4. An explanation of the evaluator's recommendations for improvement and the time in which improvement is expected.
- 5. A provision that a teacher who negatively affects student achievement and/or growth cannot receive a rating of highly effective or effective.

6. The plan, including the criteria for each rating category, must be made available to all certified staff before the evaluations are conducted.
7. The evaluator shall discuss the evaluation with the certified staff member.
8. A copy of the completed evaluation, including any documentation related to the evaluation, must be provided to the certified staff no later than ten (10) contractual days after the evaluation is conducted.
9. If a certified staff receives a Not Demonstrated rating in the majority of a standard, the evaluator and the certified staff member shall develop a remediation plan of not more than ninety (90) school days in length to correct the deficiencies noted in the certified staff's evaluation. The remediation plan must require the use of the certified staff's license renewal credits in professional development activities intended to help the certified staff achieve an effective rating on the next performance evaluation. If the principal did not conduct the performance evaluation, the principal may direct the use of the certified staff member's license renewal credit.
10. There are no maximum limits on the number of conferences and/or written evaluations. Additional observations, conferences and/or written evaluations may occur at any time when deemed necessary by the administration or at the request of the teacher.
11. The Directed Professional Development Plan is the Remediation Plan required by the state statute. The teacher is placed on Directed Professional/Remediation plan by the principal/evaluator, and the plan is developed and monitored by the principal/evaluator.
12. The Not Demonstrated rating is used by the principal/evaluator when the teacher is performing below expectations and is not making adequate growth or progress toward becoming Proficient on the element determined by the principal/evaluator. This rating is also used when the principal/evaluator is not able to check any of the practices for the element being rated. If a teacher is rated Not Demonstrated, the principal/evaluator must clarify the rating through the comment section.
13. A teacher who receives a rating of Ineffective may file a request for a private conference with the principal no later than five (5) school days after receiving notice that the teacher received a rating of Ineffective. The teacher is entitled to a private conference with the principal. If the teacher files a request with the school corporation for an additional private conference not later than five (5) school days after the initial private conference with the principal, the teacher is entitled to an additional private conference with the superintendent.
14. Before August 1 of each year, each school corporation shall provide the results of the staff performance evaluations, including the number of certified staff placed in each performance category, to the IDOE. The results may not include names or any other personally identifiable information regarding the certified staff member.
15. Individual data will be based on a three year average for achievement and a three year median average for growth or data that is available at the time.
16. Overall data will be based on one year (the previous year). This is a one year delay due to the timing of the test data from the state.
17. Since first year teachers do not have data available, their evaluation will be based on the five standards at a 100%.

18. The evaluator will use only the data that is available in the evaluation process.
19. **Instruction delivered by teacher rated ineffective** - Through the use of the McREL evaluation system, teacher performance is closely monitored throughout the year. Teachers rated as Not Demonstrated on the majority of elements in any one standard will require a Directed Professional Development/Remediation Plan in order to improve skills in those areas.
20. Procedures and Notification if a teacher is rated ineffective - The administration will track the students assigned to ineffective teachers. In order to avoid a student receiving instruction by an ineffective teacher two years in a row, the administration will hand schedule affected students to an effective teacher. If the schedule does not allow the student to be rescheduled, a letter will be sent from the school administration to parents.

### **Final Rating Scale: State Definitions**

Individual ratings for each of the six components will be combined and converted to produce a final rating utilizing the following performance level descriptors and definitions for category designation under the plan.

1. **Highly Effective**. A highly effective teacher consistently exceeds expectations both in terms of student outcomes and instructional practice. This is a teacher who has demonstrated excellence, as determined by a trained evaluator, in locally selected competencies reasonably believed to be highly correlated with positive student learning outcomes. The highly effective teacher's students, in aggregate, have exceeded expectations for academic growth and achievement based on guidelines suggested by the IDOE.
2. **Effective**. An effective teacher consistently meets expectations both in terms of student outcomes and instructional practice. This is a teacher who has consistently met expectations, as determined by a trained evaluator, in locally selected competencies reasonably believed to be high correlated with positive student learning outcomes. The effective teacher's students, in aggregate, have achieved an acceptable rate of academic growth and achievement based on guidelines suggested by the IDOE.
3. **Improvement Necessary**. A teacher who is rated as improvement necessary requires a change in performance before he/she meets expectations either in terms of student outcomes or instructional practice. This is a teacher who a trained evaluator has determined to require improvement in locally selected competencies reasonably believed to be highly correlated with positive student learning outcomes. In aggregate, the students of a teacher rated improvement necessary have achieved a below acceptable rate of academic growth and achievement based on guidelines suggested by the IDOE.
4. **Ineffective**. An ineffective teacher consistently fails to meet expectations both in terms of student outcomes and instructional practice. This is a teacher who has failed to meet expectations, as determined by a trained evaluator, in locally selected competencies reasonably believed to be highly correlated with positive student learning outcomes. The ineffective teacher's students, in aggregate, have achieved unacceptable levels of academic growth and achievement based on guidelines suggested by the IDOE.

### **Observation and Analysis of Teacher Practice and Student Learning Measures**

Administrators and other administrator-designated individuals shall collect evidence throughout the school year to be used toward a summative evaluation.

1. Individuals responsible for collecting evidence toward summative evaluations must be provided with training on how to collect and analyze evidence.
2. Individuals responsible for collecting evidence towards summative evaluations are not required to be certified in administration.

### **Evaluation Measures**

Measures to be used shall include the following:

1. Measures provided by the Indiana Department of Education based on student achievement and/or growth on statewide assessments.
2. Measures based on other assessments developed or procured by a school corporation for the purpose of showing student learning gains and/or achievement. This may include commercially available or locally developed assessments, performance tasks, portfolios, or other measures of student growth and achievement.
3. Measures closely aligned with content standards, as applicable, to reflect ambitious learning goals and proportional representation of content.

### **Selection and Weight of Measures**

The use and weighting of student measures shall directly relate the assessments that most accurately measure student learning according to the following priority:

1. Where a state exam exists, a school corporation must use it as a primary measure
2. Where a state exam does not exist, the primary measure shall be an exam developed or procured by a corporation that is used for common grades and subjects
3. Only when there is no state, corporation, or school exam shall a corporation utilize class-specific, teacher-created exams as a primary measure of student learning for evaluation purposes. If data from state exams are available, that data must be used and weighted more than other sources of student learning measures
4. Where individual state assessments growth data is available, schools and school corporations must incorporate this data in summative ratings and give this data a higher weight than other student learning measures that may be included.
5. The value and weight of the standards and the data component:

#### **Weight in %**

#### **Standard**

25%	Standard I: Teachers demonstrate leadership
15%	Standard II: Teachers establish a respectful environment for a diverse population
15%	Standard III: Teachers know the content they teach

25%	Standard IV: Teachers facilitate learning for the students
15%	Standard V: Teachers reflect on their own practice
5%	Component VI: Data

### **Negative Impact on Student Learning**

Negative impact on student learning shall be defined as follows:

1. For classes measured by statewide assessments, the IDOE shall determine and revise at regular intervals the cut levels in growth results that would determine negative impact growth and achievement.
2. For classes that are not measured by statewide assessments, or where data shows a significant number of students across a teacher's classes fail to demonstrate student learning or mastery of standards established by the state, negative impact on student growth shall be defined locally.

### **Indiana Growth Model**

The Indiana Growth model is a statistical way to determine how much change in ISTEP+ scores is equal to one year of student learning. It answers the question "How much did a student learn in a school year?" The Indiana Growth Model takes a student's ISTEP+ score in "year 1" and finds all other students in the state who got exactly that same score, in math for example. Then it looks at all of the "year 2" math scores for the same group of students and see how the student in which we are interested scored compared to the other students in the group. Growth is reported in percentiles.

### **STI Reports**

In the teacher evaluation area, the achievement and growth of students will be calculated to determine the three year mean average in achievement and growth to determine the effectiveness of the teacher.

### **Evaluation System**

The teacher being evaluated and the principal/evaluator have specific responsibilities which must be fulfilled in order to complete the evaluation process.

Teacher Responsibilities:

- Know and understand the Professional Teaching Standards.
- Understand Tippecanoe Valley/McREL's Teacher Evaluation System.
- Prepare for and fully participate in each component of Tippecanoe Valley/McREL's Teacher Evaluation System.
- Gather data, artifacts, and/or evidence to support performance in relation to standards and progress in attaining goals.
- Develop and implement strategies to improve personal performance/attain goals in areas individually or collaboratively identified.

Principal/Evaluator Responsibilities:

- Know and understand the Professional Teaching Standards.



- Participate in training to understand and implement Tippecanoe Valley/McREL's Teacher Evaluation System.
- Supervise the process and ensure that all steps are conducted according to Tippecanoe Valley/McREL's Teacher Evaluation System.
- Identify the teacher's strengths and areas for improvement and make recommendations for improving performance.
- Ensure the Teacher Summary Evaluation Rating Form contains accurate information and accurately reflects the teacher's performance.
- Develop and supervise implementation of professional development plans.

Administrators will be expected to evaluate every certified staff member annually. It is also the expectation of the district that all administrators will either hold an Indiana Administrative License or be actively working toward such licensure. Evaluation is one of the primary responsibilities of each administrator based on their job description. Administrators are instructional leaders in the schools. Each administrator will be able to effectively observe, evaluate, collaborate and provide appropriate feedback to his/her teaching staff.

The Tippecanoe Valley School Corporation required a minimum of three days training for all evaluators in the district. The fundamental objectives were met during the training session. First, each evaluator was required to understand the process by which each teacher was to be evaluated. Second, each evaluator was required to have a basic understanding of the five standards by which teachers were to be evaluated. Third, each evaluator was required to understand the data collection methods to be used to provide the teacher with a comprehensive assessment of their performance. Included in the data collection, evaluators were trained on the use of the web-based software that is used to collect, store and report evaluation data.

Evaluators have specific responsibilities that at a minimum must be adhered to in order to provide a quality assessment and provide constructive feedback to the teacher. At the minimum the evaluator responsibilities include:

- Know and understand the Professional Teaching Standards.
- Participate in training to understand and implement McREL's Teacher Evaluation System.
- Supervise the process and ensure that all steps are conducted according to McREL's Teacher Evaluation System.
- Identify the teacher's strengths and areas for improvement and make recommendations for improving performance.
- Ensure the Teacher Summary Evaluation Rating Form contains accurate information and accurately reflects the teacher's performance.
- Develop and supervise implementation of professional development plans.

The final day of the training, evaluators were provided the opportunity to work with a consultant to clarify their understanding of the required objectives. Lastly, evaluators undergo a quality assurance process.

## **Professional Teaching Standards**

The Professional Teaching Standards are the basis for teacher preparation, teacher evaluation, and professional development. Each standard includes the skills and knowledge needed for 21st century teaching and learning.

## **A New Vision of Teaching**

The different demands on 21st century education dictate new roles for teachers in their classrooms and schools. These new roles reflect a deeper understanding about the content knowledge, skills, competencies, and outcomes that define a successful student in the 21st century. Teachers must understand what comprises a 21st century education and how their practice must reflect the demands of

that education in order to realize a new vision of teaching.

### 21st Century Education

A knowledge-based, global society demands different skills than in the past (Friedman, 2006; Lemke, Coughlin, Thadani, & Martin, 2003; Organization for Economic Co-operation and Development [OECD], 2005; Partnership for 21st Century Skills, n.d.; Shaffer & Gee, 2005). However, no single definition fully describes these skills, and several sources have made the case for various skills and knowledge required in the 21st century. The standards incorporate some of these broad skills and knowledge into specific teacher practices.

In general, educators and others agree that the skills and knowledge that comprise a 21st century education must be embedded in curriculum, instruction, standards, and assessment (International Baccalaureate Organization, 2006; Lemke, Coughlin, Thadani, & Martin, 2003; Partnership for 21st Century Skills, n.d.), although the precise form of integration varies. Indeed, some point out that these skills and knowledge are inseparable from content and have always been part of high-quality instruction and learning (Rotherham & Willingham, 2009).

A key point to take from the broad discussion of 21st century education is that *schools must be more intentional and deliberate about teaching and assessing the skills and knowledge considered integral to a 21st century education*: "To fully realize the educational opportunities 21st century skills can bring to students, education leaders must formally incorporate them into the mainstream of school curriculum, instruction, and assessment" (Lemke, Coughlin, Thadani, & Martin, 2003, p. 7).

This evaluation instrument and accompanying process is one way to intentionally and deliberately incorporate 21st century education into a school's practice. By describing the elements of a 21st century education in practice, providing the means to measure and assess practice, and putting in place a process to improve practice, schools are able to realize the opportunities presented by 21st century education integrated with research-based standards.

The sheer magnitude of human knowledge, globalization, and the accelerating rate of change due to technology necessitate a shift in our children's education from plateaus of knowing to continuous cycles of learning. Therefore, policymakers and educators alike must define 21st century skills, highlighting the relationship of those skills to conventional academic standards. (Lemke, Coughlin, Thadani, & Martin, 2003, p. 2)

The following defines what teachers need to know and do to teach students in the 21st century:

- Leadership among the staff and with the administration is shared in order to bring consensus and common shared ownership of the vision and purpose of the school's work. Teachers are valued for the contributions they make to their classroom and the school.
- Teachers make the content they teach engaging, relevant, and meaningful to students' lives.
- Teachers no longer cover material; they, along with their students, uncover solutions. They teach existing core content that is revised to include skills, such as critical thinking, problem solving, and information and communications technology literacy.
- Teachers facilitate instruction, encouraging all students to use 21st century skills so they discover how to learn, innovate, collaborate, and communicate their ideas.
- Twenty-first century content (global awareness, civic literacy, financial literacy, and health awareness) is included in the core content areas.
- Subjects and related projects are integrated among disciplines and involve relationships with the home and community.

- Teachers are reflective about their practice and include assessments that are authentic, structured, and demonstrate student understanding.
- Teachers demonstrate the value of lifelong learning and encourage their students to learn and grow.

## **Professional Teaching Standards**

### **Standard I: Teachers Demonstrate Leadership**

1. **Teachers lead in their classrooms.** Teachers demonstrate leadership by taking responsibility for the progress of all students to ensure that they graduate from high school, are globally competitive for work and postsecondary education, and are prepared for life in the 21st century. Teachers communicate this vision to their students. Using a variety of data sources, they organize, plan, and set goals that meet the needs of the individual student and the class. Teachers use various types of assessment data during the school year to evaluate student progress and to make adjustments to the teaching and learning process. They establish a safe, orderly environment, and they create a culture that empowers students to collaborate and become lifelong learners.
2. **Teachers demonstrate leadership in the school.** Teachers work collaboratively with school personnel to create a professional learning community. They analyze and use local, state, and national data to develop goals and strategies in the school improvement plan that enhance student learning and teacher working conditions. Teachers provide input in determining the school budget and in the selection of professional development that meets the needs of students and their own professional growth. They participate in the hiring process and collaborate with their colleagues to mentor and support teachers to improve the effectiveness of their departments or grade levels.
3. **Teachers lead the teaching profession.** Teachers strive to improve the teaching profession. They contribute to the establishment of positive working conditions in their school. They actively participate in and advocate for decision-making structures in education and government that take advantage of the expertise of teachers. Teachers promote professional growth for all educators and collaborate with their colleagues to improve the profession.
4. **Teachers advocate for schools and students.** Teachers advocate for positive change in policies and practices affecting student learning. They participate in the implementation of initiatives to improve the education of students.
5. **Teachers demonstrate high ethical standards.** Teachers demonstrate ethical principles including honesty, integrity, fair treatment, and respect for others.

### **Standard II: Teachers Establish a Respectful Environment for a Diverse Population of Students**

1. **Teachers provide an environment in which each child has a positive, nurturing relationship with caring adults.** Teachers encourage an environment that is inviting, respectful, supportive, inclusive, and flexible.
2. **Teachers embrace diversity in the school community and in the world.** Teachers demonstrate their knowledge of the history of diverse cultures and their role in shaping global issues. They actively select materials and develop lessons that counteract stereotypes and incorporate histories and contributions of all cultures. Teachers recognize the influence of race, ethnicity, gender, religion, and other aspects of culture on a student's development and personality. Teachers strive to understand how a student's culture and

background may influence his or her school performance. Teachers consider and incorporate different points of view in their instruction.

3. **Teachers treat students as individuals.** Teachers maintain high expectations, including graduation from high school, for students of all backgrounds. Teachers appreciate the differences and value the contributions of each student in the learning environment by building positive, appropriate relationships.
4. **Teachers adapt their teaching for the benefit of students with special needs.** Teachers collaborate with the range of support specialists to help meet the special needs of all students. Through inclusion and other models of effective practice, teachers engage students to ensure that their needs are met.
5. **Teachers work collaboratively with the families and significant adults in the lives of their students.** Teachers recognize that educating children is a shared responsibility involving the school, parents or guardians, and the community. Teachers improve communication and collaboration between the school and the home and community in order to promote trust and understanding and build partnerships with all segments of the school community. Teachers seek solutions to overcome cultural and economic obstacles that may stand in the way of effective family and community involvement in the education of their students.

### **Standard III: Teachers Know the Content They Teach**

1. **Teachers align their instruction with the state standards and their district's curriculum.** In order to enhance the state standards, teachers investigate the content standards developed by professional organizations in their specialty area. They develop and apply strategies to make the curriculum rigorous and relevant for all students and provide a balanced curriculum that enhances literacy skills. Elementary teachers have explicit and thorough preparation in literacy instruction. Middle and high school teachers incorporate literacy instruction within the content area or discipline.
2. **Teachers know the content appropriate to their teaching specialty.** Teachers bring a richness and depth of understanding to their classrooms by knowing their subjects beyond the content they are expected to teach and by directing students' natural curiosity into an interest in learning. Elementary teachers have broad knowledge across disciplines. Middle school and high school teachers have depth in one or more specific content areas or disciplines.
3. **Teachers recognize the interconnectedness of content areas/disciplines.** Teachers know the links and vertical alignment of the grade or subject they teach and the state standards. Teachers understand how the content they teach relates to other disciplines in order to deepen understanding and connect learning for students. Teachers promote global awareness and its relevance to the subjects they teach.
4. **Teachers make instruction relevant to students.** Teachers incorporate 21st century life skills deliberately, strategically, and broadly into their teaching. These skills include leadership, ethics, accountability, adaptability, personal productivity, personal responsibility, people skills, self-direction, and social responsibility. Teachers help their students understand the relationship between the state standards and 21st century content which includes global awareness; financial, economic, business, and entrepreneurial literacy; civic literacy; and health awareness.

### **Standard IV: Teachers Facilitate Learning for Their Students**

1. **Teachers know the ways in which learning takes place, and they know the appropriate levels of intellectual, physical, social, and emotional development of their students.** Teachers know how students think and learn. Teachers understand the influences that affect individual student learning (development,

culture, language proficiency, etc.) and differentiate their instruction accordingly. Teachers keep abreast of evolving research about student learning. They adapt resources to address the strengths and weaknesses of their students.

2. **Teachers Plan Instruction Appropriate For Their Students.** Teachers collaborate with their colleagues and use a variety of data sources for short and long range planning based on the state standards. These plans reflect an understanding of how students learn. Teachers engage students in the learning process. They understand that instructional plans must be constantly monitored and modified to enhance learning. Teachers make the curriculum responsive to cultural diversity and to individual learning needs.
3. **Teachers use a variety of instructional methods.** Teachers choose the methods and techniques that are most effective in meeting the needs of their students as they strive to eliminate achievement gaps. Teachers employ a wide range of techniques including information and communication technology, learning styles, and differentiated instruction.
4. **Teachers integrate and utilize technology in their instruction.** Teachers know when and how to use technology to maximize student learning. Teachers help students use technology to learn content, think critically, solve problems, discern reliability, use information, communicate, innovate, and collaborate.
5. **Teachers help students develop critical thinking and problem-solving skills.** Teachers encourage students to ask questions, think creatively, develop and test innovative ideas, synthesize knowledge and draw conclusions. They help students exercise and communicate sound reasoning; understand connections; make complex choices; and frame, analyze, and solve problems.
6. **Teacher's help students work in teams and develop leadership qualities.** Teachers teach the importance of cooperation and collaboration. They organize learning teams in order to help students define roles, strengthen social ties, improve communication and collaborative skills, interact with people from different cultures and backgrounds, and develop leadership qualities.
7. **Teachers communicate effectively.** Teachers communicate in ways that are clearly understood by their students. They are perceptive listeners and are able to communicate with students in a variety of ways, even when language is a barrier. Teachers help students articulate thoughts and ideas clearly and effectively.
8. **Teachers use a variety of methods to assess what each student has learned.** Teachers use multiple indicators, including formative and summative assessments, to evaluate student progress and growth as they strive to eliminate achievement gaps. Teachers provide opportunities, methods, feedback, and tools for students to assess themselves and each other. Teachers use 21st century assessment systems to inform instruction and demonstrate evidence of students' 21st century knowledge, skills, performance, and dispositions.

#### **Standard V: Teachers Reflect on Their Practice**

1. **Teachers analyze student learning.** Teachers think systematically and critically about student learning in their classrooms and schools: why learning happens and what can be done to improve achievement. Teachers collect and analyze student performance data to improve school and classroom effectiveness. They adapt their practice based on research and data to best meet the needs of students.
2. **Teachers link professional growth to their professional goals.** Teachers participate in continued, high-quality professional development that reflects a global view of educational practices; includes 21st century

skills and knowledge; aligns with the state board of education priorities; and meets the needs of students and their own professional growth.

3. **Teachers function effectively in a complex, dynamic environment.** Understanding that change is constant, teachers actively investigate and consider new ideas that improve teaching and learning. They adapt their practice based on research and data to best meet the needs of their students.

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### Tippecanoe Valley/McREL's Teacher Evaluation System

Tippecanoe Valley/McREL's Teacher Evaluation System is designed to (1) assess a teacher's performance as it relates to the Professional Teaching Standards, and (2) serve as the basis for developing a professional growth plan. The principal/evaluator conducts the evaluation process, in which the teacher actively participates, through the use of self-assessment, reflection, presentation of artifacts, data analysis, and classroom demonstrations(s).

## **Components**

Tippecanoe Valley/McREL's Teacher Evaluation System contains the following eight components:

### **Component 1: Training**

Before participating in the evaluation process, all teachers and administrators must complete training on the evaluation process.

### **Component 2: Orientation**

Within two weeks of a teacher's first day of work in any school year, the principal should provide the teacher with a copy of or directions for obtaining access to:

- The Teacher Evaluation Rubric (the Rubric).
- A schedule for completing all the components of the evaluation process.

### **Component 3: Teacher Self-Assessment**

Using the Teacher Evaluation Rubric, the teacher shall rate his or her own performance at the beginning of the year and reflect on his or her performance throughout the year.

### **Component 4: Pre-Observation Conference**

Before the first formal observation, the principal should meet with the teacher to discuss the teacher's self-assessment based on the Teacher Evaluation Rubric, the teacher's most recent professional development plan, and the lesson(s) to be observed. The teacher will provide the principal with a completed Pre-Observation Report/Form (See Appendix). The goal of this conference is to prepare the principal for the observation. Pre-Observation conferences are not required for subsequent observations.

### **Component 5: Observations**

The principal/evaluator should conduct three formal classroom observations for each certified staff member during the course of each school year. A fourth formal observation is allowed if deemed necessary by the principal/evaluator or requested by the teacher. The first formal observation is due to be completed by October 31<sup>st</sup>, the second is due to be completed by January 31<sup>st</sup>, and the third is due to be completed by April 30<sup>th</sup>.

The principal/evaluator is to conduct three walkthrough observations of each certified staff member during the course of each school year.

During observations, the principal should note the teacher's performance in relationship to the applicable standards on the Teacher Evaluation Rubric.

### **Component 6: Post-Observation Conference**

A post-observation conference must be conducted no later than ten (10) contractual days after each formal observation. During the post-observation conference, the principal and teacher discuss and document on the Rubric the strengths and weaknesses of the teacher's performance during the period of performance.

## **Component 7: Summary Evaluation Conference and Scoring the Teacher Summary Rating Form**

Prior to June 1st, the principal should conduct a summary evaluation conference with the teacher. During the summary evaluation conference, the principal and teacher shall discuss the teacher's self-assessment, the teacher's Professional Development Plan, the components of the Tippecanoe Valley/McREL Teacher Evaluation System completed during the year, student data, and classroom observations, artifacts submitted or collected during the evaluation process and other evidence of the teacher's performance on the Teacher Evaluation Rubric.

At the conclusion of the evaluation process, the principal will:

- Give a rating for each element in the Teacher Evaluation Rubric;
- Make a written comment on any element marked *Not Demonstrated*;
- Give an overall rating of each standard in the Teacher Evaluation Rubric;
- Provide the teacher with the opportunity to add comments to the Teacher Summary Rating Form;
- Review the completed Teacher Summary Rating Form with the teacher; and
- Secure the teacher's signature on the Record of Teacher Evaluation Activities and Teacher Summary Rating Form.

## **Component 8: Professional Development Plans**

### **A. Individual Professional Development Plans**

Teachers who are rated at least *Proficient* on all the standards on the Teacher Summary Rating Form will develop an Individual Professional Development Plan designed to improve performance on specifically identified standards and elements.

### **B. Monitored Professional Development Plans**

A teacher shall be placed on a Monitored Professional Development Plan whenever he or she:

1. Is rated Developing on one or more standards on the Teacher Summary Rating Form; and
2. Is not recommended for dismissal, demotion or nonrenewal.

A Monitored Professional Development Plan will, at a minimum, identify the standards and elements to be improved, the goals to be accomplished, the activities the teacher should undertake to achieve Proficiency, and a timeline which allows the teacher one school year to achieve Proficiency.

### **C. Directed Professional Development Plans**

A teacher shall be placed on a Directed Professional Development Plan whenever he or she:

1. Is rated
  - a. Not Demonstrated on any standard on the Teacher Summary Rating Form; or
  - b. Developing on one or more standards on the Teacher Summary Rating Form for two sequential years; and
2. Is not recommended for dismissal, demotion, or non-renewal.

The Directed Professional Development Plan will, at a minimum, identify the standards and elements to be improved, the goals to be accomplished, the activities the teacher needs to complete to achieve



Proficiency, and a timeline for achieving Proficiency within 90 contractual days or less

## Teacher Evaluation Rubric

The following rubric was developed to align with and exemplify the Professional Teaching Standards and should be used in conjunction with the Professional Teaching Standards. The rubric will be used to record evaluator ratings and teachers' self-assessments, and to document end-of-year ratings based on all evaluation activities. A form for summarizing the teacher's ratings also accompanies the rubric. Together, these materials form the core of the Tippecanoe Valley/McREL Teacher Evaluation System and will be combined with the Data component through the Teacher Effectiveness Conversion Chart/Process.

Teacher performance will be noted as follows:

**Developing:** Teacher demonstrated adequate growth toward achieving standard(s) during the period of performance, but did not demonstrate competence on standard(s) of performance.

**Proficient:** Teacher demonstrated basic competence on standard(s) of performance.

**Accomplished:** Teacher exceeded basic competence on standard(s) of performance most of the time.

**Distinguished:** Teacher consistently and significantly exceeded basic competence on standard(s) of performance.

**Not Demonstrated:** Teacher did not demonstrate competence on or adequate growth toward achieving standard(s) of performance. (Note: If the *Not Demonstrated* rating is used, the principal/evaluator must comment about why it was used.)

These levels are cumulative across the rows of the Rubric. The Developing teacher may exemplify the skills expected of a teacher who is new to the profession or an experienced teacher who is working in a new content area or grade level, or who needs a new skill in order to meet the standard. A Proficient teacher must exhibit the skills and knowledge described under the Developing header as well as those under Proficient. Likewise, a Distinguished teacher exhibits all of the skills and knowledge described for that element across the row. The Not Demonstrated rating should be used when the teacher is performing below expectations and is not making adequate growth toward becoming Proficient on the element. This rating is also used when the principal is not able to check any of the practices for the element being rated. If a teacher is rated as Not Demonstrated, then a comment must be made as to why.

## How The Rubric Is Constructed

ELEMENT		RATINGS				
Observation	b. Teachers demonstrate leadership in the school. Teachers work collaboratively with school personnel to create a professional learning community. They analyze and use local, state, and national data to develop goals and strategies in the school improvement plan that enhance student learning and teacher working conditions. Teachers provide input in determining the school budget and in the selection of professional development that meets the needs of students and their own professional growth. They participate in the hiring process and collaborate with their colleagues to mentor and support teachers to improve the effectiveness of their departments or grade levels.					
	DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED	NOT DEMONSTRATED (COMMENT REQUIRED)	
PRACTICES	<input type="checkbox"/> Attends professional learning community meetings. <input type="checkbox"/> Displays awareness of the goals of the school improvement plan.	... and <input type="checkbox"/> Participates in professional learning community. <input type="checkbox"/> Participates in developing and/or implementing the school improvement plan.	... and <input type="checkbox"/> Assumes a leadership role in professional learning community. <input type="checkbox"/> Collaborates with school personnel on school improvement activities.	... and <input type="checkbox"/> Collaborates with colleagues to improve the quality of learning in the school. <input type="checkbox"/> Assumes a leadership role in implementing school improvement plan throughout the building.		

## Scoring the Rubric – Instructions For Completing The Rubric

The principal or evaluator should score each element within a standard. For example, Standard I: Teachers demonstrate leadership has five elements: Teachers lead in their classroom; Teachers demonstrate leadership in school; Teachers lead in the teaching profession; Teachers advocate for schools and students; and Teachers demonstrate high ethical standards.

The rater will score each of the elements separately, and the combined individual element scores will determine the overall score for the standard. The rater should begin with the left-hand column and mark each descriptor that describes the performance of the teacher during the period for which he or she is being evaluated. If the rater is not able to mark any of the descriptors for an element, then the Not Demonstrated column is used. In such a case, the rater must write a comment about what was observed and suggestions for improving performance. The rating for each element is the highest rating for which all practices are marked. As illustrated below, the teacher would be rated Developing on "Teachers lead in their classrooms" even though at least one practice for Proficient, Accomplished, and Distinguished was marked. This is because Developing is the highest rating for which all practices were marked. Likewise, the teacher also would be rated as Proficient on "Teachers demonstrate leadership in the school and on each of the remaining elements.

The overall rating, determined during the Summary Evaluation Conference, reflects all of the information collected and all of the ratings given, as well as the holistic judgment of the principal/evaluator. When a teacher is rated as Developing, the principal/evaluator should strongly encourage the teacher to develop a goal to address the area(s) where Proficiency has not been reached. When a teacher is rated as Developing or Not Demonstrated in the majority of the elements within a standard, the principal or evaluator shall place the teacher on a Directed Professional Development/Remediation Plan by the principal/evaluator which is developed and monitored by the principal/evaluator for a maximum of 90 contractual days.

Observation	b. Teachers demonstrate leadership in the school. Teachers work collaboratively with school personnel to create a professional learning community. They analyze and use local, state, and national data to develop goals and strategies in the school improvement plan that enhance student learning and teacher working conditions. Teachers provide input in determining the school budget and in the selection of professional development that meets the needs of students and their own professional growth. They participate in the hiring process and collaborate with their colleagues to mentor and support teachers to improve the effectiveness of their departments or grade levels.				
	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
	<input checked="" type="checkbox"/> Attends professional learning community meetings. <input checked="" type="checkbox"/> Displays awareness of the goals of the school improvement plan.	...and <input checked="" type="checkbox"/> Participates in professional learning community. <input checked="" type="checkbox"/> Participates in developing and/or implementing the school improvement plan.	...and <input type="checkbox"/> Assumes a leadership role in professional learning community. <input checked="" type="checkbox"/> Collaborates with school personnel on school improvement activities.	...and <input type="checkbox"/> Collaborates with colleagues to improve the quality of learning in the school. <input type="checkbox"/> Assumes a leadership role in implementing school improvement plan throughout the building.	

IF THE EVALUATOR DOES NOT MARK ANY OF THE PRACTICES UNDER *Developing*, *Proficient*, *Accomplished*, OR *Distinguished* THEN THE TEACHER HAS NOT DEMONSTRATED PROFICIENCY ON THAT RESPONSIBILITY. IN SUCH CASES, THE TEACHER IS RATED *Not Demonstrated*, AND A COMMENT IN THE *Not Demonstrated* COLUMN IS REQUIRED.

## Example: Scored Teacher Evaluation Rubric

To complete the sample rating below, begin in the first column (Developing). If the practice listed in the Developing column describes the teacher's performance throughout the year, mark the box beside the descriptor. Continue to work down the column of Developing practices. The principal/evaluator should continue to the Proficient category and work down that column, marking all of the practices that describe the teacher's work throughout the year. The principal/evaluator should continue to mark all practices that describe the teacher's performance under the Accomplished, and Distinguished categories. Each element should be rated in a similar fashion.

Observation	b. Teachers demonstrate leadership in the school. Teachers work collaboratively with school personnel to create a professional learning community. They analyze and use local, state, and national data to develop goals and strategies in the school improvement plan that enhance student learning and teacher working conditions. Teachers provide input in determining the school budget and in the selection of professional development that meets the needs of students and their own professional growth. They participate in the hiring process and collaborate with their colleagues to mentor and support teachers to improve the effectiveness of their departments or grade levels.				
	DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED	NOT DEMONSTRATED (COMMENT REQUIRED)
	<input checked="" type="checkbox"/> Attends professional learning community meetings. <input checked="" type="checkbox"/> Displays awareness of the goals of the school improvement plan.	... and <input checked="" type="checkbox"/> Participates in professional learning community. <input checked="" type="checkbox"/> Participates in developing and/or implementing the school improvement plan.	... and <input type="checkbox"/> Assumes a leadership role in professional learning community. <input checked="" type="checkbox"/> Collaborates with school personnel on school improvement activities.	... and <input type="checkbox"/> Collaborates with colleagues to improve the quality of learning in the school. <input checked="" type="checkbox"/> Assumes a leadership role in implementing school improvement plan throughout the building.	

IF THE EVALUATOR DOES NOT MARK ANY OF THE PRACTICES UNDER *DEVELOPING*, *PROFICIENT*, *ACCOMPLISHED*, OR *DISTINGUISHED*, THEN THE TEACHER HAS NOT DEMONSTRATED PROFICIENCY ON THAT RESPONSIBILITY. IN SUCH CASES, THE TEACHER IS RATED *NOT DEMONSTRATED*, AND A COMMENT IN THE *NOT DEMONSTRATED* COLUMN IS REQUIRED.

Observation	c. Teachers lead the teaching profession. Teachers strive to improve the teaching profession. They contribute to the establishment of positive working conditions in their school. They actively participate in and advocate for decision-making structures in education and government that take advantage of the expertise of teachers. Teachers promote professional growth for all educators and collaborate with their colleagues to improve the profession.				
	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
	<input type="checkbox"/> Has knowledge of opportunities and the need for professional growth and begins to establish relationships with colleagues.	... and Contributes to the <ul style="list-style-type: none"> <li><input type="checkbox"/> Improvement of the profession through professional growth.</li> <li><input type="checkbox"/> Establishment of positive working relationships.</li> <li><input type="checkbox"/> School's decision-making processes as required.</li> </ul>	... and <input type="checkbox"/> Promotes positive working relationships through professional growth activities and collaboration.	... and <input type="checkbox"/> Seeks opportunities to lead professional growth activities and decision-making processes.	
d. Teachers advocate for schools and students. Teachers advocate for positive change in policies and practices affecting student learning. They participate in the implementation of initiatives to improve the education of students.					
	<input type="checkbox"/> Knows about the policies and practices affecting student learning.	... and <input type="checkbox"/> Supports positive change in policies and practices affecting student learning.	... and <input type="checkbox"/> Participates in developing policies and practices to improve student learning.	... and <input type="checkbox"/> Actively participates, promotes, and provides strong supporting evidence for implementation of initiatives to improve education.	
e. Teachers demonstrate high ethical standards. Teachers demonstrate ethical principles including honesty, integrity, fair treatment, and respect for others.					
	<input type="checkbox"/> Understands the importance of ethical behavior.	... and <input type="checkbox"/> Demonstrates ethical behavior.	... and <input type="checkbox"/> Knows and upholds ethical principles.	... and <input type="checkbox"/> Models ethical behavior and encourages others to do the same.	

Comments

# EXAMPLES OF ARTIFACTS FOR STANDARD I:

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Lesson plans                | <input type="checkbox"/> Class rules and procedures                       | <input type="checkbox"/> Discipline records                 |
| <input type="checkbox"/> Journals                    | <input type="checkbox"/> Participation in Professional Learning Community | <input type="checkbox"/> School Improvement Team membership |
| <input type="checkbox"/> Student handbooks           | <input type="checkbox"/> Membership in professional organizations         | <input type="checkbox"/> _____                              |
| <input type="checkbox"/> Student work                | <input type="checkbox"/> Formal and informal mentoring                    | <input type="checkbox"/> _____                              |
| <input type="checkbox"/> School improvement planning | <input type="checkbox"/> Surveys  | <input type="checkbox"/> _____                              |
| <input type="checkbox"/> Service on committees       | <input type="checkbox"/> National Board Certification                     | <input type="checkbox"/> _____                              |
| <input type="checkbox"/> Relevant data               |   | <input type="checkbox"/> _____                              |

## STANDARD II: TEACHERS ESTABLISH A RESPECTFUL ENVIRONMENT FOR A DIVERSE POPULATION OF STUDENTS

Observation	a. Teachers provide an environment in which each child has a positive, nurturing relationship with caring adults. Teachers encourage an environment that is inviting, respectful, supportive, inclusive, and flexible.				
	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
✓	<input type="checkbox"/> Appreciates and understands the need to establish nurturing relationships.	... and <input type="checkbox"/> Establishes an inviting, respectful, inclusive, flexible, and supportive learning environment.	... and <input type="checkbox"/> Maintains a positive and nurturing learning environment.	... and <input type="checkbox"/> Encourages and advises others to provide a nurturing and positive learning environment for all students.	
b. Teachers embrace diversity in the school community and in the world. Teachers demonstrate their knowledge of the history of diverse cultures and their role in shaping global issues. They actively select materials and develop lessons that counteract stereotypes and incorporate histories and contributions of all cultures. Teachers recognize the influence of race, ethnicity, gender, religion, and other aspects of culture on a student's development and personality. Teachers strive to understand how a student's culture and background may influence his or her school performance. Teachers consider and incorporate different points of view in their instruction.					
✓	<input type="checkbox"/> Acknowledges that diverse cultures impact the world.	... and <input type="checkbox"/> Displays knowledge of diverse cultures, their histories, and their roles in shaping global issues.	... and <input type="checkbox"/> Uses materials or lessons that counteract stereotypes and acknowledges the contributions of all cultures.	... and <input type="checkbox"/> Promotes a deep understanding of cultures through the integration of culturally sensitive materials and ideas throughout the curriculum.	
✓	<input type="checkbox"/> Demonstrates awareness of the diversity of students in the classroom.	<input type="checkbox"/> Acknowledges the influence of race, ethnicity, gender, religion, socio-economics, and culture on a student's development and attitudes.	<input type="checkbox"/> Consistently incorporates different points of view in instruction.	<input type="checkbox"/> Capitalizes on diversity as an asset in the classroom.	
c. Teachers treat students as individuals. Teachers maintain high expectations, including graduation from high school, for students of all backgrounds. Teachers appreciate the differences and value the contributions of each student in the learning environment by building positive, appropriate relationships.					
✓	<input type="checkbox"/> Holds high expectations of students.	... and <input type="checkbox"/> Communicates high expectations for all students.	... and <input type="checkbox"/> Encourages and values contributions of students, regardless of background or ability.	... and <input type="checkbox"/> Helps students hold high expectations for themselves and their peers.	

Observation	d. Teachers adapt their teaching for the benefit of students with special needs. Teachers collaborate with the range of support specialists to help meet the special needs of all students. Through inclusion and other models of effective practice, teachers engage students to ensure that their needs are met.				
	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
✓  ✓	<input type="checkbox"/> Recognizes that students have a variety of learning needs.  <input type="checkbox"/> Is knowledgeable of effective practices for students with special needs.	... and <input type="checkbox"/> Collaborates with specialists who can support the special learning needs of students.  <input type="checkbox"/> Provides unique learning opportunities, such as inclusion and research-based effective practices, for students with special needs.	... and <input type="checkbox"/> Understands the roles of and collaborates with the full range of support specialists to help meet the special needs of all students.  <input type="checkbox"/> Effectively engages special needs students in learning activities and ensures their unique learning needs are met.	... and <input type="checkbox"/> Anticipates the unique learning needs of students and solicits assistance from within and outside the school to address those needs.  <input type="checkbox"/> Adapts instruction for the benefit of students with special needs and helps colleagues do the same for their students.	
	e. Teachers work collaboratively with the families and significant adults in the lives of their students. Teachers recognize that educating children is a shared responsibility involving the school, parents or guardians, and the community. Teachers improve communication and collaboration between the school and the home and community in order to promote trust and understanding and build partnerships with all segments of the school community. Teachers seek solutions to overcome cultural and economic obstacles that may stand in the way of effective family and community involvement in the education of their students.				
	<input type="checkbox"/> Responds to family and community concerns.	... and <input type="checkbox"/> Communicates and collaborates with the home and community for the benefit of students.	... and <input type="checkbox"/> Recognizes obstacles to family and community participation and conscientiously seeks solutions to overcome them.	... and <input type="checkbox"/> Promotes trust and understanding throughout the school community.	

Comments

#### EXAMPLES OF ARTIFACTS FOR STANDARD II:

- |   |   |  |
|---|---|--|
| <input type="checkbox"/> Cooperation with ESL teachers                                    | <input type="checkbox"/> Communications with parents/community                            | <input type="checkbox"/> Student surveys |
| <input type="checkbox"/> Lesson plans that integrate international content                | <input type="checkbox"/> Professional development on cultural attitudes and awareness     | <input type="checkbox"/> _____           |
| <input type="checkbox"/> Lesson plans that support modifications included in student IEPs | <input type="checkbox"/> Use of technology to incorporate cultural awareness into lessons | <input type="checkbox"/> _____           |
| <input type="checkbox"/> Documentation of referral data and use of IEPs                   | <input type="checkbox"/> Student profiles   | <input type="checkbox"/> _____           |
|   |   | <input type="checkbox"/> _____           |

### STANDARD III: TEACHERS KNOW THE CONTENT THEY TEACH

Observation	a. Teachers align their instruction with the state standards. In order to enhance the state standards, teachers investigate the content standards developed by professional organizations in their specialty area. They develop and apply strategies to make the curriculum rigorous and relevant for all students and provide a balanced curriculum that enhances literacy skills. Elementary teachers have explicit and thorough preparation in literacy instruction. Middle and high school teachers incorporate literacy instruction within the content area or discipline.				
	DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED	NOT DEMONSTRATED (COMMENT REQUIRED)
✓	<input type="checkbox"/> Demonstrates an awareness of the state standards and references them in the preparation of lesson plans.	... and <input type="checkbox"/> Understands the state standards, uses them in preparation of lesson plans, and applies strategies to make the curriculum rigorous and relevant.	... and <input type="checkbox"/> Develops and applies strategies based on the state standards and standards developed by professional organizations to make the curriculum balanced, rigorous and relevant.	... and <input type="checkbox"/> Assists colleagues in applying such strategies in their classrooms.	
✓	<input type="checkbox"/> <i>Elementary:</i> Begins to integrate literacy instruction in selected lessons.	<input type="checkbox"/> <i>Elementary:</i> Integrates effective literacy instruction throughout the curriculum.	<input type="checkbox"/> <i>Elementary:</i> Evaluates and reflects upon the effectiveness of instruction.	<input type="checkbox"/> <i>Elementary:</i> Makes necessary changes to instructional practice to improve student learning.	
✓	<input type="checkbox"/> <i>Secondary:</i> Recognizes the importance of integrating literacy strategies within the content areas.	<input type="checkbox"/> <i>Secondary:</i> Incorporates a wide variety of literacy skills within content areas to enhance learning.	<input type="checkbox"/> <i>Secondary:</i> Evaluates and reflects upon the effectiveness of instruction within content areas.	<input type="checkbox"/> <i>Secondary:</i> Makes necessary changes to instructional practice to improve student learning.	
b. Teachers know the content appropriate to their teaching specialty. Teachers bring a richness and depth of understanding to their classrooms by knowing their subjects beyond the content they are expected to teach and by directing students' natural curiosity into an interest in learning. Elementary teachers have broad knowledge across disciplines. Middle school and high school teachers have depth in one or more specific content areas or disciplines.					
✓	<input type="checkbox"/> Demonstrates a basic level of content knowledge in the teaching specialty to which assigned.	... and <input type="checkbox"/> Demonstrates an appropriate level of content knowledge in the teaching specialty to which assigned.	... and <input type="checkbox"/> Applies knowledge of subject beyond the content in assigned teaching specialty. Motivates students to investigate the content area to expand their knowledge and satisfy their natural curiosity.	... and <input type="checkbox"/> Extends knowledge of subject beyond content in their teaching specialty and sparks students' curiosity for learning beyond the required course work.	



Observation	c. Teachers recognize the interconnectedness of content areas/disciplines. Teachers know the links and vertical alignment of the grade or subject they teach. Teachers understand how the content they teach relates to other disciplines in order to deepen understanding and connect learning for students. Teachers promote global awareness and its relevance to subjects they teach.				
	DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED	NOT DEMONSTRATED (COMMENT REQUIRED)
✓	<input type="checkbox"/> Understands the links between grade/subject and the state standards.	... and <input type="checkbox"/> Demonstrates knowledge of links between grade/subject and the state standards.	... and <input type="checkbox"/> Demonstrates knowledge of the links and vertical alignment of the grade or subject area and the state standards. Relates content to other disciplines.	... and <input type="checkbox"/> Collaborates with teachers from other grades or subject areas to establish links between disciplines and influence school-wide curriculum and teaching practice.	
✓	<input type="checkbox"/> Displays global awareness.	<input type="checkbox"/> Promotes global awareness and its relevance to the subjects.	<input type="checkbox"/> Integrates global awareness activities throughout lesson plans and classroom instructional practices.	<input type="checkbox"/> Promotes global awareness and its relevance to all faculty members, influencing curriculum and teaching practices throughout the school.	
d. Teachers make instruction relevant to students. Teachers incorporate 21 <sup>st</sup> century life skills deliberately, strategically, and broadly into their teaching. These skills include leadership, ethics, accountability, adaptability, personal productivity, personal responsibility, people skills, self-direction, and social responsibility. Teachers help their students understand the relationship between the state standards and 21 <sup>st</sup> century content, which includes global awareness, financial, economic, business, and entrepreneurial literacy, civic literacy, and health awareness.					
✓	<input type="checkbox"/> Identifies relationships between the state standards and life in the 21 <sup>st</sup> century.	... and <input type="checkbox"/> Identifies relationships between the core content and 21 <sup>st</sup> century content.	... and <input type="checkbox"/> Integrates core content and 21 <sup>st</sup> century content throughout lesson plans and classroom instructional practices.	... and <input type="checkbox"/> Deepens students' understandings of 21 <sup>st</sup> century skills and helps them make their own connections and develop new skills.	

Comments

EXAMPLES OF ARTIFACTS FOR STANDARD III:

- |   |                                |                                |
|---|--------------------------------|--------------------------------|
| <input type="checkbox"/> Display of creative student work | <input type="checkbox"/> _____ | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Lesson plans                     | <input type="checkbox"/> _____ | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Content standards                | <input type="checkbox"/> _____ | <input type="checkbox"/> _____ |

# STANDARD IV: TEACHERS FACILITATE LEARNING FOR THEIR STUDENTS

Observation	a. Teachers know the ways in which learning takes place, and they know the appropriate levels of intellectual, physical, social, and emotional development of their students. Teachers know how students think and learn. Teachers understand the influences that affect individual student learning (development, culture, language proficiency, etc.) and differentiate their instruction accordingly. Teachers keep abreast of evolving research about student learning. They adapt resources to address the strengths and weaknesses of their students.				
	DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED	NOT DEMONSTRATED (COMMENT REQUIRED)
✓	<input type="checkbox"/> Understands developmental levels of students and recognizes the need to differentiate instruction.	... and <input type="checkbox"/> Understands developmental levels of students and appropriately differentiates instruction.	... and <input type="checkbox"/> Identifies appropriate developmental levels of students and consistently and appropriately differentiates instruction.	<input type="checkbox"/> Encourages and guides colleagues to adapt instruction to align with students' developmental levels.	
✓		<input type="checkbox"/> Assesses resources needed to address strengths and weaknesses of students.	<input type="checkbox"/> Reviews and uses alternative resources or adapts existing resources to take advantage of student strengths or address weaknesses.	<input type="checkbox"/> Stays abreast of current research about student learning and emerging resources and encourages the school to adopt or adapt them for the benefit of all students.	
Observation	b. Teachers plan instruction appropriate for their students. Teachers collaborate with their colleagues and use a variety of data sources for short- and long-range planning based on the state standards. These plans reflect an understanding of how students learn. Teachers engage students in the learning process. They understand that instructional plans must be consistently monitored and modified to enhance learning. Teachers make the curriculum responsive to cultural differences and individual learning needs.				
	DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED	NOT DEMONSTRATED (COMMENT REQUIRED)
✓	<input type="checkbox"/> Recognizes data sources important to planning instruction.	... and <input type="checkbox"/> Uses a variety of data for short- and long-range planning of instruction. Monitors and modifies instructional plans to enhance student learning.	<input type="checkbox"/> Monitors student performance and responds to individual learning needs in order to engage students in learning.	<input type="checkbox"/> Monitors student performance and responds to cultural diversity and learning needs through the school improvement process.	
Observation	c. Teachers use a variety of instructional methods. Teachers choose the methods and techniques that are most effective in meeting the needs of their students as they strive to eliminate achievement gaps. Teachers employ a wide range of techniques including information and communication technology, learning styles, and differentiated instruction.				
	DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED	NOT DEMONSTRATED (COMMENT REQUIRED)
✓	<input type="checkbox"/> Demonstrates awareness of the variety of methods and materials necessary to meet the needs of all students.	... and <input type="checkbox"/> Demonstrates awareness or use of appropriate methods and materials necessary to meet the needs of all students.	<input type="checkbox"/> Ensures the success of all students through the selection and utilization of appropriate methods and materials.	<input type="checkbox"/> Stays abreast of emerging research areas and new and innovative materials and incorporates them into lesson plans and instructional strategies.	

Observation	<b>d. Teachers integrate and utilize technology in their instruction.</b> Teachers know when and how to use technology to maximize student learning. Teachers help students use technology to learn content, think critically, solve problems, discern reliability, use information, communicate, innovate, and collaborate.				
	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
✓	<input type="checkbox"/> Assesses effective types of technology to use for instruction.	... and <input type="checkbox"/> Demonstrates knowledge of how to utilize technology in instruction.	... and <input type="checkbox"/> Integrates technology with instruction to maximize student learning.	<input type="checkbox"/> Provides evidence of student engagement in higher level thinking skills through the integration of technology.	
<b>e. Teachers help students develop critical thinking and problem-solving skills.</b> Teachers encourage students to ask questions, think creatively, develop and test innovative ideas, synthesize knowledge, and draw conclusions. They help students exercise and communicate sound reasoning; understand connections; make complex choices; and frame, analyze, and solve problems.					
✓	<input type="checkbox"/> Understands the importance of developing students' critical thinking and problem-solving skills.	... and <input type="checkbox"/> Demonstrates knowledge of processes needed to support students in acquiring critical thinking skills and problem-solving skills.	... and Teaches students the processes needed to <ul style="list-style-type: none"> <li><input type="checkbox"/> Think creatively and critically.</li> <li><input type="checkbox"/> Develop and test innovative ideas.</li> <li><input type="checkbox"/> Synthesize knowledge.</li> <li><input type="checkbox"/> Draw conclusions.</li> <li><input type="checkbox"/> Exercise and communicate sound reasoning.</li> <li><input type="checkbox"/> Understand connections.</li> <li><input type="checkbox"/> Make complex choices.</li> <li><input type="checkbox"/> Frame, analyze, and solve problems.</li> </ul>	<input type="checkbox"/> Encourages and assists teachers throughout the school to integrate critical thinking and problem-solving skills into their instructional practices.	
<b>f. Teachers help students work in teams and develop leadership qualities.</b> Teachers teach the importance of cooperation and collaboration. They organize learning teams in order to help students define roles, strengthen social ties, improve communication and collaborative skills, interact with people from different cultures and backgrounds, and develop leadership qualities.					
✓	<input type="checkbox"/> Provides opportunities for cooperation, collaboration, and leadership through student learning teams.	... and <input type="checkbox"/> Organizes student learning teams for the purpose of developing cooperation, collaboration, and student leadership.	... and <input type="checkbox"/> Encourages students to create and manage learning teams.	<input type="checkbox"/> Fosters the development of student leadership and teamwork skills to be used beyond the classroom.	

Observation	g. Teachers communicate effectively. Teachers communicate in ways that are clearly understood by their students. They are perceptive listeners and are able to communicate with students in a variety of ways even when language is a barrier. Teachers help students articulate thoughts and ideas clearly and effectively.				
	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
✓	<input type="checkbox"/> Demonstrates the ability to effectively communicate with students.	... and <input type="checkbox"/> Uses a variety of methods for communication with all students.	... and <input type="checkbox"/> Creates a variety of methods to communicate with all students.	... and <input type="checkbox"/> Anticipates possible student misunderstandings and proactively develops teaching techniques to mitigate concerns.	
✓	<input type="checkbox"/> Provides opportunities for students to articulate thoughts and ideas.	<input type="checkbox"/> Consistently encourages and supports students to articulate thoughts and ideas clearly and effectively.	<input type="checkbox"/> Establishes classroom practices that encourage all students to develop effective communication skills.	<input type="checkbox"/> Establishes schoolwide and grade appropriate vehicles to encourage students throughout the school to develop effective communication skills.	
h. Teachers use a variety of methods to assess what each student has learned. Teachers use multiple indicators, including formative and summative assessments, to evaluate student progress and growth as they strive to eliminate achievement gaps. Teachers provide opportunities, methods, feedback, and tools for students to assess themselves and each other. Teachers use 21 <sup>st</sup> century assessment systems to inform instruction and demonstrate evidence of students' 21 <sup>st</sup> century knowledge, skills, performance, and dispositions.					
✓	<input type="checkbox"/> Uses indicators to monitor and evaluate student progress.	... and <input type="checkbox"/> Uses multiple indicators, both formative and summative, to monitor and evaluate student progress and to inform instruction.	... and <input type="checkbox"/> Uses the information gained from the assessment activities to improve teaching practice and student learning.	... and <input type="checkbox"/> Teaches and encourages students to use peer and self-assessment feedback to assess their own learning.	
✓	<input type="checkbox"/> Assesses students in the attainment of 21 <sup>st</sup> century knowledge, skills, and dispositions.	<input type="checkbox"/> Provides evidence that students attain 21 <sup>st</sup> century knowledge, skills, and dispositions.	<input type="checkbox"/> Provides opportunities for students to assess themselves and others.	<input type="checkbox"/> Encourages and guides colleagues to assess 21 <sup>st</sup> century skills, knowledge, and dispositions and to use the assessment	

Comments

EXAMPLES OF ARTIFACTS FOR STANDARD IV:

- |  |  |                                |
|--|--|--------------------------------|
| <input type="checkbox"/> Lesson plans                  | <input type="checkbox"/> Documentation of differentiated instruction                     | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Display of technology used    | <input type="checkbox"/> Materials used to promote critical thinking and problem solving | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Professional development      | <input type="checkbox"/> Collaborative lesson planning                                   | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Use of student learning teams |  | <input type="checkbox"/> _____ |

# **STANDARD V: TEACHERS REFLECT ON THEIR PRACTICE**

Observation	a. Teachers analyze student learning. Teachers think systematically and critically about student learning in their classrooms and schools. Why learning happens and what can be done to improve achievement. Teachers collect and analyze student performance data to improve school and classroom effectiveness. They adapt their practice based on research and data to best meet the needs of students.				
	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
	<input type="checkbox"/> Recognizes the need to improve student learning in the classroom.	... and <input type="checkbox"/> Provides ideas about what can be done to improve student learning in their classroom.	... and <input type="checkbox"/> Thinks systematically and critically about learning in their classroom; Why learning happens and what can be done to improve student achievement.	... and <input type="checkbox"/> Provides a detailed analysis about what can be done to improve student learning and uses such analyses to adapt instructional practices and materials within the classroom and at the school level.	
	b. Teachers link professional growth to their professional goals. Teachers participate in continued, high-quality professional development that reflects a global view of educational practice; includes 21 <sup>st</sup> century skills and knowledge; aligns with the State Board of Education priorities; and meets the needs of students and their own professional growth.				
	<input type="checkbox"/> Understands the importance of professional development.	... and <input type="checkbox"/> Participates in professional development aligned with professional goals.	... and <input type="checkbox"/> Participates in professional development activities aligned with goals and student needs.	... and <input type="checkbox"/> Applies and implements knowledge and skills attained from professional development consistent with its intent.	
	c. Teachers function effectively in a complex, dynamic environment. Understanding that change is constant, teachers actively investigate and consider new ideas that improve teaching and learning. They adapt their practice based on research and data to best meet the needs of their students.				
	<input type="checkbox"/> Is knowledgeable of current research-based approaches to teaching and learning.	... and <input type="checkbox"/> Considers and uses a variety of research-based approaches to improve teaching and learning.	... and <input type="checkbox"/> Actively investigates and considers alternative research-based approaches to improve teaching and learning and uses such approaches as appropriate.	... and <input type="checkbox"/> Adapts professional practice based on data and evaluates impact on student learning.	
Comments					

## **EXAMPLES OF ARTIFACTS FOR STANDARD V:**

- |   |   |                                |
|---|---|--------------------------------|
| <input type="checkbox"/> Lesson plans                           | <input type="checkbox"/> Participation in Professional Learning Community | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Formative assessments                  | <input type="checkbox"/> Formative and summative student assessment data  | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Student work                           | <input type="checkbox"/> _____  | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Professional Development Plan          | <input type="checkbox"/> _____  | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Completion of professional development | <input type="checkbox"/> _____  | <input type="checkbox"/> _____ |

## TEACHER EVALUATION RUBRIC SIGNATURE PAGE

\_\_\_\_\_  
Teacher Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Principal/Evaluator Signature

\_\_\_\_\_  
Date

Comments Attached: ☐ Yes ☐ No

\_\_\_\_\_  
Principal/Evaluator Signature

\_\_\_\_\_  
Date

(Signature indicates question above regarding comments has been addressed).

*Note: The teacher's signature on this form represents neither acceptance nor approval of the report. It does, however, indicate that the teacher has reviewed the report with the evaluator and may reply in writing. The signature of the principal or evaluator verifies that the report has been reviewed and that the proper process has been followed according to the State Board of Education Policy for the Teacher Evaluation Process.*

## TEACHER SUMMARY EVALUATION RATING FORM

This form summarizes ratings from the rubric or observation form and requires the principal/evaluator to provide a description of areas needing improvement and comments about performance. It may be completed as a part of the Summary Evaluation discussion conducted near the end of the year. It should be used to summarize self-assessment and evaluator ratings.

Name: \_\_\_\_\_

School: \_\_\_\_\_ School Year: \_\_\_\_\_

Evaluator: \_\_\_\_\_ District: \_\_\_\_\_

Date Completed: \_\_\_\_\_ Evaluator's Title: \_\_\_\_\_

\_\_\_\_\_ Beginning Teacher \_\_\_\_\_ Career Status Teacher (Please check one)

### STANDARD I: TEACHERS DEMONSTRATE LEADERSHIP

ELEMENTS	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. TEACHERS LEAD IN THEIR CLASSROOMS.					
B. TEACHERS DEMONSTRATE LEADERSHIP IN THE SCHOOL.					
C. TEACHERS LEAD THE TEACHING PROFESSION.					
D. TEACHERS ADVOCATE FOR SCHOOLS AND STUDENTS.					
E. TEACHERS DEMONSTRATE HIGH ETHICAL STANDARDS.					
OVERALL RATING FOR STANDARD I					

#### COMMENTS:

#### RECOMMENDED ACTIONS FOR IMPROVEMENT:

#### RESOURCES NEEDED TO COMPLETE THESE ACTIONS:

#### EVIDENCE OR DOCUMENTATION TO SUPPORT RATINGS:

- ☐ Lesson plans
- ☐ Journals
- ☐ Student handbooks
- ☐ Student work
- ☐ School improvement planning
- ☐ Service on committees
- ☐ Relevant data
- ☐ Class rules and procedures
- ☐ Participation in Professional Learning Community
- ☐ Membership in professional organizations
- ☐ Formal and informal mentoring
- ☐ Surveys
- ☐ National Board Certification
- ☐ Discipline records
- ☐ School Improvement Team membership
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_

## STANDARD II: TEACHERS ESTABLISH A RESPECTFUL ENVIRONMENT FOR A DIVERSE POPULATION OF STUDENTS

ELEMENTS	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. TEACHERS PROVIDE AN ENVIRONMENT IN WHICH EACH CHILD HAS A POSITIVE, NURTURING RELATIONSHIP WITH CARING ADULTS.					
B. TEACHERS EMBRACE DIVERSITY IN THE SCHOOL COMMUNITY AND IN THE WORLD.					
C. TEACHERS TREAT STUDENTS AS INDIVIDUALS.					
D. TEACHERS ADAPT THEIR TEACHING FOR THE BENEFIT OF STUDENTS WITH SPECIAL NEEDS.					
E. TEACHERS WORK COLLABORATIVELY WITH THE FAMILIES AND SIGNIFICANT ADULTS IN THE LIVES OF THEIR STUDENTS.					
<b>OVERALL RATING FOR STANDARD II</b>					

### COMMENTS:

### RECOMMENDED ACTIONS FOR IMPROVEMENT:

### RESOURCES NEEDED TO COMPLETE THESE ACTIONS:

### EVIDENCE OR DOCUMENTATION TO SUPPORT RATINGS:

- ☐ Cooperation with ESL teachers
- ☐ Lesson plans that integrate international content
- ☐ Lesson plans that support modifications included in student IEPs
- ☐ Documentation of referral data and use of IEPs
- ☐ Communications with parents/community
- ☐ Professional development on cultural attitudes and awareness
- ☐ Use of technology to incorporate cultural awareness into lessons
- ☐ Student profiles
- ☐ Student surveys
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_



### STANDARD III: TEACHERS KNOW THE CONTENT THEY TEACH

ELEMENTS	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. TEACHERS ALIGN THEIR INSTRUCTION WITH THE STATE STANDARDS AND DISTRICT APPROVED CURRICULUM.					
B. TEACHERS KNOW THE CONTENT APPROPRIATE TO THEIR TEACHING SPECIALTY.					
C. TEACHERS RECOGNIZE THE INTERCONNECTEDNESS OF CONTENT AREAS/DISCIPLINES.					
D. TEACHERS MAKE INSTRUCTION RELEVANT TO STUDENTS.					
<b>OVERALL RATING FOR STANDARD III</b>					

#### COMMENTS:

#### RECOMMENDED ACTIONS FOR IMPROVEMENT:

#### RESOURCES NEEDED TO COMPLETE THESE ACTIONS:

#### EVIDENCE OR DOCUMENTATION TO SUPPORT RATING:

- ☐ Display of creative student work
- ☐ Lesson plans
- ☐ Content standards

☐ \_\_\_\_\_

☐ \_\_\_\_\_

☐ \_\_\_\_\_

#### STANDARD IV: TEACHERS FACILITATE LEARNING FOR THEIR STUDENTS

ELEMENTS	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. TEACHERS KNOW THE WAYS IN WHICH LEARNING TAKES PLACE, AND THEY KNOW THE APPROPRIATE LEVELS OF INTELLECTUAL, PHYSICAL, SOCIAL, AND EMOTIONAL DEVELOPMENT OF THEIR STUDENTS.					
B. TEACHERS PLAN INSTRUCTION APPROPRIATE FOR THEIR STUDENTS.					
C. TEACHERS USE A VARIETY OF INSTRUCTIONAL METHODS.					
D. TEACHERS INTEGRATE AND UTILIZE TECHNOLOGY IN THEIR INSTRUCTION.					
E. TEACHERS HELP STUDENTS DEVELOP CRITICAL THINKING AND PROBLEM-SOLVING SKILLS.					
F. TEACHERS HELP STUDENTS WORK IN TEAMS AND DEVELOP LEADERSHIP QUALITIES.					
G. TEACHERS COMMUNICATE EFFECTIVELY.					
H. TEACHERS USE A VARIETY OF METHODS TO ASSESS WHAT EACH STUDENT HAS LEARNED.					
<b>OVERALL RATING FOR STANDARD IV</b>					

**COMMENTS:**

**RECOMMENDED ACTIONS FOR IMPROVEMENT:**

**RESOURCES NEEDED TO COMPLETE THESE ACTIONS:**

**EVIDENCE OR DOCUMENTATION TO SUPPORT RATING:**

- ☐ Lesson plans
- ☐ Display of technology used
- ☐ Professional development
- ☐ Use of student learning teams
- ☐ Documentation of differentiated instruction
- ☐ Materials used to promote critical thinking and problem solving
- ☐ Collaborative lesson planning
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_

## STANDARD V: TEACHERS REFLECT ON THEIR PRACTICE

ELEMENTS	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. TEACHERS ANALYZE STUDENT LEARNING.					
B. TEACHERS LINK PROFESSIONAL GROWTH TO THEIR PROFESSIONAL GOALS.					
C. TEACHERS FUNCTION EFFECTIVELY IN A COMPLEX, DYNAMIC ENVIRONMENT.					
<b>OVERALL RATING FOR STANDARD V</b>					

<p><b>COMMENTS:</b></p>   <p><b>RECOMMENDED ACTIONS FOR IMPROVEMENT:</b></p>   <p><b>RESOURCES NEEDED TO COMPLETE THESE ACTIONS:</b></p>	<p><b>EVIDENCE OR DOCUMENTATION TO SUPPORT RATING:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Lesson plans</li> <li><input type="checkbox"/> Formative assessments</li> <li><input type="checkbox"/> Student work</li> <li><input type="checkbox"/> Professional Development Plan</li> <li><input type="checkbox"/> Completion of professional development</li> <li><input type="checkbox"/> Participation in Professional Learning Community</li> <li><input type="checkbox"/> Formative and summative student assessment data</li> <li><input type="checkbox"/> _____</li> <li><input type="checkbox"/> _____</li> <li><input type="checkbox"/> _____</li> </ul>
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☐ The teacher's signature on this form represents neither acceptance nor approval of the report. It does, however, indicate that the teacher has reviewed the report with the evaluator and may reply in writing

\_\_\_\_\_  
Teacher Signature

\_\_\_\_\_  
Date

☐ The signature of the principal or evaluator verifies that the report has been reviewed and that the proper process has been followed according to State Board of Education Policy for the Teacher Evaluation Process.

\_\_\_\_\_  
Principal/Evaluator Signature

\_\_\_\_\_  
Date

Teacher Comments:

SUMMARY RATING SHEET						Excellence	Proficient	Accomplished	Developing	Not Demonstrating
<b>STANDARD I: TEACHERS DEMONSTRATE LEADERSHIP</b>										
A.	LEADS IN THE CLASSROOM.									
B.	LEADS IN THE SCHOOL.									
C.	LEADS THE TEACHING PROFESSION.									
D.	ADVOCATES FOR THE SCHOOL AND STUDENTS.									
E.	DEMONSTRATES HIGH ETHICAL STANDARDS.									
OVERALL RATING FOR STANDARD I										
<b>STANDARD II: TEACHERS PROVIDE A RESPECTFUL ENVIRONMENT FOR A DIVERSE POPULATION</b>										
A.	PROVIDES AN ENVIRONMENT THAT IS INVITING, RESPECTFUL, SUPPORTIVE, INCLUSIVE AND FLEXIBLE.									
B.	EMBRACES DIVERSITY IN THE SCHOOL COMMUNITY AND IN THE WORLD.									
C.	TREATS STUDENTS AS INDIVIDUALS.									
D.	ADAPTS TEACHING FOR THE BENEFIT OF STUDENTS WITH SPECIAL NEEDS.									
E.	WORKS COLLABORATIVELY WITH FAMILIES AND SIGNIFICANT ADULTS IN THE LIVES OF THEIR STUDENTS.									
OVERALL RATING FOR STANDARD II										
<b>STANDARD III: TEACHERS KNOW THE CONTENT THEY TEACH</b>										
A.	ALIGNS INSTRUCTION WITH THE STATE STANDARDS AND DISTRICT APPROVED CURRICULUM.									
B.	KNOWS THE CONTENT APPROPRIATE TO THE TEACHING SPECIALTY.									
C.	RECOGNIZES THE INTERCONNECTEDNESS OF CONTENT AREAS/DISCIPLINES.									
D.	MAKES INSTRUCTION RELEVANT TO STUDENTS.									
OVERALL RATING FOR STANDARD III										
<b>STANDARD IV: TEACHERS FACILITATE LEARNING FOR THE STUDENTS</b>										
A.	KNOWS THE WAYS IN WHICH LEARNING TAKES PLACE, AND THE APPROPRIATE LEVELS OF INTELLECTUAL, PHYSICAL, SOCIAL, AND EMOTIONAL DEVELOPMENT OF STUDENTS.									
B.	PLANS INSTRUCTION APPROPRIATE FOR STUDENTS.									
C.	USES A VARIETY OF INSTRUCTIONAL METHODS.									
D.	INTEGRATES AND UTILIZES TECHNOLOGY IN INSTRUCTION.									
E.	HELPS STUDENTS DEVELOP CRITICAL THINKING AND PROBLEM-SOLVING SKILLS.									
F.	HELPS STUDENTS WORK IN TEAMS AND DEVELOP LEADERSHIP QUALITIES.									
G.	COMMUNICATES EFFECTIVELY.									
H.	USES A VARIETY OF METHODS TO ASSESS WHAT EACH STUDENT HAS LEARNED.									
OVERALL RATING FOR STANDARD IV										
<b>STANDARD V: TEACHERS REFLECT ON THEIR OWN PRACTICE</b>										
A.	ANALYZES STUDENT LEARNING.									
B.	LINKS PROFESSIONAL GROWTH TO PROFESSIONAL GOALS.									
C.	FUNCTIONS EFFECTIVELY IN A COMPLEX, DYNAMIC ENVIRONMENT.									
OVERALL RATING FOR STANDARD V										

Comments:

Resources needed to complete these actions:

Recommended actions for improvement:

Evidence or documentation to support rating:

# PROFESSIONAL DEVELOPMENT PLAN

School Year: \_\_\_\_\_ Year: 1 ☐ 2 ☐ 3 ☐ 4 ☐ Career Status ☐

Lateral Entry: 1 ☐ 2 ☐ 3 ☐

Name: \_\_\_\_\_ Position/Subject Area: \_\_\_\_\_

School: \_\_\_\_\_

Mentor: \_\_\_\_\_ Position/Subject Area: \_\_\_\_\_

(Required in the first three years for all beginning teachers)

District: \_\_\_\_\_

## A. Professional Teaching Standards

<b>PROFESSIONAL TEACHING STANDARDS</b> 1. TEACHERS DEMONSTRATE LEADERSHIP 2. TEACHERS ESTABLISH A RESPECTFUL ENVIRONMENT FOR A DIVERSE POPULATION OF STUDENTS 3. TEACHERS KNOW THE CONTENT THEY TEACH 4. TEACHERS FACILITATE LEARNING FOR THEIR STUDENTS 5. TEACHERS REFLECT ON THEIR PRACTICE	<b>STANDARD(S) TO BE ADDRESSED:</b>  <b>ELEMENT(S) TO BE ADDRESSED:</b>
---	---

## B. Teacher's Strategies

GOALS FOR ELEMENTS	ACTIVITIES/ACTIONS	EXPECTED OUTCOMES AND EVIDENCE OF COMPLETION	RESOURCES NEEDED	TIMELINE
GOAL 1:				
GOAL 2:				

Teacher's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Mentor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Administrator's Signature \_\_\_\_\_ Date: \_\_\_\_\_

Plan: Individual ☐ Monitored ☐ Directed ☐

## PROFESSIONAL DEVELOPMENT PLAN—MID-YEAR REVIEW

To BE COMPLETED BY (DATE) \_\_\_\_\_

### C. Evidence of Progress Toward Specific Standards and Elements to be Addressed/Enhanced

--

### D. Narrative

TEACHER'S COMMENTS:	MENTOR'S COMMENTS	ADMINISTRATOR'S COMMENTS:
TEACHER'S SIGNATURE:	MENTOR'S SIGNATURE:	ADMINISTRATOR'S SIGNATURE:
DATE:	DATE:	DATE:

# PROFESSIONAL DEVELOPMENT PLAN—END-OF-YEAR REVIEW

To BE COMPLETED BY (DATE) \_\_\_\_\_

## E. Evidence of Progress Toward Specific Standards and Elements to be Addressed/Enhanced

--

- F. Goal 1 was successfully completed. Yes ☐ No ☐  
Goal 2 was successfully completed. Yes ☐ No ☐

## G. Narrative

TEACHER'S COMMENTS:	MENTOR'S COMMENTS	ADMINISTRATOR'S COMMENTS:
TEACHER'S SIGNATURE:	MENTOR'S SIGNATURE:	ADMINISTRATOR'S SIGNATURE:
DATE:	DATE:	DATE:

## RECORD OF TEACHER EVALUATION ACTIVITIES

Teacher Name: \_\_\_\_\_ ID#: \_\_\_\_\_

School: \_\_\_\_\_ School Year: \_\_\_\_\_

Position/Assignment: \_\_\_\_\_

Evaluator: \_\_\_\_\_ Title: \_\_\_\_\_

Teacher Background (Briefly describe the teacher's educational background, years of experience, teaching assignment, and any other factors that may impact the evaluation):

McREL's Teacher Evaluation System is based, in part, on informal and formal observations and conferences conducted on the following dates:

ACTIVITY	DATE	TEACHER SIGNATURE	EVALUATOR SIGNATURE
Training			
Orientation			
Pre-Observation Conference			
Observation #1			
Post-Observation Conference #1			
Pre-Observation Conference (optional)			
Observation #2			
Post-Observation Conference #2			
Pre-Observation Conference (optional)			
Observation #3			
Post-Observation Conference #3			
Pre-Observation Conference (optional)			
Observation #4 (if required)			
Post-Observation Conference #4 (if required)			
Summary Evaluation Conference			
Professional Development Plan Completed			



## Professional Categories: Probationary, Professional and Established

From this point on, the following guidelines will apply.

	<b>Probationary-Any new teacher after July 1, 2012</b>	<b>Professional</b>		<b>Established-All Current teachers as of July 1, 2012</b>
<b>Highly Effective</b>	When rated highly effective or effective for three of five years, teacher will move to professional.	Remains at the professional level.		Remains at the established level.
<b>Effective</b>	When rated highly effective or effective for three of five years, teacher will move to professional	Remains at the professional level		Remains at the established level
<b>Needs Improvement</b>	Two consecutive needs improvement may lead to dismissal	Remains at the professional level. Any combination of three improvement necessary or ineffective ratings within five years may lead to dismissal for incompetence.		Remains at the established level. Any combination of three improvement necessary or ineffective ratings within five years may lead to dismissal for incompetence.
<b>Ineffective</b>	May be dismissed.	Moved back to probationary after one ineffective rating.		Remains at the established level. Any combination of three improvements necessary or ineffective ratings within five years may lead to dismissal. (Two consecutive ineffective ratings may also lead to dismissal.

## **Status Changes**

### **Probationary, Professional, and Established**

1. July 1, 2012 – All teachers given a continued contract are established.
2. July 1, 2012 – All new hires are probationary.
3. Probationary teachers EARN professional status through a pattern of effectiveness (3 effective or highly effective ratings in any 5 year period)

### **B. Professional and Probationary**

1. One ineffective or two consecutive improvement necessary ratings can lead to dismissal of a probationary teacher.
2. Professional status can be lost with one ineffective rating. These teachers move to a probationary status.

### **C. Established**

Two consecutive "Ineffective" or 3 years out of 5 receiving "ineffective" or "Improvement Necessary" and the teacher's contract may be cancelled.

## **Contract Changes**

Contract cancellation may occur for the following reasons: Immorality, insubordination, RIF, incompetence (two consecutive "Ineffective" ratings or a combination of "Improvement Necessary" and "Ineffective" ratings for three years in any five year period), neglect of duty, conviction/offense, and other good/just cause.

# **Code of Ethical Practices and Procedures**

The purpose of this section is to give a code of procedures and activities that are appropriate and expected parts of a testing/assessment program. The topics include test security, pre-test activities, testing conditions, and post-test activities. The code is generally applicable to all systemic assessment programs.

## **Test Security**

It is essential that all test/assessment materials remain secure. All administrators, teachers, support staff, students and parents are responsible for test security.

Corporation Test Coordinators direct the management of the testing programs, and have a responsibility to do the following:

1. Inventory and track testing materials;
2. Securely store tests before distribution to test sites and, after their return, control distribution to and from test sites;
3. Control the storage, distribution, administration, and collection of tests; and
4. Ensure that no tests are copied.

School personnel at the building level have a responsibility to do the following:

1. Code the tests prior to testing;
2. Inventory and track materials;
3. Securely store tests before and after testing;
4. Control distribution within the building ;
5. Ensure that no tests are photocopied without authorization;
6. Ensure that students do not copy any materials;
7. Ensure that students use only those reference materials allowed by the testing procedures;
8. Ensure that students do not receive copies of the test ahead of time;
9. Ensure that students do not learn of specific test items prior to the test;
10. Ensure that students do not exchange information during testing except when the procedures so specify; and
11. Ensure that answer documents are not altered after testing.

Test security is the responsibility of the entire school community. Breaches of test security are first addressed by the building principal. Unresolved issues are subsequently referred to the test coordinator, and to the school corporation superintendent.

## **Test Preparation Activities**

The most significant consideration in test preparation activities, apart from security issues, relates to how valid the assessment scores will be as estimates of student achievement in the domains being assessed. The test should measure a reasonable sample of what the curriculum specifies the student should be taught and should be able to do.

1. **Test Curriculum Match** – The assessments should have a reasonably close relationship to what is being taught to students, that is, a good test-curriculum match should be clear. This means that those who develop or select the assessments should ensure that the assessments represent a reasonable sample of the current/approved academic standards.

Meeting this standard of a test-curriculum match is above all the responsibility of the administrators or other authorities sponsoring the assessment.

The sponsors should do what they can to ensure consistency between the assessment schedule and the schedule of the instructional programs as planned and implemented by the curriculum planners, the district and building administrators, and the teachers.

Failure to match assessments and curriculum will lead to results that are subject to misinterpretation, and that will be a negative consequence for students, teachers, and the instructional program.

2. **Classroom Instruction and the Test** – Students should be given instruction, experience, and practice with the approved academic standard.
3. **Practicing Test-Taking Skills** – Teachers should give students practice with various item formats of assessments they will be taking, but only enough practice to ensure that the assessment will measure only the students' knowledge and understanding, and not their test-taking skills. One or two brief sessions of practice with items or tasks similar to those likely to appear on the test would be appropriate.

However, spending any substantial time on such practice is counterproductive and should be avoided. School personnel should not buy, develop, or promote the use of any extensive test practice materials that closely parallel assessment items or tasks.

4. **Reasonable Notice to Those Taking the Test** – Reasonable notice of upcoming assessments should be provided to all concerned, including teachers, students, and parents. However, using this notice to get probable low-scoring students not to participate in assessments, thereby raising aggregate score can be considered unethical behavior.
5. **Preparing for the Test** – The test coordinator and responsible building personnel should make appropriate arrangements including provision for adequate facilities, materials, and training of test administrators and proctors. Test administrators must study the appropriate manuals and guidelines prior to administering the test. Any needed/required modifications of testing conditions must be planned for in advance.

### Testing Conditions

1. **Testing Procedures** – Test administrators must follow the procedures in the manual or guidelines listed above, including procedures referring to testing conditions, timing, and instructions.

Failure to follow the specified procedures will invalidate the results and will count as a negative provision in the final student results. Students with special needs might require variations in the testing conditions.

Test administrators must make a record of any students for whom testing conditions are modified. Strategies for specific students may be used as long as they are: 1) used by the student on a regular basis; and 2) formally documented in the student's educational record. This written record must be turned in to the building principal.

2. **Testing in the Classroom** – All schools personnel involved in administering the test must assume responsibility for the quality of the testing conditions.
3. **Testing Materials** – Test administrators must provide all the necessary materials for all students as required. This condition must be met before students begin the test
4. **Directions** – Test administrators must ensure that all students understand what is expected of them on the test. Examiners and proctors must not answer questions about specific test items, but they may repeat initial instructions about item format, scoring rules, and timing.
5. **Monitoring** – Test administrators must monitor the testing session to ensure that all students have the opportunity to succeed; it is not acceptable for test administrators to leave the room, to read, or to ignore what is happening. Test administrators and proctors must ensure that all students:
  - a. Follow instructions
  - b. Respond in the appropriate places in answer documents
  - c. Do not exchange answers
  - d. Do not interfere with or distract others
  - e. Use only permitted materials and devices

## **Post-test Activities**

1. **Collecting Test Materials and Completing Reports** – When testing has concluded, test administrators will collect and check all materials and follow test security procedures. Test administrators will account for all materials and deliver them to the test coordinator.

Test administrators will turn in a written report of all incidents and events that might invalidate any scores, including disruptions, illness, and possible cheating.

The test coordinator will account for all materials from all test sites. **Scores and modifications** will be recorded and interpreted in context using all relevant data turned in to the building principal as soon as possible.

## **Test Preparation: How to Assist Students Properly**

Any activity in the school or classroom, inadvertent or deliberate, that creates an excessive focus on the specific test content of the statewide test or locally developed assessment or rubric, for the purpose of artificially raising test scores, is inappropriate.

### **It is considered APPROPRIATE to:**

1. Review with all students all standards and concepts taught in previous years;
2. Review assessment objectives as part of the general review of critical curricula; and
3. Have students complete a Practice Test that may be included with regular test materials.

### **It is considered INAPPROPRIATE to:**

1. Teach test content that has not been previously covered during the time period immediately preceding the assessment/test;
2. Review standards and concepts with only those students to be tested;
3. Review only the Academic Standards tested by the assessment;
4. Review only those objectives on which students performed poorly on previous examinations;
5. Call students' attention to the fact that a similar question will be on the approaching test;
6. Use current, past, or parallel items as test preparation materials;
7. Make minor alterations in test items;
8. Develop and use elaborate review materials;
9. Set aside blocks of time to teach only the content and skill proficiencies measured on the assessment;
10. Coach students by indicating in any way (e.g., facial expressions, gestures, or the use of body language) that an answer choice is correct or incorrect, should be reconsidered, or should be checked;
11. Answer students' factual questions regarding test items or vocabulary;
12. Read any part of the test to students (except as documented as an acceptable IEP, 504 Plan, LEP Individual Learning Plan accommodation); and
13. Alter students' answer – other than to check and erase stray marks, or to darken answer bubbles after testing.

### **It is considered INAPPROPRIATE to display these materials during testing:**

1. All posted materials such as wall charts, visual aids, posters, graphic organizers, and instructional materials that relate specifically to the content being assessed/tested;
2. All reference materials that a reasonable person might conclude offer students in the classroom or space an unfair advantage over other students;
3. All support materials; and
4. Questions about the appropriateness of reference materials on display should be directed to the testing coordinator.

### **It Is a Violation of Test Security to:**

1. Give examinees access to test questions prior to testing;
2. Copy, reproduce, or use in any manner any portion of any secure test, for any reason;
3. Share an actual test instrument in a public forum;
4. Deviate from the prescribed administration procedures in order to boost student performance;
5. Make answer keys available to examinees;
6. Participate in, direct, aid, counsel, assist, encourage, or fail to report any of the acts prohibited in this section;
7. After testing is completed, materials are not returned to the secure storage site with accurate inventory; and
8. To return to the secure storage site after testing is completed and materials have been turned in.

### **Corporation Test Security Guidelines**

School responsibilities include, but are not limited to, the following:

1. Communicating to all appropriate staff at least once annually the Corporation Test Security Guidelines;
2. Clearly defining and communicating at least once annually for all appropriate staff how standards and procedures will be monitored;
3. Establishing a testing schedule that ensures all assessments at a grade level or same course in any school will be administered to students at the same time;
4. Establishing a process that ensures all student tests are secure when they are not being administered;
5. Establishing procedures for reviewing practices and materials used in the school or corporation to prepare students for assessments;
6. Providing a process that allow teachers, administrators, students, parents, and other community members to voice their concerns about practices they consider inappropriate;
7. Establishing procedures for investigating any complaint, allegation, or concern about inappropriate testing practices, and insuring protection of both the rights of individuals and of the integrity of the assessment; and
8. After testing is completed, return materials to the secure storage site with accurate inventory.

The corporation will investigate any complaint of inappropriate testing practices or testing irregularities. The investigations will include, but not limited to, the following:

1. A process by which all complaints are documented and can be tracked to their resolution;
2. An initial inquiry to determine whether there is credible evidence that such an event has occurred must be conducted within one school day of receipt of a verified complaint, allegation, or concern about inappropriate testing practices, or a report of testing irregularity; and
3. A final report must clearly indicate any recommendations or findings that would impact the reliability or validity of student scores and specifically detail actions that the corporation recommends to take for corrective action.

### **Consequences of a Violation**

To protect the integrity of the testing procedures and the high stakes for teacher evaluation, any school personnel who knowingly or carelessly commits or permits a violation of test security may be subjected to a consequence(s) based on the violation.

### **Maintenance of Rigor, Validity, Reliability**

The relevant and appropriate department will meet to review the results of locally developed assessments to analyze the results. This is to make sure there is continued alignment with the standards, the validation process continues, and to evaluate how the assessment performed in practice. Any recommendations, adjustments, or changes will need to be approved by the building principal.

## Evaluating and Approving Quality Assessments

Prior to the use of a locally developed assessment/end of course assessment for teacher evaluation, the assessment must be evaluated and approved for quality. Any assessment created at the school or teacher level that will be administered to students and used as a part of a teacher's evaluation must meet the following process.

**Pre-Approval** – A groups of teachers (appropriate department or grade level) must complete a Pre-Approval Assessment Form that asks teachers to:

1. Identify which Indiana/Common Core standards align with questions/tasks on the assessment and complete the Standards Alignment Check Chart; use an Assessment Rigor Analysis Chart to give examples of assessment questions/tasks that fall under various Depths of Knowledge levels; and review the format of the assessment questions.
2. Describe the assessment's scoring matrix or rubric if different that outlined in the evaluation program for locally developed assessments.

**Approval** – Once teachers pre-approve their assessments, building administrators complete an Assessment Approval Checklist that requires them to document sufficient evidence of an assessment's alignment and stretch, rigor and complexity, and format. The administrator either approves the assessment, or provides feedback on revisions that must be made. When approving assessments, administrators should work with the appropriate department or grade level whenever there is a question or need for clarification.

**Assessment Approval** – Locally developed assessments need only be approved once unless there are recommended changes or additions, etc. Although it is best practice to review annually common assessments and make revisions when necessary, assessments do not need to be reapproved unless significant changes to the assessment our course standards were made.

The following forms must be turned in to the building principal for his/her approval before any locally developed assessment can be administered and used for teacher evaluation measurement of effectiveness.

- a. Pre-Approved for Locally Developed Assessment Form
- b. Standards Alignment and Coverage Check Form
- c. Locally Developed Assessment Rigor Analysis – Depth of Knowledge Form

## **Glossary of Terms**

For purposes of this evaluation process, the following terms are defined below:

1. **21st Century Education**—an education that enables students to navigate the complex life and work environment in the globally competitive age.

2. **Action Plan**—a plan developed by a principal/supervisor with input from the teacher for the purpose of articulating specific actions and outcomes needed in order to improve the teacher's performance.

3. **Artifact**—a product resulting from a teacher's work. Artifacts are natural by-products of a teacher's work and are not created for the purpose of satisfying evaluation requirements. Artifacts are used only when the principal/evaluator and teacher disagree on the final rating. Teachers may use them as exemplars of their work. Examples of artifacts include these:

- a. **Lesson Plans**—teacher's daily plans that demonstrate integration of 21st century skills and coverage of the districts approved curriculum.

b. **Professional Development**—staff development, based on research, data, practice, and reflection that focuses on deepening knowledge and pedagogical skills in a collegial and collaborative environment.

c. **Student Dropout Data**—data about grade 9–12 students who drop out of high school.

d. **School Improvement Plan**—a plan that includes strategies for improving student performance, how and when improvements will be implemented, use of state funds, requests for waivers, etc. Plans are in effect for no more than three years. Teachers should be able to demonstrate their participation in the development of the plan and/or their active support of the plan.

e. **School Improvement Team**—a team composed of the principal and representatives of administration, instructional personnel, instructional support personnel, teacher assistants, and parents of children enrolled in the school. The team's purpose is to develop a school improvement plan to strengthen student performance.

4. **Probationary Teacher**—Any new teacher hired after July 1, 2012 or a teacher in the professional category who is moved back to probationary after one ineffective rating by the principal/evaluator.

5. **Established Teacher**—All current teachers as of July 1, 2012.

6. **Professional Teacher**—When a probationary teacher is rated highly effective or effective for three of five years, teacher will move to professional.

7. **Data**—factual information used as the basis for reasoning, discussion, or planning.

8. **Evaluator**—the person responsible for overseeing and completing Tippecanoe Valley/McREL's Teacher Evaluation System. This is usually the school principal, but it may be someone who is designated by the principal to assume these responsibilities.

9. **Evidence**—documents that demonstrate or confirm the work of the person being evaluated and support the rating on a given element.

10. **Formal Evaluation Process**—the process of evaluating a teacher using the following essential components:

a. **Training**—state-approved and sponsored training on the Teacher Evaluation Rubric and Tippecanoe Valley/McREL's Teacher Evaluation System is required of all teachers and those individuals responsible for teacher evaluations.

b. **Orientation**—it is recommended that the principal will provide the teacher with a copy of or directions for obtaining access to the following: a) Teacher Evaluation Rubric, b) state and local policies governing teacher evaluations, and c) a schedule for completing all the components of the evaluation process. Copies may be provided by electronic means. While a formal meeting is not required, principals may choose to hold this orientation as a group meeting at the beginning of each school year and/or individually as staff is added throughout the year.

c. **Teacher Self-Assessment**—using the Teacher Evaluation Rubric, the teacher shall rate his or her own performance at the beginning of the year and reflect on his or her performance throughout the year. This will also be used during the post-observation conference.

d. **Pre-Observation Conference**—before the first formal observation, the principal shall meet with the teacher to discuss the teacher's self-assessment based on the Teacher Evaluation Rubric, the teacher's most recent Professional Development Plan, and the lesson(s) to be observed. The goal of this conference is to prepare the principal for the observation. Pre-Observation conferences are not required for subsequent observations.



**e. Observations:**

1. **Formal Observation**—a formal observation shall last at least 30 minutes.
2. **Informal Observation**—an informal observation may take place as an evaluator visits classrooms, helps a student, or “drops in” on the teacher’s classroom for a minimum of 5 minutes in one sitting.

**f. Post-Observation Conference**— during the post-observation conference, the principal and teacher shall discuss and document on the Teacher Evaluation Rubric the strengths and weaknesses of the teacher’s performance during the observed lesson.

**g. Summary Evaluation Conference and Teacher Summary Evaluation Rating Form**—the conference between the principal and teacher to discuss the teacher’s self-assessment, the teacher’s most recent Professional Development Plan, the components of Tippecanoe Valley/McREL’s Teacher Evaluation System completed during the year, classroom observations, artifacts submitted or collected during the evaluation process and other evidence of the teacher’s performance. At the conclusion of the process, the principal shall complete the Teacher Summary Evaluation Rating Form.

**h. Professional Development Plans**— every teacher will use a Professional Development Plan to identify goals and strategies to improve performance. The Professional Development Plan may be a(n):

1. **Individual Professional Development Plan**—developed by a teacher and should be discussed with the principal.
2. **Monitored Professional Development Plan**—placed on the plan by the principal, developed and monitored by the teacher and principal.
3. **Directed Professional Development/Remediation Plan**—placed on the plan by the principal, developed and monitored by the principal and serves as the Remediation Plan required by law.

**12. Peer**—a teacher who serves as a mentor for the teacher being evaluated and who provides performance feedback based on the Teacher Evaluation Rubric.

**13. Performance Rating Scale**—the following rating scale will be used for determining the final evaluation rating which will be converted into the ratings required by the Indiana Department of Education (Highly Effective, Effective, Needs Improvement or Ineffective).

**a. Developing**— teacher demonstrated adequate growth toward achieving standard(s) during the period of performance but did not demonstrate competence on standard(s) of performance.

**b. Proficient**— teacher demonstrated basic competence on standard(s) of performance.

**c. Accomplished**— teacher exceeded basic competence on standard(s) of performance most of the time.

**d. Distinguished**—teacher consistently and significantly exceeded basic competence on standard(s) of performance.

**e. Not Demonstrated**— teacher did not demonstrate competence on or adequate growth toward achieving standard(s) of performance. (Note: If the *Not Demonstrated* rating is used, the Principal/Evaluator must comment about why it was used.)

14. **Professional Learning Community**—a school culture in which teachers work collectively and collaboratively to examine instructional practice, improve their effectiveness, and increase student achievement.

15. **Self-assessment**—personal reflection about one's professional practice to identify strengths and areas for improvement conducted without input from others. Purposes of the self-assessment are to clarify performance expectations, guide discussions about goal-setting and professional development and program needs, and provide input to the final ratings.

16. **Teacher**—a person who holds a valid teaching certificate and is employed to instruct, direct, or supervise the instructional program.

17. **Teacher Evaluation Rubric**—a composite matrix of the following standards, elements, and descriptors of the Professional Teaching Standards:

a. **Performance Standard**—the distinct aspect of teaching or realm of activities which form the basis for the evaluation of a teacher.

b. **Performance Elements**—the sub-categories of performance embedded within the performance standard.

c. **Performance Descriptors**—the specific performance responsibilities embedded within the components of each performance standard.

Tippecanoe Valley School Corporation  
Summative Evaluation Sheet  
2013-14 School Year

Teacher Name: \_\_\_\_\_

TEACHER EVALUATION	Evaluation Rating	Weighting	Conversion
<b>Evaluation Rubric</b>			
Leadership		25%	
Respectful Environment		15%	
Content		15%	
Facilitate Learning		25%	
Reflect on Practice		15%	
Letter Grade		5%	
Overall Rating		100%	

	McREL's Teacher Evaluation System	IDOE Teacher Evaluation System
1.0 to 1.2		
No Salary Increase	Developing	Ineffective
1.21 to 1.5		
No Salary Increase	Developing	Needs Improvement
1.51 to 3.5		
Salary Increase	Proficient & Accomplished	Effective
3.51 to 4.0		
Salary Increase	Distinguished	Highly Effective

Administrator Signature: \_\_\_\_\_

Date \_\_\_\_\_

Teacher Signature: \_\_\_\_\_

Date \_\_\_\_\_

## Indiana School Counselor Effectiveness Rubric

This rubric combines many of the professional requirements of a professional School Counselor with those of the RISE Model. It is a working revision of the School Counselor Evaluation Rubric available on the Learning Connection website – <https://learningconnection.doe.in.gov> – within the “IDOE-Developing New Indiana Evaluations” community. It was designed to provide another option as schools develop or refine effectiveness rubrics and evaluation materials for Indiana Student Services Personnel. For questions or comments, contact Fleck Education Services at [fleckeducation@gmail.com](mailto:fleckeducation@gmail.com) or 317-748-0108.

**DOMAIN 1: PURPOSEFUL PLANNING** School counselors use student data and survey results to plan, set annual student goals, organize, deliver and manage an effective school counseling program.

Core Competencies	Highly Effective (4)	Effective (3)	Improvement Needed (2)	Ineffective (1)
1.1 Utilize Assessment Data to Plan	At Level 4, a counselor fulfills the criteria for Level 3 and additionally: - Incorporates differentiated strategies in planning to reach every student at his/her level of understanding	Counselor uses student achievement, achievement-related, survey and other student data to formulate plans. :- Annual program goals and student academic, career and personal/social goals.	Counselor rarely uses student achievement or achievement-related data and/or survey results to formulate: - Annual program goals and student academic, career and personal/social goals..	Counselor does not use student achievement data or survey results when planning.
1.2 Set Ambitious and Measurable Program and Student Goals	At Level 4, a counselor fulfills the criteria for Level 3 and additionally: - Shares plan with administrator(s) and school staff	Counselor sets ambitious and measurable annual program goals and student academic, career and personal/social goals. Counselor participates in: - Planning, - Organizing, - Delivering and - Managing of effective counseling program utilizing research-based interventions	Counselor rarely sets – ambitious and measurable annual program goals and student academic, career and personal/social goals.	Counselor does not set – ambitious and measurable annual program goals and student academic, career and personal/social goals.
1.3 Plan, Organize, Deliver and Manage Effective Counseling Program	At Level 4, a counselor fulfills the criteria for Level 3 and additionally: - Follows a state or national comprehensive school counseling model according to standards	Counselor participates in: - Planning, - Organizing, - Delivering and - Managing of effective counseling program utilizing research-based interventions	Counselor rarely participates in: - Planning, - Organizing, - Delivering and - Managing of effective counseling program	Counselor does not complete: - Planning, - Organizing, - Delivering or - Management of an effective counseling program
1.4 Develop Standards-Based Lessons and Assessments	At Level 4, a counselor fulfills the criteria for Level 3 and additionally: - Creates well-designed assessments and/or surveys based on state or national standards	Based on program and student goals counselor: - Identifies guidance standards that students will master and delivers lessons and assessments/surveys for assessing growth	Counselor rarely - identifies guidance standards that students will master and only occasionally or never delivers lessons and assessments/surveys for assessing growth	Counselor does not identify guidance standards that students will master and does not deliver lessons or use assessments/surveys for assessing growth
1.5 Track Student Data and Analyze Progress	At Level 4, a counselor fulfills the criteria for Level 3 and additionally: - Uses assessment/progress data in planning future lessons/units accordingly.	Counselor uses an effective data tracking system for: - Recording student assessment/progress data and analyzing student progress towards mastery	Counselor rarely uses a data tracking system for: - Recording student assessment/progress data. Counselor may not: - Use data to analyze student progress towards mastery or to plan future lessons/units	Counselor never uses a data tracking system to record student assessment/progress data and/or has no discernible grading system

**NOTE:** Domain 2 is divided into two parts:

- Domain 2A – Effective Classroom Guidance
- Domain 2B – Effective Counseling Services

Schools that do not expect their School Counselors to provide classroom guidance instruction, may use only Domain 2B.

**DOMAIN 2A: EFFECTIVE CLASSROOM GUIDANCE** Counselors facilitate student academic practice so that all students have the opportunity to gain mastery of the academic, career and/or personal/social guidance lesson objectives in a classroom, small group or individual setting.

Competency 2.1A: Develop student understanding and mastery of lesson objectives	Counselor is highly effective at developing student understanding and mastery of lesson objectives <i>For Level 4, much of the Level 3 evidence is observed during the year, as well as some of the following:</i> - Students can explain what they are learning and why it is important, beyond repeating the stated objective - Counselor effectively engages prior knowledge of students in connecting to lesson. Students demonstrate thorough work or comments that they understand this connection	Counselor is effective at developing student understanding and mastery of lesson objectives - Lesson objective is specific, measurable, and aligned to guidance standards. It conveys what students are learning and what they will be able to do by the end of the lesson - Objective is written in a student-friendly manner and/or explained to students in easy-to-understand terms - Importance of the objective is explained so that students understand why they are learning what they are learning - Lesson builds on students' prior knowledge of key concepts and skills and makes this connection evident to students - Lesson is well-organized to move students towards mastery of the objective	Counselor shows improvement at developing student understanding and mastery of lesson objectives - Lesson objective conveys what students are learning and what they will be able to do by the end of the lesson, but may not be aligned to guidance standards or measurable - Objective is stated, but not in a student-friendly manner that leads to understanding - Counselor attempts explanation of importance of objective, but students fail to understand - Lesson generally does not build on prior knowledge of students or students fail to make this connection - Organization of the lesson may not always be connected to mastery of the objective	Counselor is ineffective at developing student understanding and mastery of lesson objectives - Lesson objective is missing more than one component. It may not be clear about what students are learning or will be able to do by the end of the lesson. - There may not be a clear connection between the objective and lesson, or counselor may fail to make this connection for students. - Counselor may fail to discuss importance of objective or there may not be a clear understanding amongst students as to why the objective is important. - There may be no effort to connect objective to prior knowledge of students - Lesson is disorganized and does not lead to mastery of objective.
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<b>Competency 2.2A:</b> <b>Demonstrate and Clearly Communicate Content Knowledge to Students</b>	<p>Counselor is highly effective at demonstrating and clearly communicating content knowledge to students</p> <p><i>For Level 4, much of the Level 3 evidence is observed during the year, as well as some of the following:</i></p> <ul style="list-style-type: none"><li>- Counselor fully explains concepts in as direct and efficient a manner as possible, while still achieving student understanding</li><li>- Counselor effectively connects information to other content areas, students' experiences and interests, or current events in order to make content relevant and build interest</li><li>- Explanations spark student excitement and interest in the content</li></ul>	<p>Counselor demonstrates content knowledge and delivers information that is factually correct</p> <ul style="list-style-type: none"><li>- Information is clear, concise and well organized</li><li>- Counselor restates and rephrases information in multiple ways where necessary - to increase understanding</li><li>- Counselor emphasizes key points or main ideas in content</li><li>- Counselor uses developmentally appropriate language and explanations</li><li>- Counselor imparts relevant information learned via professional development</li></ul>	<p>Counselor delivers information that is factually correct</p> <ul style="list-style-type: none"><li>- Information occasionally lacks clarity and is not as well organized as it could be</li><li>- Counselor may fail to restate or rephrase information in multiple ways to increase understanding</li><li>- Counselor does not adequately emphasize main ideas, and students are sometimes confused about key takeaways</li><li>- Explanations sometimes lack developmentally appropriate language</li><li>- Counselor does not always impart relevant information learned via professional development</li></ul>	<p>Counselor needs improvement at demonstrating and clearly communicating content knowledge to students</p> <ul style="list-style-type: none"><li>- Counselor delivers information that is factually incorrect</li><li>- Explanations may be unclear or incoherent and fail to build student understanding of key concepts</li><li>- Counselor continues with providing information, even when it is obvious that students are not understanding content</li><li>- Counselor does not emphasize main ideas, and students are often confused about content</li><li>- Counselor fails to use developmentally appropriate language</li><li>- Counselor does not impart relevant information</li></ul>
<b>Competency 2.3A:</b> <b>Create Culture of Respect and Collaboration</b>	<p>Counselor is highly effective at creating a classroom culture of respect and collaboration</p> <p><i>For Level 4, much of the Level 3 evidence is observed during the year, as well as some of the following:</i></p> <ul style="list-style-type: none"><li>- Students are invested in their academic success as evidenced by unprompted collaboration and assistance</li><li>- Students understand and exhibit positive character and behavior</li></ul>	<p>Counselor is effective at creating a culture of respectful collaboration</p> <ul style="list-style-type: none"><li>- Students are respectful of their counselor</li><li>- Students are given opportunities to collaborate with counselor or in classroom settings, each other in the learning process</li><li>- Counselor reinforces positive character and behavior and explains consequences appropriately to discourage negative behavior</li><li>- Counselor has a good rapport with students, and shows genuine interest in their thoughts and opinions</li></ul>	<p>Counselor needs improvement at creating a classroom culture of respect and collaboration</p> <ul style="list-style-type: none"><li>- Students are generally respectful of their counselor, but may occasionally act out or need to be reminded of school norms</li><li>- Students are given opportunities to collaborate with counselor and peers, but may need significant assistance from the counselor to work together</li><li>- Counselor may occasionally praise positive behavior</li></ul>	<p>Counselor is ineffective at creating a culture of respect and collaboration</p> <ul style="list-style-type: none"><li>- Students are frequently disrespectful of counselor as evidenced by discouraging remarks or disruptive behavior</li><li>- Students are not given many opportunities to collaborate with counselor OR during these times do not work well together even with counselor intervention</li><li>- Counselor rarely or never praises positive behavior</li><li>- Counselor rarely or never addresses negative behavior</li></ul>

Competency 2.4A: Set High Expectations for Academic Success	Counselor is highly effective at setting high expectations for academic success.  <i>For Level 4, much of the Level 3 evidence is observed during the year, as well as some of the following:</i> - Students participate in forming academic goals for themselves and analyzing their progress - Students demonstrate high academic expectations for themselves - Student comments and actions demonstrate that they are excited about their work and understand why it is important	Counselor is effective at setting high expectations for academic success.  - Counselor sets high expectations for students of all levels - Students are invested in their work and value academic success as evidenced by their effort and quality of their work - Classroom, small group or individual setting is a safe place to take on challenges and risk failure (students do not feel shy about asking questions or bad about answering incorrectly) - Counselor celebrates and praises academic work.	Counselor needs improvement at setting high expectations for academic success.  - Counselor may set high expectations for some, but not others - Students are generally invested in their work, but may occasionally spend time off-task or give up when work is challenging - Some students may be afraid to take on challenges and risk failure (hesitant to ask for help when needed or give up easily) - Counselor may praise the work of some, but not others	Counselor is ineffective at setting high expectations for student success.  - Counselor rarely or never sets high expectations for students - Students may demonstrate disinterest or lack of investment in their work. For example, students might be unfocused, off-task, or refuse to attempt assignments - Students are generally afraid to take on challenges and risk failure due to frequently discouraging comments from the counselor or peers - Counselor rarely or never praises academic work or good behavior
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**DOMAIN 2B: EFFECTIVE COUNSELING SERVICES** Counselors use professional counseling skills in prevention, assessment, intervention and referral to remove barriers to student success.

Competency	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
<b>Competency 2.1B:</b> <b>Follow laws, rules and policies, adhering to ethical standards, and respecting student confidentiality to help students overcome barriers to learning</b>	<p>Counselor is highly effective at following laws, rules and policies, adhering to professional ethical standards and respecting student confidentiality.</p> <p><i>For Level 4, much of the Level 3 evidence is observed during the year, as well as some of the following:</i></p> <ul style="list-style-type: none"> <li>- Laws, rules, policies and ethical standards are reviewed on an annual basis</li> </ul>	<p>Counselor is effective at following laws, rules and policies, adhering to professional ethical standards and respecting student confidentiality.</p> <ul style="list-style-type: none"> <li>- Professional conduct and integrity is exhibited</li> <li>- Ethical and legal codes are followed when needed</li> <li>- Student interventions appear appropriate to the situation</li> </ul>	<p>Counselor needs improvement with following laws, rules and policies, adhering to ethical standards and respecting student confidentiality.</p> <ul style="list-style-type: none"> <li>- Professional conduct and integrity is occasionally exhibited</li> <li>- Ethical and legal codes are followed</li> <li>- Consultation and supervision are needed but not sought</li> <li>- Student interventions appear questionable</li> </ul>	<p>Counselor is ineffective at following laws, rules and policies, adhering to ethical standards and respecting student confidentiality.</p> <ul style="list-style-type: none"> <li>- Professional conduct and integrity is lacking</li> <li>- Ethical and legal codes are not followed</li> <li>- Consultation and supervision are needed but not sought</li> <li>- Student interventions appear questionable</li> </ul>
<b>Competency 2.2B:</b> <b>Provide counseling, guidance, consultation, crisis intervention or referral as needed</b>	<p>Counselor is highly effective at providing counseling, guidance, consultation, crisis intervention or referral as needed</p> <p><i>For Level 4, much of the Level 3 evidence is observed during the year, as well as some of the following:</i></p> <ul style="list-style-type: none"> <li>- Works well with school staff and administrators to facilitate identification of student and need of services</li> </ul>	<p>Counselor is effective at providing counseling, guidance, consultation, crisis intervention or referral as needed</p> <p><i>Diverse needs of students are addressed through appropriate counseling, guidance, consultation, crisis intervention or referral</i></p> <ul style="list-style-type: none"> <li>- Counselor is proficient at delivering or referring student to receive appropriate service</li> </ul>	<p>Counselor is only somewhat effective at providing counseling, guidance, consultation, crisis intervention or referral as needed</p> <ul style="list-style-type: none"> <li>- Some needs of students are addressed through counseling, guidance, consultation, crisis intervention or referral</li> <li>- Appropriateness of service is questionable</li> <li>- Counselor is somewhat proficient at delivering or referring student to receive appropriate service</li> </ul>	<p>Counselor is ineffective at providing counseling, guidance, consultation, crisis intervention or referral as needed</p> <ul style="list-style-type: none"> <li>- Needs of students are not adequately addressed through counseling, guidance, consultation, crisis intervention or referral</li> <li>- Appropriateness of service is questionable</li> <li>- Counselor is not proficient at delivering or referring student to receive appropriate service</li> </ul>



<p><b>Competency 2.3B:</b></p> <p><b>Develop student understanding of safety, survival and prevention skills</b></p>	<p>Counselor is highly effective at developing student understanding of safety, survival and prevention skills</p> <p><i>For Level 4, much of the Level 3 evidence is observed during the year, as well as some of the following:</i></p> <ul style="list-style-type: none"> <li>- Delivers prevention training program to students</li> </ul>	<p>Counselor is effective at developing student understanding of safety, survival and prevention skills</p> <ul style="list-style-type: none"> <li>- Counselor assists students to identify safety concerns and needs, as needed</li> <li>- Students understand right to a safe and secure school environment</li> <li>- Students identify resources for peer, adult and/or community support</li> <li>- Prevention programming or interventions utilized as necessary</li> </ul>	<p>Counselor needs improvement with developing student understanding of safety, survival and prevention skills</p> <ul style="list-style-type: none"> <li>- Inconsistent in helping students identify safety concerns and needs, as needed</li> <li>- Students do not understand right to a safe and secure school environment</li> <li>- Students do not identify resources for peer, adult and/or community support</li> <li>- Prevention programming or interventions utilized inconsistently</li> </ul>	<p>Counselor is ineffective at developing student understanding of safety, survival and prevention skills</p> <ul style="list-style-type: none"> <li>- When needed, does not help students identify safety concerns and needs</li> <li>- Students do not understand right to a safe and secure school environment</li> <li>- Students do not identify resources for peer, adult and/or community support</li> <li>- Prevention programming or interventions do not exist</li> </ul>
<p><b>Competency 2.4B:</b></p> <p><b>Connect student learning to future plans</b></p>	<p>Counselor is highly effective at connecting student learning to future plans</p> <p><i>For Level 4, much of the Level 3 evidence is observed during the year, as well as some of the following:</i></p> <ul style="list-style-type: none"> <li>- Counselor utilizes resources outside of the school setting frequently</li> </ul>	<p>Counselor is effective at connecting student learning to future plans</p> <ul style="list-style-type: none"> <li>- Counselor helps students see connection between achievement and career and future success</li> <li>- Counselor helps student learn about interests, abilities and aptitude</li> <li>- Counselor provides age-appropriate career awareness, information, preparation or planning assistance to students aligned with local, state and national standards</li> <li>- Students practice decision-making skills to course selection and/or career planning</li> </ul>	<p>Counselor is only somewhat effective at connecting student learning to future plans</p> <ul style="list-style-type: none"> <li>- Counselor infrequently helps students see connection between achievement and career and future success</li> <li>- Only some students learn about interests, abilities and aptitude</li> <li>- Counselor provides minimal career awareness, information, preparation or planning assistance to students</li> <li>- Students do not practice decision-making skills to course selection and/or career planning</li> </ul>	<p>Counselor does not help students see connection between achievement and career and future success</p> <ul style="list-style-type: none"> <li>- Students do not learn about interests, abilities and aptitude</li> <li>- Counselor does not provide career awareness, information, preparation or planning assistance to students</li> <li>- Students do not practice decision-making skills to course selection and/or career planning</li> </ul>
<p><b>Competency 2.5B:</b></p> <p><b>Supports students in assessment interpretation and goal-setting</b></p>	<p>Counselor is highly effective at interpreting assessment results and student goal-setting</p> <p><i>For Level 4, much of the Level 3 evidence is observed during the year, as well as some of the following:</i></p> <ul style="list-style-type: none"> <li>- Assessment interpretation and goal-setting is systematic and well-planned</li> </ul>	<p>Counselor is effective at interpreting assessment results and student goal-setting</p> <ul style="list-style-type: none"> <li>- Counselor assists students in interpreting &amp; understanding assessment results</li> <li>- Counselor helps students set challenging academic goals and/or make course plans based on results</li> <li>- Students apply knowledge of interests and aptitudes to goal-setting</li> </ul>	<p>Counselor is only somewhat effective at interpreting assessment results and student goal-setting</p> <ul style="list-style-type: none"> <li>- Counselor only occasionally assists students in interpreting &amp; understanding assessment results</li> <li>- Counselor helps students make course plans</li> <li>- Students infrequently apply knowledge of interests and aptitudes to goal-setting</li> </ul>	<p>Counselor does not assist students in interpreting &amp; understanding assessment results</p> <ul style="list-style-type: none"> <li>- Students make course plans without counselor assistance</li> <li>- Students are not encouraged to apply knowledge of interests and aptitudes to goal-setting</li> </ul>

**DOMAIN 3: COUNSELOR LEADERSHIP** Counselors develop and sustain the intense energy and leadership within their school community to ensure the achievement of all students.

Competencies		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
3.1	Contribute to School Culture	At Level 4, a counselor fulfills the criteria for Level 3 and additionally may: - Seek out leadership roles - Go above and beyond in dedicating time for students and peers	Counselor will: - Contribute ideas and expertise to further the schools' mission and initiatives - Dedicate time efficiently, when needed, to helping students and peers	Counselor will: - Contribute occasional ideas and expertise to further the school's mission and initiatives Counselor may not: - Frequently dedicates time to help students and peers efficiently outside of class	Counselor rarely or never contributes ideas aimed at improving school efforts. Counselor dedicates little or no time outside of class towards helping students and peers.
3.2	Collaborate with Peers	At Level 4, a counselor fulfills the criteria for Level 3 and additionally may: - Go above and beyond in seeking out opportunities to collaborate - Coach peers through difficult situations - Take on leadership roles within collaborative groups such as Professional Learning Communities	Counselor will: - Seek out and participate in regular opportunities to work with and learn from others - Ask for assistance, when needed, and provide assistance to others in need	Counselor will: - Participate in occasional opportunities to work with and learn from others - Ask for assistance when needed Counselor may not: - Seek to provide other counselors with assistance when needed OR - Regularly seek out opportunities to work with others	Counselor rarely or never participates in opportunities to work with others. Counselor works in isolation and is not a team player.
3.3	Seek Professional Skills and Knowledge	At Level 4, a counselor fulfills the criteria for Level 3 and additionally may: - Regularly share newly learned knowledge and practices with others - Seek out opportunities to lead professional development sessions	Counselor will: - Actively pursue opportunities to improve knowledge and practice - Seek out ways to implement new practices, where applicable - Welcome constructive feedback to improve practices	Counselor will: - Attend all mandatory professional development opportunities Counselor may not: - Actively pursue optional professional development opportunities - Seek out ways to implement new practices - Accept constructive feedback well	Counselor rarely or never attends professional development opportunities. Counselor shows little or no interest in new ideas, programs, or classes to improve counseling and learning
3.4	Advocate for Student Success	At Level 4, a counselor fulfills the criteria for Level 3 and additionally may: - Display commitment to the education of all the students in the school - Make changes and take risks to ensure student success	Counselor will: - Display commitment to the education of all his/her students - Attempt to remove or remedy obstacles around student achievement - Advocate for students' individualized needs	Counselor will: - Display commitment to the education of all his/her students Counselor may not: - Advocate for students' needs	Counselor rarely or never displays commitment to the education of his/her students. Counselor accepts failure as par for the course and does not advocate for students' needs.
3.5	Engage Families in Student Learning	At Level 4, a counselor fulfills the criteria for Level 3 and additionally: - Strives to form relationships in which parents are given ample opportunity to participate in student learning - Is available to address concerns in a timely and positive manner, when necessary	Counselor will: - Proactively reach out to parents in a variety of ways to engage them in student learning - Respond promptly to contact from parents - Engage in all forms of parent outreach required by the school	Counselor will: - Respond to contact from parents - Engage in all forms of parent outreach required by the school Counselor may not: - Proactively reach out to parents to engage them in student learning	Counselor rarely or never reaches out to parents and/or frequently does not respond to contacts from parents.

## Core Professionalism Rubric

These indicators illustrate the minimum competencies expected in any profession. These are separate from the other sections in the rubric because they have little to do with teaching and learning and more to do with basic employment practice. Counselors are expected to meet these standards. If they do not, it will affect their overall rating negatively.

Indicator	Does Not Meet Standard	Meets Standard
1 Attendance	Individual demonstrates a pattern of unexcused absences *	Individual has not demonstrated a pattern of unexcused absences*
2 On-Time Arrival	Individual demonstrates a pattern of unexcused late arrivals (late arrivals that are in violation of procedures set forth by local school policy and by the relevant collective bargaining agreement)	Individual has not demonstrated a pattern of unexcused late arrivals (late arrivals that are in violation of procedures set forth by local school policy and by the relevant collective bargaining agreement)
3 Policies and Procedures	Individual demonstrates a pattern of failing to follow state, corporation, and school policies and procedures (e.g. procedures for submitting discipline referrals, policies for appropriate attire, etc)	Individual demonstrates a pattern of following state, corporation, and school policies and procedures (e.g. procedures for submitting discipline referrals, policies for appropriate attire, etc)
4 Respect	Individual demonstrates a pattern of failing to interact with students, colleagues, parents/guardians, and community members in a respectful manner	Individual demonstrates a pattern of interacting with students, colleagues, parents/guardians, and community members in a respectful manner

\* It should be left to the discretion of the corporation to define "unexcused absence" in this context

SCHOOL COUNSELOR	Evaluation Rating	Weighting	Conversion
<b>Evaluation Rubric</b>			
Academic Achievement		15%	0
Student Assistance Services		25%	0
Career Development		15%	0
Professional Leadership		25%	0
Reflect on Practice		15%	0
Letter Grade		5%	0
Overall Rating		100%	0

Strengths

Specific Growth Areas

Additional Documentation may be attached.

Employee Signature \_\_\_\_\_ Date \_\_\_\_\_

Administrator Signature \_\_\_\_\_ Date \_\_\_\_\_

SchoolCounselorEvaluationSummaryRating

## RISE RUBRIC for SPEECH

**Domain 1: Purposeful Planning** Speech Language Pathologists use Indiana content area standards to develop a rigorous curriculum relevant for all students: building meaningful units of study, continuous assessments, and a system for tracking student progress as well as plans for accommodations and changes in response to a lack of student progress.

Competencies	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
<b>1.1 Utilize Assessment Data to Plan (Planning for initial or reevaluation of students)</b>	<p>The SLP collects and utilizes school-wide assessment data with a test battery and data collection system unique to the individual student.</p> <ul style="list-style-type: none"> <li>-Consistently and effectively using an appropriate research based cross battery of assessments that are specific to the needs of the individual child</li> <li>-Is an integral part of the referral group or team and assists with collecting data with school wide bench marking-curriculum, etc.</li> </ul>	<p>The SLP varies the test battery and data collection methods to address the needs of the referred student.</p> <ul style="list-style-type: none"> <li>-Consistently uses appropriate battery that will complete a comprehensive assessment, varying tests as needed.</li> <li>-Participates in the referral group or team and may participate in collecting data with school wide bench marking-curriculum, etc.</li> </ul>	<p>The SLP inconsistently varies the test battery and collection data methods to address the needs of the referred student.</p> <ul style="list-style-type: none"> <li>-Inconsistently uses appropriate battery to complete a comprehensive assessment</li> <li>-Does not participate consistently in the referral group or team, and does not participate in collecting data with school wide bench marking-curriculum, etc.</li> </ul>	<p>The SLP uses the same test battery and the same data collection methods for all types of referred students.</p> <ul style="list-style-type: none"> <li>-The SLP demonstrates knowledge of an assessment battery, but uses that battery without regard to individual needs or referral question</li> <li>-Does not utilize referral group or team or have an awareness of school based information, available data</li> </ul>
<b>1.2 Set Ambitious and Measureable Goals (Developing annual goals based on the assessments of the student)</b>	<p>At Level 4, an SLP teacher fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> <li>-Plans ambitious, but achievable annuals goals that support classroom curriculum and enhance classroom performance.</li> </ul>	<p>SLP develops annual student goals that are:</p> <ul style="list-style-type: none"> <li>-Measurable,</li> <li>-Aligned to developmental/state standards,</li> <li>AND</li> <li>-Identified student needs based on assessment data</li> </ul>	<p>SLP develops annual student goals that are:</p> <ul style="list-style-type: none"> <li>-Measurable</li> </ul> <p>But may not align to:</p> <ul style="list-style-type: none"> <li>-Developmental/State standards, -</li> <li>Identified student needs based on assessment data</li> </ul>	<p>SLP rarely or never develops annual goals for students OR goals are developed, but are extremely general and not helpful for planning purposes</p>
<b>1.3 Develop Standards-based Unit Plans and Assessments (Develop short term objectives based on assessment battery)</b>	<p>At Level 4, an SLP teacher fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> <li>-Plans ambitious, but achievable objectives that support classroom curriculum and enhance classroom performance.</li> </ul>	<p>SLP develops objectives that are:</p> <ul style="list-style-type: none"> <li>-Measurable</li> <li>-Aligned to developmental/state standards,</li> <li>AND</li> <li>-Identified student needs based on assessment data</li> </ul>	<p>SLP develops student objectives that are:</p> <ul style="list-style-type: none"> <li>-measurable</li> </ul> <p>But may not align to:</p> <ul style="list-style-type: none"> <li>-Developmental/state standards -</li> <li>Identified student needs based on assessment data - annual goal</li> </ul>	<p>SLP rarely or never develops objectives for students OR goals are developed, but are extremely general and not helpful for planning purposes</p>

<b>1. Create Objective Driven Lesson Plans and Assessments</b>	At level 4, an SLP fulfills the criteria for Level 3 and additionally: -Plans for a variety of differentiated instructional strategies, anticipating where these will be needed to enhance instruction. -Incorporates a variety of informal assessments/checks for understanding as well as summative assessments where necessary and uses all assessments to directly inform instruction.	Based on student goals, SLP plans daily lessons by: -Identifying lesson objectives that are aligned to IEP annual goals. - Matching instructional strategies and activities/assignments to the lesson objectives. -Designing formative assessments that measure progress towards mastery and inform instruction.	Based on student goals and objectives, the SLP plans daily lessons by: -Identifying lesson objectives that are aligned to IEP annual goals. - Matching instructional strategies and activities/assignments to the lesson objectives.  SLP <i>may</i> not: -Design assignments that are meaningful or relevant. -Plan formative assessments to measure progress towards mastery or inform instruction.	SLP rarely or never plans daily lesson plans OR daily lessons lack meaningful objectives, or instructional strategies, or assignments.
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<b>1.5 Track Student Data and Analyze Progress (Daily log/data collection/progress monitoring)</b>	At level 4, a SLP fulfills the criteria for Level 3 and additionally: -Updates tracking system daily - Uses data analysis of student progress to drive lesson planning for the following session. - Periodically checks for generalization of speech and language skills/goals	SLP uses an effective data tracking system for: -Recording student assessment/progress data. - Analyzing student progress towards mastery and planning future lessons/objectives accordingly - Maintaining a system of reporting progress that is aligned to student learning goals.	SLP uses an effective data tracking system for: -Recording student assessment/progress data.  SLP <i>may</i> not: -Use data to analyze student progress towards mastery or to plan future lessons/units. -Have system of reporting progress that aligns to student learning goals.	SLP rarely or never uses a data tracking system to record student assessment/progress data.
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## Domain 2: Effective Instruction

Speech Pathologists facilitate student academic practice so that all students are participating and have the opportunity to gain mastery of the objectives in a classroom environment that fosters a climate of urgency and expectation around achievement, excellence and respect.

Competencies	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
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<p><b>2.1 Develop student understanding and mastery of lesson objectives (student understands what they are working on and why it is important)</b></p>	<p><i>For Level 4, all of the evidence listed under Level 3 is present, as well as some of the following:</i></p>	<p>-Lesson objective is specific, measurable, and aligned to standards. It conveys what students are learning and what they will be able to do by the end of the lesson.</p> <p>-Objective is written in a student-friendly manner and/or explained to students in easy to understand terms.</p> <p>-Importance of the objective is explained so that students understand why they are learning what they are learning.</p> <p>-Lesson builds on students' prior knowledge of key concepts and skills and makes this connection evident to students.</p> <p>-Lesson is well-organized to move students towards mastery of the objective.</p>	<p>-Lesson objective conveys what students are learning and what they will be able to do by the end of the lesson, but may not be aligned to standards or measurable.</p> <p>-Objective is stated, but not in a student-friendly manner that leads to understanding.</p> <p>-SLP attempts explanation of importance of objective, but students fail to understand.</p> <p>-Lesson generally does not build on prior knowledge of students or students fail to make this connection.</p> <p>-Organization of the lesson may not always be connected to mastery of the objective.</p>	<p>-Lesson objective is missing more than one component. It may not be clear about what students are learning or will be able to do by the end of the lesson.</p> <p>-There may not be a clear connection between the objective and lesson, or SLP may fail to make this connection for students.</p> <p>-SLP may fail to discuss importance of objective or there may not be a clear understanding amongst students as to why the objective is important.</p> <p>-There may be no effort to connect objective to prior knowledge of students.</p> <p>-Lesson is disorganized and does not lead to mastery of objective.</p>
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**Notes:**

1. One way in which an observer could effectively gather information to score this standard is through brief conversations with students (when appropriate.)
2. In some situations, it may not be appropriate to state the objective for the lesson (multiple objectives for various "centers", early-childhood inquiry-based lesson, etc.). In these situations, the observer should assess whether or not students are engaged in activities that will lead them towards mastery of an objective, even if it is not stated.

<p><b>2.2 Demonstrate and clearly communicate content knowledge to the student (SLP communicates knowledge of session content to students)</b></p>	<p><i>For Level 4, all of the evidence listed under Level 3 is present, as well as some of the following:</i></p> <ul style="list-style-type: none"> <li>-SLP fully explains concepts in as direct and efficient a manner as possible, while still achieving student understanding.</li> <li>-SLP effectively connects content to other content areas, students' experiences and interests, or current events in order to make content relevant and build interest.</li> <li>-Explanations spark student excitement and interest in the content.</li> <li>-Students participate in each others' learning of content through collaboration during the lesson.</li> <li>-Students ask higher-order questions and make connections independently, demonstrating that they understand the content at a higher level.</li> </ul>	<p>-SLP demonstrates content knowledge and delivers content that is factually correct.</p> <ul style="list-style-type: none"> <li>-Content is clear, concise and well organized.</li> <li>-SLP restates and rephrases instruction in multiple ways to increase understanding.</li> <li>-SLP emphasizes key points or main ideas in content.</li> <li>-SLP uses developmentally appropriate language and explanations.</li> <li>-SLP implements relevant instructional strategies learned via professional development.</li> </ul>	<p>-SLP delivers content that is factually correct.</p> <ul style="list-style-type: none"> <li>-Content occasionally lacks clarity and is not as well organized as it could be.</li> <li>-SLP may fail to restate or rephrase instruction in multiple ways to increase understanding.</li> <li>-SLP does not adequately emphasize main ideas, and students are sometimes confused about key takeaways.</li> <li>-Explanations sometimes lack developmentally appropriate language.</li> <li>-SLP does not always implement new and improved instructional strategies learned via professional development.</li> </ul>	<p>-SLP may deliver content that is factually incorrect.</p> <ul style="list-style-type: none"> <li>-Explanations may be unclear or incoherent and fail to build student understanding of key concepts.</li> <li>-SLP continues with planned instruction, even when it is obvious that students are not understanding content.</li> <li>-SLP does not emphasize main ideas, and students are often confused and about content.</li> <li>-SLP fails to use developmentally appropriate language.</li> </ul>
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Notes:

1. Content may be communicated by either direct instruction or guided inquiry depending on the context of the classroom or lesson.
2. If the teacher presents information with any mistake that would leave students with a significant misunderstanding at the end of the lesson, the teacher should be scored a Level 1 for this competency.
3. Instructional strategies learned via professional development may include information learned during instructional coaching sessions as well as mandatory or optional school or district-wide PD sessions.

<p><b>2.3 Engage</b></p>	<p><i>For Level 4, all of the evidence listed under Level 3 is present, as</i></p>	<p>-Students are actively engaged in content at all times and not off-</p>	<p>- Fewer than <math>\frac{3}{4}</math> of the students are engaged in content and many are off-</p>	<p>-Fewer than <math>\frac{1}{2}</math> of the students are engaged in content and</p>
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<p>Students in academic content (students engaged during speech/lang. sessions)</p>	<p>well as some of the following:</p> <ul style="list-style-type: none"> <li>-SLP provides ways to engage with content that significantly promotes student mastery of the objective.</li> <li>-SLP provides differentiated ways of engaging with content specific to individual student needs.</li> <li>-The lesson progresses at an appropriate pace so that students are never disengaged, and students who finish early have something else meaningful to do.</li> <li>-SLP effectively integrates technology as a tool to engage students in academic content.</li> </ul>	<p>task.</p> <ul style="list-style-type: none"> <li>-SLP provides multiple ways, as appropriate, of engaging with content, all aligned to the lesson objective.</li> <li>-SLP sustains the attention of the class by maintaining a dynamic presence.</li> <li>-Ways of engaging with content reflect different learning modalities or intelligences.</li> <li>-SLP adjusts lesson accordingly to accommodate for student prerequisite skills and knowledge so that all students are engaged.</li> <li>-ELL and IEP students have the appropriate accommodations to be engaged in content.</li> <li>-Students work hard and are deeply active rather than passive/receptive. (See Notes below for specific evidence of engagement.)</li> </ul>	<p>task.</p> <ul style="list-style-type: none"> <li>-SLP may provide multiple ways of engaging students, but perhaps no aligned to lesson objective or mastery of content.</li> <li>-SLP may miss opportunities to provide ways of differentiating content for student engagement.</li> <li>-Some students may not have the prerequisite skills necessary to fully engage in content and SLP's attempt to modify instruction for these students is limited or not always effective.</li> <li>-Students may appear to actively listen, but when it comes time for participation are disinterested in engaging.</li> </ul>	<p>many are off-task.</p> <ul style="list-style-type: none"> <li>-SLP may only provide one way of engaging with content OR SLP may provide multiple ways of engaging students that are not aligned to the lesson objective or mastery of content.</li> <li>-SLP does not differentiate instruction to target different learning modalities.</li> <li>-Most students do not have the prerequisite skills necessary to fully engage in content and SLP makes no effort to adjust instruction for these students.</li> <li>-Students are not provided with the necessary accommodations (behavior, etc.) to engage in content.</li> </ul>
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Notes:

1. The most important indicator of success here is that students are actively engaged in the content. For a teacher to receive credit for providing students a way of engaging with content, students must be engaged in that part of the lesson.
2. Presence can best be represented by using engaging, confident, and assertive body language, tone, volume, and proximity.
3. Some observable evidence of engagement may include (but is not limited to): (a) raising of hands to ask and answer questions as well as to share ideas; (b) active listening (not off-task) during lesson; or (c) active participation in hands-on tasks/activities.
4. Teachers may provide multiple ways of engaging with content via different learning modalities (auditory, visual, kinesthetic/tactile) or via multiple intelligences (spatial, linguistic, musical, interpersonal, logical-mathematical, etc.). It may also be effective to engage students via two or more strategies targeting the same modality or district-wide PD sessions.

2.4 Check for understanding	For Level 4, all of the evidence listed under Level 3 is present, as well as some of the following:	-SLP checks for understanding at almost all key moments (when checking is necessary to inform instruction going forward) and gets an accurate 'pulse' of the class's understanding.	-SLP sometimes checks for understanding of content, but misses several key moments.	-SLP rarely or never checks for understanding of content, or misses nearly all key moments.
	<p>-SLP checks for understanding at higher levels by asking pertinent, scaffold questions that push thinking; accepts only high quality student responses (those that reveal understanding or lack thereof).</p> <p>-SLP uses open-ended questions to surface common misunderstanding and assess student mastery of material at a range of both lower and higher order thinking.</p> <p>-SLP notes student self-corrections.</p> <p>-SLP checks for use of skills in the classroom.</p>	<p>-SLP gains enough information during checks for understanding to modify the lesson and respond accordingly.</p> <p>-SLP uses a variety of methods to check for understanding.</p> <p>-SLP uses wait time effectively both after posing a question and before helping students think through a response.</p> <p>-SLP doesn't allow students to 'opt-out' of checks for understanding and cycles back to these students.</p> <p>-SLP systematically assesses every student's mastery of the objective(s) at the end of each lesson through formal or informal assessments (see note for examples).</p>	<p>-SLP mostly gets an accurate 'pulse' of the class's understanding, but may not gain enough information to modify the lesson accordingly.</p> <p>-SLP may not use a variety of methods to check for understanding, when doing so would be helpful.</p> <p>-SLP may not provide enough wait time after posing a question for students to think and respond before helping with an answer or moving forward with content.</p> <p>-SLP sometimes allows students to 'opt-out' of checks for understanding without cycling back to these students.</p> <p>-SLP may assess student mastery at the end of the lesson through formal or informal assessments, but may not use this information to drive subsequent lesson planning.</p>	<p>-SLP rarely or never gets an accurate 'pulse' of the class's understanding from checks and therefore cannot gain enough information to modify the lesson.</p> <p>-SLP frequently moves on with content before students have a chance to respond to questions or frequently gives students the answer rather than helping them think through the answer.</p> <p>-SLP frequently allows students to 'opt-out' of checks for understanding and does not cycle back to these students.</p> <p>-SLP rarely or never assesses for mastery at the end of the lesson.</p>

**Notes:**

1. Examples of times when checking for understanding may be useful are: before moving on to the next step of the lesson, or partway through independent practice.
2. Examples of how the teacher may assess student understanding and mastery of objectives:
  - Checks for understanding: thumbs up/down, cold calling
  - Do nows, turn and talk/pair share, guided or independent practice, exit slips.

<p><b>2.3 Modify instruction as needed</b></p>	<p><i>For Level 4, all of the evidence listed under Level 3 is present, as well as some of the following:</i></p> <ul style="list-style-type: none"> <li>-SLP anticipates student misunderstandings and preemptively addresses them.</li> <li>-SLP is able to modify instruction to respond to misunderstandings without taking away from the flow of the lesson or losing engagement.</li> </ul>	<ul style="list-style-type: none"> <li>-SLP makes adjustments to instruction based on checks for understanding that lead to increased understanding for most students.</li> <li>-SLP differentiates delivery of instruction based on checks for understanding and assessment data to meet diverse student needs.</li> <li>-SLP responds to misunderstandings with effective scaffolding techniques.</li> <li>-SLP doesn't give up, but continues to try to address misunderstanding with different techniques if the first try is not successful.</li> </ul>	<ul style="list-style-type: none"> <li>-SLP may attempt to make adjustments to instruction based on checks for understanding, but these attempts may be misguided and may not increase understanding for all students.</li> <li>-SLP may primarily respond to misunderstandings by using SLP-driven scaffolding techniques (for example, re-explaining a concept), when student-driven techniques could have been more effective.</li> <li>-SLP may persist in using a particular technique for responding to a misunderstanding, even when it is not succeeding.</li> </ul>	<ul style="list-style-type: none"> <li>-SLP only gives answers instead of having student work through the problem.</li> <li>-SLP does not use a variety of prompts/instructional tools.</li> </ul>
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**Notes:**

1. In order to be effective at this competency, a teacher must have at least scored a 3 on competency 2.4-in order to modify instruction as needed, one must first know how to check for understanding.
2. A teacher can respond to misunderstandings using 'scaffolding' techniques such as: activating background knowledge, asking leading questions, breaking the task into small parts, using mnemonic devices or analogies, using manipulatives or hands-on models, using 'think alouds', providing visual cues, etc.

<p><b>2. Develop Higher Level of Understanding through rigorous instruction and work (SLP models and talks through thinking process to increase student understanding)</b></p>	<p><i>For Level 4, all of the evidence listed under Level 3 is present, as well as some of the following:</i></p> <ul style="list-style-type: none"> <li>-Lesson is accessible and challenging to all students.</li> <li>-Students are able to answer higher-level questions with meaningful responses.</li> <li>-Students pose higher-level questions to the SLP and to each other.</li> <li>-SLP highlights examples of recent student work that meets high expectations; insists and motivates students to do it again if not great.</li> <li>-SLP encourages students' interest in learning by providing students with additional opportunities to apply and build skills beyond expected lesson elements (e.g. extra credit or enrichment assignments).</li> </ul>	<p>-Lesson is accessible and challenging to almost all students.</p> <ul style="list-style-type: none"> <li>-SLP frequently develops higher-level understanding through effective questioning.</li> <li>-Lesson pushes almost all students forward due to differentiation of instruction based on each student's level of understanding.</li> <li>-Students have opportunities to meaningfully practice, apply, and demonstrate that they are learning.</li> <li>-SLP shows patience and helps students to work hard toward mastering the objective and to persist even when faced with difficult tasks.</li> </ul>	<p>-Lesson is not always accessible or challenging for students.</p> <ul style="list-style-type: none"> <li>-Some questions used may not be effective in developing higher-level understanding (too complex or confusing).</li> <li>-SLP may not always use questioning as an effective tool to increase understanding.</li> <li>-While students may have some opportunity to meaningfully practice and apply concepts, instruction is more teacher-directed than appropriate.</li> <li>-SLP may encourage students to work hard, but may not persist in efforts to have students keep trying.</li> </ul>	<p>-Lesson is not aligned with developmental level of students (may be too challenging or too easy).</p> <ul style="list-style-type: none"> <li>-SLP may not use questioning as an effective tool to increase understanding. Students only show a surface understanding of concepts.</li> <li>-Lesson is almost always teacher directed. Students have few opportunities to meaningfully practice or apply concepts.</li> <li>-SLP gives up on students easily and does not encourage them to persist through difficult tasks.</li> </ul>
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**Notes:**

1. Examples of types of questions that can develop higher-level understanding:
  - Activating higher levels of inquiry on Bloom's taxonomy (using words such as 'analyze', 'classify', 'compare', 'decide', 'evaluate', 'explain', or 'represent'.
  - Asking students to explain their reasoning, why they are learning something, or to summarize the main idea.
  - Asking students to apply a new skill or concept in a different context, or prompting students to make connections to previous material or prior knowledge. -
  - Posing a question that increases the rigor of the lesson content.
2. Higher-level questioning should result in higher-level student understanding. If it does not, credit should not be given.
3. Challenging tasks rather than questions may be used to create a higher-level of understanding, and if successful, should be credited in the competency.
4. The frequency with which a teacher should use questions to develop higher-level understanding will vary depending on the topic and type of lesson.

<p><b>2.7 Maximize Instructional Time</b></p>	<p><i>For Level 4, all of the evidence listed under Level 3 is present, as well as some of the following:</i></p> <ul style="list-style-type: none"> <li>- Routines, transitions, and procedures are well-executed. Students know what they are supposed to be doing and when without prompting from the SLP.</li> <li>-Students are always engaged in meaningful work while waiting for the SLP (for example, during attendance).</li> <li>-Students share responsibility for operations and routines and work well together to accomplish these tasks.</li> <li>-All students are on-task and follow instructions of SLP without much prompting.</li> <li>- Disruptive behaviors and offtask conversations are rare; when they occur, they are always addressed without major interruption to the lesson.</li> </ul>	<p>-Students arrive on-time and are aware of the consequences of arriving late (unexcused).</p> <p>-Class starts on-time.</p> <p>-Routines, transitions, and procedures are well-executed. Students know what they are supposed to be doing and when with minimal prompting from the SLP.</p> <p>-Students are only ever not engaged in meaningful work for brief periods of time (for example, during attendance).</p> <p>-SLP delegates time between parts of the lesson appropriately so as best to lead students towards mastery of objective.</p> <p>-Almost all students are on-task and follow instructions of SLP without much prompting.</p> <p>-Disruptive behaviors and off-task conversations are rare; when they occur, they are almost always addressed without major interruption to the lesson.</p>	<p>-Some students consistently arrive late (unexcused) for class without consequences.</p> <p>-Class may consistently start a few minutes late.</p> <p>-Routines, transitions, and procedures are in place, but require significant SLP direction or prompting to be followed.</p> <p>-There is more than a brief period of time when students are left without meaningful work to keep them engaged.</p> <p>-SLP may delegate lesson time inappropriately between parts of the lesson.</p> <p>-Significant prompting from the SLP is necessary for students to follow instructions and remain on-task.</p> <p>-Disruptive behaviors and off-task conversations sometimes occur; they may not be addressed in the most effective manner and SLP may have to stop the lesson frequently to address the problem.</p>	<p>-Students may frequently arrive late (unexcused) for class without consequences.</p> <p>-SLP may frequently start class late.</p> <p>-There are few or no evident routines or procedures in place. Students are unclear about what they should be doing and require significant direction from the SLP at all times.</p> <p>-There are significant periods of time in which students are not engaged in meaningful work.</p> <p>-Even with significant prompting, students frequently do not follow directions and are off-task.</p> <p>Disruptive behaviors and offtask conversations are common and frequently cause the SLP to have to make adjustments to the lesson.</p> <p>-Classroom management is generally poor and wastes instructional time.</p>
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Notes:

1. The overall indicator of success here is that operationally, the classroom runs smoothly so that time can be spent on valuable instruction rather than logistics and discipline.
2. It should be understood that a teacher can have disruptive students no matter how effective he/she may be. However, an effective teacher should be able to minimize disruptions amongst these students and when they do occur, handle them without detriment to the learning of other students.

<p><b>2.8 Create Classroom culture of respect and collaboration (as applied to 'speech room')</b></p>	<p><i>For Level 4, all of the evidence listed under Level 3 is present, as well as some of the following:</i></p> <ul style="list-style-type: none"> <li>-Students are invested in the academic success of their peers as evidenced by unprompted collaboration and assistance.</li> <li>-Students reinforce positive character and behavior and discourage negative behavior amongst themselves.</li> </ul>	<p>-Students are respectful of their teacher and peers.</p> <ul style="list-style-type: none"> <li>-Students are given opportunities to collaborate and support each other in the learning process.</li> <li>-SLP reinforces positive character and behavior and uses consequences appropriately to discourage negative behavior.</li> <li>-SLP has a good rapport with students, and shows genuine interest in their thoughts and opinions.</li> </ul>	<p>-Students are generally respectful of their SLP and peers, but may occasionally act out or need to be reminded of classroom norms.</p> <p>-Students are given opportunities to collaborate, but may not always be supportive of each other or may need significant assistance from the teacher to work together.</p> <p>-SLP may praise positive behavior OR enforce consequences for negative behavior, but not both.</p> <p>-SLP may focus on the behavior of a few students, while ignoring the behavior (positive or negative) of others.</p>	<p>-Students are frequently disrespectful of SLP or peers as evidenced by discouraging remarks or disruptive behavior.</p> <p>-Students are not given many opportunities to collaborate OR during these times do not work well together even with SLP intervention.</p> <p>-SLP rarely or never praises positive behavior.</p> <p>-SLP rarely or never addresses negative behavior.</p>
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**Notes:**

1. If there is one or more instances of disrespect by the teacher toward students, the teacher should be scored a Level 1 for this standard.
2. Elementary school teachers more frequently will, and are sometimes required to have, expectations, rewards, and consequences posted visibly in the classroom. Whether or not these are visibly posted, it should be evident within the culture of the classroom that students understand and abide by a set of established expectations and are aware of the rewards and consequences of their actions.

<b>2.5 Set high expectations for academic success (Student progress)</b>	<i>For Level 4, all of the evidence listed under Level 3 is present, as well as some of the following:</i> <ul style="list-style-type: none"><li>-Students analyze their own progress toward goals.</li><li>-Students demonstrate high academic expectations for themselves.</li><li>-Student comments and actions demonstrate that they are excited about their work and understand why it is important.</li></ul>	<ul style="list-style-type: none"><li>-SLP sets high expectations for students of all levels.</li><li>-Students are invested in their work and value academic success as evidenced by their effort and quality of their work.</li><li>-The classroom is a safe place to take on challenges and risk failure (students do not feel shy about asking questions or bad about answering incorrectly).</li><li>-SLP celebrates and displays high quality academic work.</li></ul>	<ul style="list-style-type: none"><li>-SLP may set high expectations for some, but not others.</li><li>-Students are generally invested in their work, but may occasionally spend time off-task or give up when work is challenging.</li><li>-Some students may be afraid to take on challenges and risk failure (hesitant to ask for help when needed or give-up easily).</li><li>-SLP may praise the academic work of some, but not others.</li><li>-High quality work of a few, but not all students, may be displayed in the classroom.</li></ul>	<ul style="list-style-type: none"><li>-SLP rarely or never sets high expectations for students.</li><li>-Students may demonstrate disinterest or lack of investment in their work. For example, students might be unfocused, off-task, or refuse to attempt assignments.</li><li>-Students are generally afraid to take on challenges and risk failure due to frequently discouraging comments from the teacher or peers.</li><li>-SLP rarely or never praises academic work or good behavior.</li><li>-High quality work is rarely or never displayed in the classroom.</li></ul>
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Notes:

1. There are several ways for a teacher to demonstrate high expectations-through encouraging comments, higher-level questioning, appropriately rigorous assignments, expectations written and posted in the classroom, individual student work plans, etc.

**Domain 3: Teacher Leadership—Speech Pathologists develop and sustain the intense energy and leadership within their school community to ensure the achievement of all students.**

Competencies	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
<b>3.1 Contribute to school culture (school and/or department)</b>	<b>At Level 4, an SLP fulfills the criteria for Level 3 and additionally may:</b> -Seek out leadership roles.  -Go above and beyond in dedicating time for students and peers outside of class.	<b>SLP will:</b> -Contribute occasional ideas and expertise to further the school's mission and initiatives.  -Dedicate time efficiently, when needed, to helping students and peers outside of class.	<b>SLP will:</b> -Contribute occasional ideas and expertise to further the school's mission and initiatives.  <b>SLP may not:</b> -Frequently dedicates time to help students and peers efficiently outside of class.	SLP rarely or never contributes ideas aimed at improving school efforts. SLP dedicates little or no time outside of class towards helping students and peers.
<b>3.2 Collaborate with Peers (Gen. Ed., Sp. Ed., Psych, Nurse, Counselors, Principals, EL teachers)</b>	<b>At Level 4, an SLP fulfills the criteria for Level 3 and additionally may:</b> -Go above and beyond in seeking out opportunities to collaborate.  -Coach peers through difficult situations.  -Take on leadership roles within collaborative groups such as Professional Learning Communities.	<b>SLP will:</b> -Seek out and participate in regular opportunities to work with and learn from others.  -Ask for assistance, when needed, and provide assistance to others in need.	<b>SLP will:</b> -Participate in occasional opportunities to work with and learn from others.  -Ask for assistance when needed.  <b>SLP may not:</b> -Seek to provide other teachers with assistance when needed OR -Regularly seek out opportunities to work with others.	SLP rarely of never participates in opportunities to work with others. SLP works in isolation and is not a team player.



<p><b>3.3 Seek Professional skills and knowledge (Professional development)</b></p>	<p><b>At Level 4, an SLP fulfills the criteria for Level 3 and additionally may:</b> - Regularly share newly learned knowledge and practices with others.</p> <p>-See out opportunities to lead professional development sessions.</p>	<p><b>SLP will:</b> -Actively pursue opportunities to improve knowledge and practice.</p> <p>-Seek out ways to implement new practices into instruction, where applicable.</p> <p>-Welcome constructive feedback to improve practices.</p>	<p><b>SLP will:</b></p> <ul style="list-style-type: none"> <li>-Attend all mandatory professional development opportunities.</li> </ul> <p><b>SLP may not:</b></p> <ul style="list-style-type: none"> <li>-Actively pursue optional professional development opportunities.</li> <li>-Seek out ways to implement new practices into instruction.</li> <li>-Accept constructive feedback well.</li> </ul>	<p>SLP rarely or never attends professional development opportunities. SLP shows little or no interest in new ideas, programs, or classes to improve teaching and learning.</p>
<p><b>3.4 Advocate for Student Success</b></p>	<p><b>At Level 4, an SLP fulfills the criteria for Level 3 and additionally may:</b> -Display commitment to the education of all the students in the school.</p> <p>-Make changes and take risks to ensure student success.</p>	<p><b>SLP will:</b></p> <ul style="list-style-type: none"> <li>-Display commitment to the education of all his/her students.</li> <li>-Attempt to remedy obstacles around student achievement.</li> <li>-Advocate for students' individualized needs.</li> </ul>	<p><b>SLP will:</b></p> <ul style="list-style-type: none"> <li>-Display commitment to the education of all his/her students.</li> </ul> <p><b>SLP may not:</b></p> <ul style="list-style-type: none"> <li>-Advocate for students' needs.</li> </ul>	<p>SLP rarely or never displays commitment to the education of his/her students. SLP accepts failure as par for the course and does not advocate for students' needs.</p>

<p><b>3. Engage Families in Student Learning</b></p>	<p><b>At Level 4, an SLP fulfills the criteria for Level 3 and additionally may:</b></p> <ul style="list-style-type: none"> <li>-Strives to form relationship in which parents are given ample opportunity to participate in student learning.</li> <li>-Is available to address concerns in a timely and positive manner, when necessary, outside of required outreach events.</li> </ul>	<p><b>SLP will:</b></p> <ul style="list-style-type: none"> <li>-Proactively reach out to parents in a variety of ways to engage them in student learning.</li> <li>-Respond promptly to contact from parents.</li> <li>-Engage in all forms of parent outreach required by the school.</li> </ul>	<p><b>SLP will:</b></p> <ul style="list-style-type: none"> <li>-Respond to contact from parents.</li> <li>-Engage in all forms of parent outreach required by the school.</li> </ul> <p><b>SLP may not:</b></p> <ul style="list-style-type: none"> <li>-Proactively reach out to parents to engage them in student learning.</li> </ul>	<p>SLP rarely or never reaches out to parents and/or frequently does not respond to contacts from parents.</p>
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**Domain 4 Professionalism Rubric—These indicators illustrate the minimum competencies expected in any profession.**

Indicator	Does Not Meet Standards	Meets Standards
<p><b>1. Attendance</b></p>	<p>Individual demonstrates a pattern of unexcused absences (absences that are in violation of procedures set forth by local school policy and by the relevant collective bargaining agreement).</p>	<p>Individual has not demonstrated a pattern of unexcused absences (absences that are in violation of procedures set forth by local school policy and by the relevant collective bargaining agreement).</p>
<p><b>2. On Time Arrival</b></p>	<p>Individual demonstrates a pattern of unexcused late arrivals (late arrivals that are in violation of procedures set forth by</p>	<p>Individual has not demonstrated a pattern of unexcused late arrivals (late arrivals that are in violation of procedures set forth by</p>

	local school policy and by the relevant collective bargaining agreement).	local school policy and by the relevant collective bargaining agreement).
<b>3. Policies and Procedures</b>	Individual demonstrates a pattern of failing to follow state, corporation, and school policies and procedures (e.g. procedures for submitting discipline referrals, policies for appropriate attire, etc.)	Individual demonstrates a pattern of following state, corporation, and school policies and procedures (e.g. procedures for submitting discipline referrals, policies for appropriate attire, etc.)
<b>4. IEP Rubric (State generated checklist)</b>		
<b>5. Respect</b>	Individual demonstrates a pattern of failing to interact with students, colleagues, parents/guardians, and community members in a respectful manner.	Individual demonstrates a pattern of interacting with students, colleagues, parents/guardians, and community members in a respectful manner.

# RISE RUBRIC for SPEECH EVALUATION

## Summary Sheet

Domain	Possible Points	Obtained Score	Comments
<b>Purposeful Planning- 25%</b>	20		Strengths-  Growth Areas-
1.1			
1.2			
1.3			
1.4			
1.5			
<b>Effective Instruction- 30%</b>	36		Strengths-  Growth Areas-
2.1			
2.2			
2.3			
2.4			
2.5			
2.6			
2.7			
2.8			
2.9			
<b>Leadership- 30%</b>	20		Strengths  Growth Areas
3.1			
3.2			
3.3			
3.4			
3.5			
<b>Professionalism- 10%</b>	5		Strengths  Growth Areas
4.1			
4.2			
4.3			
4.4			
4.5			
	81	Total Points Earned	

Employee Signature: \_\_\_\_\_

Administrator Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

# ***Tippecanoe Valley School Corporation***

**Document B**



## ***Principal Performance Evaluation Handbook 2012-2013***



# McREL's PRINCIPAL EVALUATION SYSTEM

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## INTRODUCTION

Effective leadership means more than simply knowing what to do—it's knowing when, how, and why to do it. Effective leaders understand how to balance pushing for change while at the same time, protecting aspects of culture, values, and norms worth preserving. They know which policies, practices, resources, and incentives to align and how to align them with organizational priorities. They know how to gauge the magnitude of change they are calling for and how to tailor their leadership strategies accordingly. Finally, they understand and value the people in the organization. They know when, how, and why to create learning environments that support people, connect them with one another, and provide the knowledge, skills, and resources they need to succeed. This combination of knowledge and skills is the essence of balanced leadership.<sup>1</sup>

This combination of knowledge and skills is also the focus of McREL's Principal Evaluation System. By using the results of the evaluation to guide their own professional development, principals and central office administrators will be able to chart a course for professional growth and development from the novice principal who is developing into an effective school leader to a distinguished professional who leads the school to ever greater accomplishments and commands the respect of colleagues.

## RESEARCH ON LEADERSHIP

Researchers at Mid-continent Research for Education and Learning (McREL) and other organizations have analyzed key traits of educational leaders and those attributes which contribute to the success of schools. Portin et al. (2003) analyzed in-depth interviews with educators across 21 schools and identified seven types of leadership needs: instructional, cultural, managerial, human resources, strategic, external development, and micropolitical.<sup>2</sup> Cotton's (2003) review of 81 research reports on principals and student achievement showed that principals must take on a variety of roles (25 leadership practices) ranging from emotional and interpersonal support to community outreach and fundraising, in addition to academic leadership, in order to effectively empower the school to improve student achievement.<sup>3</sup> It is clear that the role of the school principal has become one of instructional improvement, relationship building, delegation of key responsibilities, and leadership by example.

## McREL's RESEARCH: BALANCED LEADERSHIP® AND SCHOOL LEADERSHIP THAT WORKS®

In 2003, McREL researchers examined more than 5,000 studies that purported to examine the effects of principal leadership on student achievement. Of these, 69 met rigorous criteria for inclusion in a meta-analytic research study. Three important findings emerged, which first were published in *Balanced Leadership: What 30 Years of Research Tells Us about the Effects of Leadership on Student Achievement*.<sup>4</sup>

The first finding is that **leadership matters**. The general effect of principal leadership on student achievement has a correlation of 0.25. This means that in schools where teachers on average rated their principal at the 84<sup>th</sup> percentile of leadership (one standard deviation above the mean), student achievement was 10 percentile points higher on norm-referenced tests. Expressed differently, the studies in the meta-analysis suggest that improving principals' leadership abilities by one standard deviation from the 50<sup>th</sup> to the 84<sup>th</sup> percentile can lead to an increase in the average student achievement from the 50<sup>th</sup> to 60<sup>th</sup> percentile—a substantial improvement.

<sup>1</sup>Waters, T. J., Marzano, R. J., & McNulty, B. (2003). *Balanced leadership: What 30 years of research tells us about the effect of leadership on student achievement*. Retrieved from <http://www.mcrel.org/products/144>

<sup>2</sup>Portin, B., Schneider, P., DeArmond, M., & Gundlach, L. (2003, September). *Making sense of leading schools: A study of the school principalship*. Seattle: University of Washington, Center on Reinventing Public Education.

<sup>3</sup>Cotton, K. (2003). *Principals and student achievement: What the research says*. Alexandria, VA: Association for Supervision and Curriculum Development.

<sup>4</sup>Waters, T. J., Marzano, R. J., & McNulty, B. (2003). *Balanced leadership: What 30 years of research tells us about the effect of leadership on student achievement*. Retrieved from <http://www.mcrel.org/products/144>



Second, the meta-analysis identified 21 **leadership responsibilities associated with 66 leadership practices**, which all have statistically significant relationships with student achievement. These responsibilities and practices are strongly aligned with the seven standards of executive leadership identified by Portin and others.<sup>5</sup>

Third, McREL researchers discovered that principal leadership has a differential **impact on student achievement**. In some of the studies included in the meta-analysis, the principals were perceived by teachers as strong leaders, yet student achievement was low. This finding shows that not all leaders perceived as strong have a positive impact on student achievement. Two explanations underlie McREL's theory of the differential impact of principal leadership on student achievement: (1) strong principals may not be focused on the right things, namely the use of research-based classroom or school practices known to have a positive effect on student achievement, and (2) strong principals may miscalculate the implications of a change initiative for the stakeholders in the school, causing inconsistent implementation of the initiative.

### **FACTOR ANALYSIS**

Building on the results of the meta-analysis, McREL collected survey data from nearly 650 principals about their leadership initiatives and use of the 21 responsibilities reported in *School Leadership that Works*.<sup>6</sup> These data were used in a factor analysis to identify the underlying structures and inter-correlations among the 21 leadership responsibilities. The factor analysis revealed three important findings:

1. There are two main factors associated with principal leadership: first-order change and second-order change. First-order change is incremental. It can be thought of as the next obvious step to take in a school or a district. Second-order change is anything but incremental. It involves dramatic departures from the expected, both in defining a given problem and in finding a solution.
2. All 21 leadership responsibilities are important and necessary for leading changes with first-order implications—that is, managing day-to-day functions of the school and leading routine changes.
3. Eleven of the 21 leadership responsibilities are associated with second-order change (see Table 1). There are specific leadership responsibilities that principals can emphasize to effectively lead change with second-order implications. Specifically, 7 of the 11 were positively correlated with second-order change. Four were negatively correlated with second-order change. This means that when schools undertake changes with second-order implications, most staff members are likely to perceive these four responsibilities as not being carried out effectively. The ramification of this is that staff may feel frustration and even anger from changes that are perceived as deteriorating the organization. Effective leadership is perhaps most crucial when dealing with such perceptions.

TABLE 1: RESPONSIBILITIES CORRELATED WITH SECOND-ORDER CHANGE

<b>POSITIVELY CORRELATED</b>	<b>NEGATIVELY CORRELATED</b>
Knowledge of curriculum, instruction, and assessment	Culture
Optimize	Communication
Intellectual stimulation	Input
Change agent	Order
Monitor and evaluate	
Flexibility	
Ideals and beliefs	

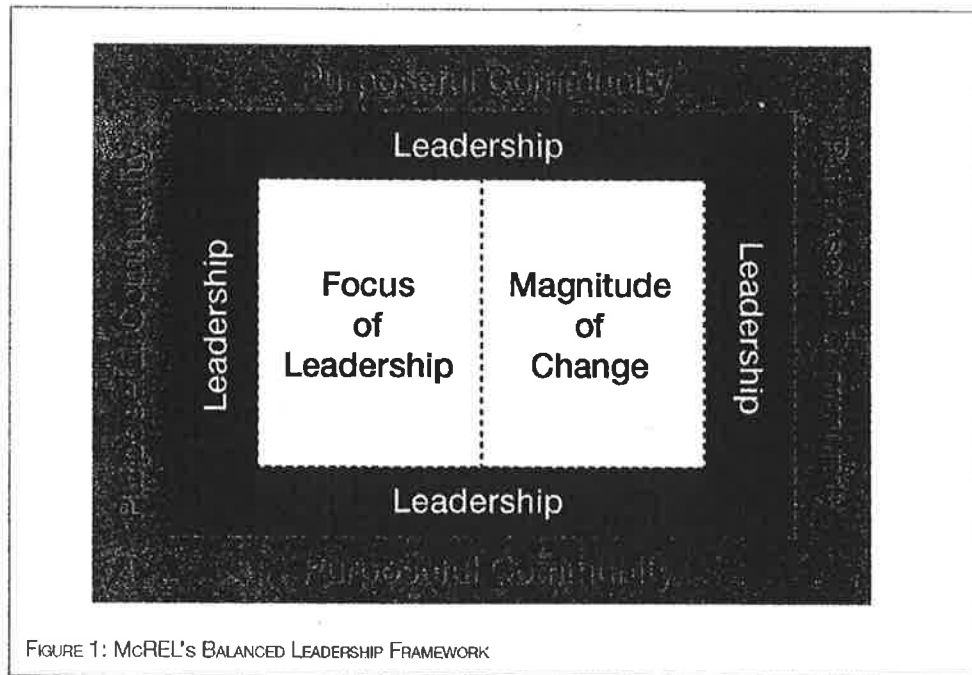
<sup>5</sup>Portin, B., Schneider, P., DeArmond, M., & Gundlach, L. (2003, September). *Making sense of leading schools: A study of the school principalship*. Seattle: University of Washington, Center on Reinventing Public Education.

<sup>6</sup>Marzano, R. J., Waters, T., & McNulty, B. A. (2005). *School leadership that works: From research to results*. Alexandria, VA: Association for Supervision and Curriculum Development.



## McREL's BALANCED LEADERSHIP FRAMEWORK®

Please see Appendix B for the complete synthesis, titled *The Balanced Leadership Framework: Connecting Vision with Action*. The Framework connects McREL's findings to existing research-based knowledge on change management, diffusion theory, collective efficacy, institutional theory, living systems theory, community development, asset utilization, and school improvement. The Framework puts the 21 leadership responsibilities into an organizing structure: 1) leadership, 2) focus of change, 3) magnitude of change, and 4) purposeful community (see Figure 1).



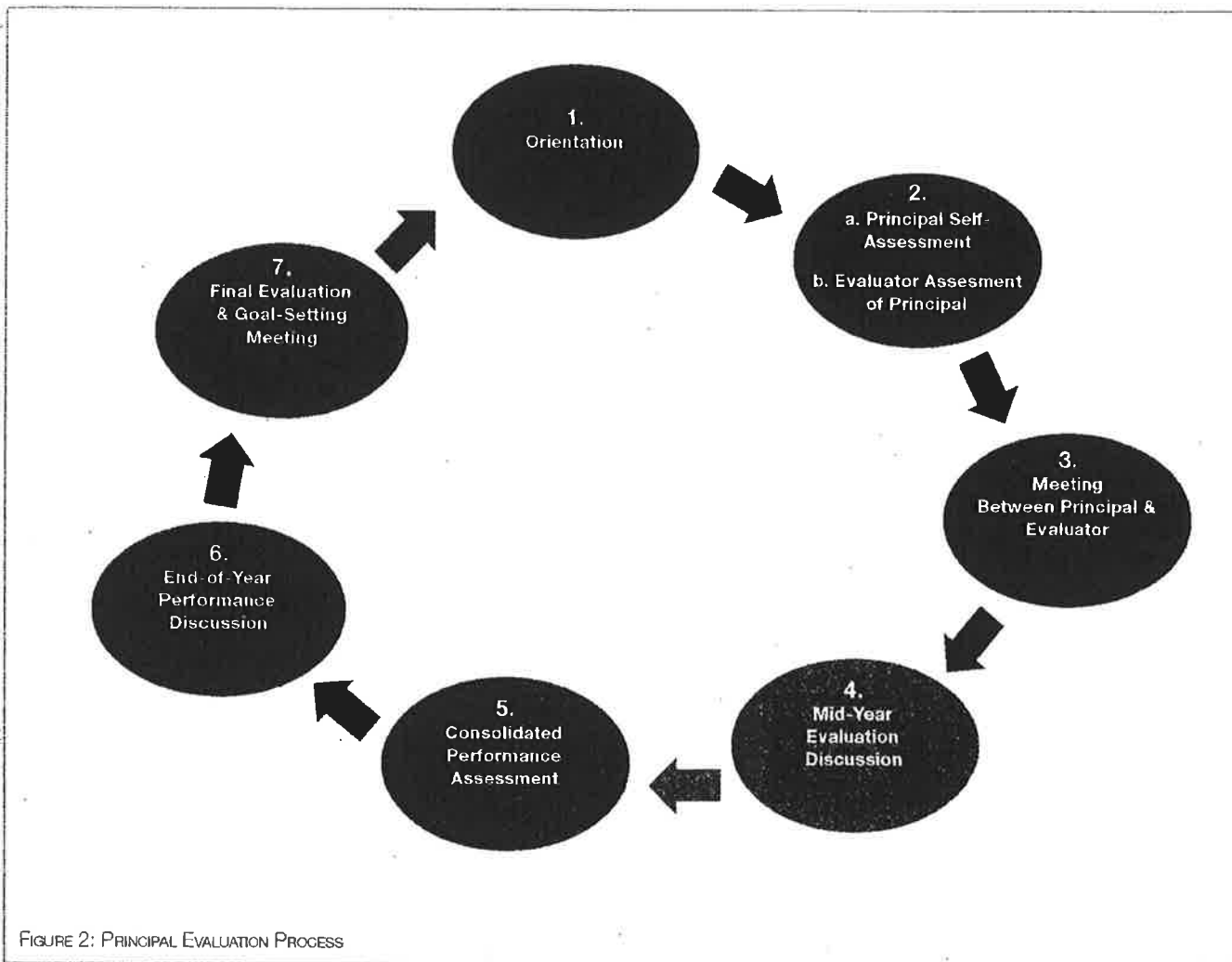
## PURPOSES OF THE EVALUATION

The intended purpose of McREL's Principal Evaluation System is to assess the principal's performance in relation to the research-based strategies that have been proven to be effective. The evaluation should take place in a collegial and non-threatening manner. The principal will take the lead in conducting the evaluation through the use of self-assessment, reflection, and input gathered from the various stakeholders with an interest in the leadership in the school. The evidence and documentation gathered by the principal is not intended to become a portfolio. Rather, it should provide a basis for self-assessment, goal setting, professional development planning, and demonstration of performance on specific standards.

McREL's Principal Evaluation System will:

- Serve as a guide for principals as they reflect upon and improve their effectiveness as school leaders;
- Measure and support professional practice consistently and fairly;
- Focus the goals and objectives of districts as they support, monitor, and evaluate their principals;
- Guide professional development for principals;
- Serve as a tool in developing coaching and mentoring programs for principals; and
- Inform higher education programs in developing the content and requirements of degree programs that prepare future principals.

Figure 2 on the next page provides an overview of the required elements of McREL's Principal Evaluation System.



## STEPS OF THE PROCESS

### STEP 1: ORIENTATION

Each school year, evaluators will conduct a group orientation with all principals. At this orientation, each principal will receive a complete set of materials outlining the evaluation process and an explanation of the timeline and how performance will be measured. Each principal should become thoroughly familiar with McREL's Principal Evaluation System and all of the materials associated with it, including definitions and forms.

### STEP 2: PRINCIPAL AND EVALUATOR EACH COMPLETE PRINCIPAL EVALUATION RUBRIC

- a. Principals will assess their own performance using the Principal Evaluation Rubric. This self-assessment will serve as the basis for the preliminary goals form, which should be completed prior to Step 3.
- b. Concurrently (with step a), the evaluator will assess the performance of the principal using the Principal Evaluation Rubric. Along with the principal's self-assessment, this will serve as the foundation for the performance discussion to be held as Step 3.



### **STEP 3: MEETING BETWEEN PRINCIPAL AND EVALUATOR**

Principals will meet individually with their evaluator to discuss the results of self assessment, the evaluator's ratings of the principal, preliminary performance goals, and any artifacts or other evidence the principal and evaluator believe are critical to understanding the principal's performance. The principal and evaluator will agree on the data, evidence, and documentation necessary to complete the evaluation process and confirm the principal's level of performance.

### **STEP 4: MID-YEAR EVALUATION DISCUSSION**

Principals will meet individually with their evaluator to discuss their progress toward achieving annual goals. This mid-year discussion will focus on the status of goal attainment and necessary mid-year adjustments to action plans that must be made in order to achieve goals by the end of the school year.

### **STEP 5: CONSOLIDATED PERFORMANCE ASSESSMENT**

The principal will synthesize the information from Steps 3 and 4 in order to prepare a consolidated assessment or comprehensive view of performance throughout the year. This brief summary of the data and artifacts used to judge performance should be provided to the evaluator well in advance of the end-of-year performance discussion.

### **STEP 6: END-OF-YEAR PERFORMANCE DISCUSSION**

The principal and evaluator will meet at the school to discuss progress toward completing the evaluation process. They will discuss the self-assessment, consolidated assessment, and superintendent's summary evaluation of the principal, which have been prepared in advance of the meeting. Should additional data or artifacts be needed for the discussion, the principal will have them available at that time.

### **STEP 7: FINAL EVALUATION AND GOAL-SETTING MEETING**

At this meeting, the principal and evaluator will agree upon performance goals and recommendations for the Professional Development Plan. All forms needed to complete this process are included in this manual. While all of the forms are highly recommended, use of the following is required:

- Principal Evaluation Rubric (see pp. 9–17). The Rubric will be used for the following steps:
  - Self-Assessment
  - Evaluator Assessment
  - Meeting Between Principal and Evaluator
  - Final Evaluation and Goal-Setting Meeting
- Principal Summary Evaluation Worksheet (see p.18)
- Principal Summary Goal-Setting Form (see p. 19)
- Mid-year Evaluation: Progress toward Achieving Goals (see p. 20)

It will be helpful to understand the responsibilities of the principal and evaluator as they engage in this process (see Table 2, p. 6).

TABLE 2: PRINCIPAL AND EVALUATOR RESPONSIBILITIES

PRINCIPAL RESPONSIBILITIES	EVALUATOR RESPONSIBILITIES
<ul style="list-style-type: none"> <li>▪ Understand McREL's Principal Evaluation System.</li> <li>▪ Prepare for the Pre-Evaluation Conference, including a self-assessment, identification of performance goals, and identification of change initiatives underway at his or her school.</li> <li>▪ Gather data, artifacts, and evidence to support performance in relation to the three framework components and progress toward attaining goals.</li> <li>▪ Develop and implement strategies to improve personal performance/attain goals in areas individually or collaboratively identified.</li> <li>▪ Participate in the Mid-year and Final Evaluation Conferences and End-of-Year meeting to set preliminary goals for subsequent year prior to receiving student achievement data.</li> <li>▪ Finalize goals and End-of-Year Evaluation with evaluator as soon as student achievement data is available.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Participate in professional development to understand and implement the system.</li> <li>▪ Supervise McREL's Principal Evaluation System, and ensure that all steps are conducted according to the approved process.</li> <li>▪ Identify the principal's strengths and areas for improvement and make recommendations for improving performance.</li> <li>▪ Ensure that the contents of the Principal Summary Evaluation Report contain accurate information and accurately reflect the principal's performance.</li> <li>▪ Leverage skills and knowledge required to implement McREL's Principal Evaluation System.</li> <li>▪ Participate in the Mid-year and Final Evaluation Discussions and End-of-Year Performance Discussion to set preliminary goals prior to receiving student achievement data.</li> </ul>

## PRINCIPAL EVALUATION RUBRIC

This instrument serves as the foundation for McREL's Principal Evaluation System. It should be used throughout the process to monitor principals' progress toward consistently using practices that leadership research has identified as necessary to improve the amount of learning that takes place in a school.

The Principal Evaluation Rubric beginning on page 10 should be completed by principals as a self-assessment of the performance during the year. Evaluators will use the rubric to complete their assessment of the principals' performance for the same time period. Likewise, the principal and evaluator will use this rubric as a guide for performance discussions and as a tool to determine the final evaluation rating for the principal. Figure 3 provides a guide to the elements of the Rubric.

### HOW THE RUBRIC IS CONSTRUCTED

**RESPONSIBILITY**

**FRAMEWORK COMPONENT**

**RATINGS**

**PRINCIPAL LEADERSHIP RESPONSIBILITIES ASSOCIATED WITH MANAGING CHANGE**

Managing Change involves understanding the implications of change efforts for stakeholders and adjusting leadership behaviors accordingly.

**a. Change Agent: Is willing to and actively challenges the status quo.**

DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
<input type="checkbox"/> Uses a variety of data to identify necessary change initiatives.	... and <input type="checkbox"/> Builds on data analysis to define processes and protocols in order to create or adopt new and better ways to improve school and classroom practices.	... and <input type="checkbox"/> Consistently attempts to operate at the edge instead of the center of the schools' competence by leading the implementation of research-based initiatives even though outcomes may be uncertain.	... and <input type="checkbox"/> Leverages the influence of opinion leaders to strategically target and frame change initiatives in order to increase the rate of adoption. <input type="checkbox"/> Is recognized in the education community as an advocate for new and innovative ways of schooling.	

**PRACTICES**

FIGURE 3: EXAMPLE OF HOW THE RUBRIC IS CONSTRUCTED

## THE PRINCIPAL EVALUATION RUBRIC

PRINCIPAL LEADERSHIP RESPONSIBILITIES ASSOCIATED WITH MANAGING CHANGE				
<b>Managing Change</b> involves understanding the implications of change efforts for stakeholders and adjusting leadership behaviors accordingly.				
<b>a. Change Agent:</b> Is willing to and actively challenges the status quo.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
<input type="checkbox"/> Uses a variety of data to identify necessary change initiatives.	<b>... and</b> <input type="checkbox"/> Builds on data analysis to define processes and protocols in order to create or adopt new and better ways to improve school and classroom practices.	<b>... and</b> <input type="checkbox"/> Consistently attempts to operate at the edge instead of the center of the schools' competence by leading the implementation of research-based initiatives even though outcomes may be uncertain.	<b>... and</b> <input type="checkbox"/> Leverages the influence of opinion leaders to strategically target and frame change initiatives in order to increase the rate of adoption. <input type="checkbox"/> Is recognized in the education community as an advocate for new and innovative ways of schooling.	
<b>b. Flexibility:</b> Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.				
<input type="checkbox"/> Understands the importance of how different change initiatives may be perceived differently by various stakeholders and how they may impact others.	<b>... and</b> <input type="checkbox"/> Adapts leadership style to the needs of specific situations. <input type="checkbox"/> Implements procedures that encourage teachers and staff to express opinions and perceptions even if they are contrary to those held by individuals in positions of authority.	<b>... and</b> Creates and uses transitions teams during times of change to <input type="checkbox"/> Assist individuals in transitioning into the new ways of doing things. <input type="checkbox"/> Adapt quickly to changing environments and contexts.	<b>... and</b> Improves collective efficacy by <input type="checkbox"/> Effectively managing change. <input type="checkbox"/> Building on the collective ability of the school community to adapt to contextual conditions.	
<b>c. Ideals and Beliefs:</b> Communicates and operates from strong ideals and beliefs about school and schooling.				
<input type="checkbox"/> Possesses well-defined ideals and beliefs about schools and schooling that align with district non-negotiable goals.	<b>... and</b> <input type="checkbox"/> Creates demand for change through sharing beliefs about school, teaching, and learning with teachers and staff. <input type="checkbox"/> Demonstrates behaviors that exemplify stated beliefs about school and schooling.	<b>... and</b> <input type="checkbox"/> Creates demand for change by communicating ideals and beliefs throughout the community. <input type="checkbox"/> Creates opportunities to implement change that exemplifies ideals and beliefs.	<b>... and</b> <input type="checkbox"/> Shares leadership in a manner that extends and promotes the ideals and beliefs about schools and schooling throughout the community. <input type="checkbox"/> Perseveres in the face of challenges to effectively sustain positive change.	

<b>d. Intellectual Stimulation:</b> Ensures that the faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school culture.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
<input type="checkbox"/> Understands and articulates the current rigorous and relevant research and theory on effective schooling.	... and <input type="checkbox"/> Uses rigorous and relevant research and theory on effective schooling to create demand for change by providing professional development opportunities.	... and <input type="checkbox"/> Uses the outcomes of professional development on rigorous and relevant research and theory on effective schooling to guide professional learning community discussions and activities.	... and <input type="checkbox"/> Provides vicarious and mastery experiences for teachers that capitalize on staff development outcomes and discussions of effective schools practice.	
<b>e. Knowledge of Curriculum, Instruction, and Assessment:</b> Is knowledgeable about the current curriculum, instruction, and assessment practices.				
<input type="checkbox"/> Articulates knowledge of curriculum, instruction, and assessment in a way that enables staff to understand and apply the knowledge.	... and <input type="checkbox"/> Provides guidance regarding curriculum, instruction, and assessment in order to ensure effective practices in every classroom.	... and <input type="checkbox"/> Provides mastery and vicarious experiences of research-based practices in curriculum design, instructional strategies, and assessment practices through professional development and action research.	... and <input type="checkbox"/> Leverages mastery and vicarious experiences to increase the collective efficacy of teachers and staff.	
<b>f. Monitor and Evaluate:</b> Monitors the effectiveness of school practices and their impact on student learning.				
<input type="checkbox"/> Understands the impact of school practices on student learning and achievement. <input type="checkbox"/> Understands the impact that change may have on individuals in the school.	... and Uses a variety of data and processes to <input type="checkbox"/> Drive decisions about initiating new and innovative research-based programs and interventions. <input type="checkbox"/> Monitor the needs and performance of individuals, groups, and the school as a whole.	... and <input type="checkbox"/> Routinely works collaboratively with teachers and staff to assess the impact of research-based programs and interventions on student learning and achievement.	... and <input type="checkbox"/> Monitors the fidelity and consistency of the implementation of research-based practices and their impact on student learning and achievement.	
<b>g. Optimize:</b> Inspires and leads new and challenging innovations.				
<input type="checkbox"/> Portrays a positive attitude about the ability of teachers and staff to accomplish school goals.	... and <input type="checkbox"/> Inspires teachers and staff to individually and collectively accomplish school goals.	... and <input type="checkbox"/> Inspires and motivates teachers and staff to accomplish things they consider to be beyond their grasp.	... and <input type="checkbox"/> Promotes perseverance and hope during challenging times.	



**COMMENTS:**

**RECOMMENDED ACTIONS:**

**RESOURCES NEEDED TO COMPLETE THESE ACTIONS:**

**EVIDENCE OR DOCUMENTATION THAT MAY BE USED TO SUPPORT RATINGS:**

- ☐ ELL Monitoring Notebook
- ☐ Professional Development Plan
- ☐ Regular Feedback to Teachers and Staff Regarding Performance
- ☐ Planning and Leading Professional Development
- ☐ Classroom Walkthrough Data
- ☐ Monitoring Plan
- ☐ Operating Principles and Working Agreements
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_



PRINCIPAL RESPONSIBILITIES ASSOCIATED WITH FOCUS OF LEADERSHIP				
Focus of leadership involves accurately and pro-actively targeting appropriate areas for school improvement efforts.				
<b>a. Contingent Rewards:</b> Recognizes and rewards individual accomplishments.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
<input type="checkbox"/> Develops criteria and procedures for recognizing hard work and results from individuals and groups.	<b>... and</b> Capitalizes on formal and informal opportunities to <input type="checkbox"/> Recognize the accomplishments and hard work of all stakeholders. <input type="checkbox"/> Maximize the intangible assets of a school.	<b>... and</b> <input type="checkbox"/> Involves all stakeholder groups in the recognition and reward process.	<b>... and</b> <input type="checkbox"/> Promotes the accomplishments of the school. <input type="checkbox"/> Inspires all stakeholders to make significant contributions. <input type="checkbox"/> Improves perceptions of stakeholders that they have the ability to contribute to increases in student achievement.	
<b>b. Discipline:</b> Protects teachers from issues and influences that would detract from their time or focus.				
<input type="checkbox"/> Communicates to the entire school community the importance of an effective learning environment, and that instructional time and focus are the school's top priority.	<b>... and</b> Establishes systems that minimize or eliminate interruptions and distractions to classroom instruction, including <input type="checkbox"/> A school schedule that maximizes instructional time. <input type="checkbox"/> Policies and procedures that maximize the use of instructional time.	<b>... and</b> <input type="checkbox"/> Enforces policies and procedures related to instruction time to assure that all staff members and all students benefit from periods of focused instruction.	<b>... and</b> <input type="checkbox"/> Serves as a champion for protecting and maximizing instructional time and focus to assure an effective learning environment.	
<b>c. Focus:</b> Establishes clear goals and keeps those goals in the forefront of the school's attention.				
<input type="checkbox"/> Understands the importance of setting high expectations for student learning and achievement.	<b>... and</b> <input type="checkbox"/> Leads the school community in the establishment of rigorous and concrete goals to ensure student learning and achievement.	<b>... and</b> Creates processes and procedures to <input type="checkbox"/> Clearly communicate the goals and progress toward achieving them to all members of the school community. <input type="checkbox"/> Maintain a consistent focus on the school's goals.	<b>... and</b> <input type="checkbox"/> Leverages high, concrete goals in order to continually create demand for innovation and improvement.	

d. Involvement in Curriculum, Instruction, and Assessment: Is directly involved in helping teachers design curricular activities and address assessment and instructional issues.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
<input type="checkbox"/> Demonstrates knowledge and understanding of curriculum, instruction, and assessment issues.	<p>... and</p> <input type="checkbox"/> Actively initiates activities to address curriculum, instruction, and assessment issues.	<p>... and</p> Models effective pedagogy that includes <ul style="list-style-type: none"> <li><input type="checkbox"/> Communicating learning goals.</li> <li><input type="checkbox"/> Acquiring and integrating knowledge.</li> <li><input type="checkbox"/> Extending and refining knowledge.</li> <li><input type="checkbox"/> Applying knowledge.</li> </ul>	<p>... and</p> <input type="checkbox"/> Helps teachers adopt, adapt, or design rigorous research-based curriculum, instruction, and assessment practices, programs, and interventions.	
e. Order: Establishes a set of standard operating procedures and routines.				
<input type="checkbox"/> Is developing clear structures, rules, procedures, and routines for student and staff behavior.	<p>... and</p> <input type="checkbox"/> Has established and consistently enforces policies, procedures, and routines that maximize opportunities for all students to learn.	<p>... and</p> <input type="checkbox"/> Maximizes the established policies, procedures, and routines to build a culture that is safe, orderly, and enhances student and teacher abilities to engage in meaningful and productive work.	<p>... and</p> <input type="checkbox"/> Uses an orderly environment to sustain confidence in the school's ability to educate all children.	
f. Outreach: Is an advocate and spokesperson of the school to all stakeholders.				
<input type="checkbox"/> Communicates with stakeholder groups about school initiatives and activities.	<p>... and</p> Advocates for the school with <ul style="list-style-type: none"> <li><input type="checkbox"/> The Community.</li> <li><input type="checkbox"/> Parents.</li> <li><input type="checkbox"/> Central Office.</li> <li><input type="checkbox"/> Teachers.</li> <li><input type="checkbox"/> Staff.</li> <li><input type="checkbox"/> Students.</li> </ul>	<p>... and</p> <input type="checkbox"/> Collects perception data from the school community to inform advocacy activities.	Uses community relationships as both tangible and intangible assets to engage all stakeholders in <ul style="list-style-type: none"> <li><input type="checkbox"/> Family and community involvement initiatives.</li> <li><input type="checkbox"/> School governance and improvement.</li> <li><input type="checkbox"/> Contributing to improving student learning and achievement.</li> </ul>	



PRINCIPAL RESPONSIBILITIES ASSOCIATED WITH PURPOSEFUL COMMUNITY				
A <b>Purposeful Community</b> is one with the collective efficacy and capability to develop and use assets to accomplish goals that matter to all community members through agreed upon processes.				
<b>a. Affirmation:</b> Recognizes and celebrates school accomplishment and acknowledges failures.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
Privately or individually acknowledges successes and failures of <input type="checkbox"/> Students. <input type="checkbox"/> Teachers. <input type="checkbox"/> Staff. <input type="checkbox"/> The school as a whole. <input type="checkbox"/> Communicates the nature of failures and the need to take action to address them.	... and Publicly and fairly recognizes the successes and failures of <input type="checkbox"/> Students. <input type="checkbox"/> Teachers. <input type="checkbox"/> Staff. <input type="checkbox"/> The school as a whole. <input type="checkbox"/> Communicates to teachers and staff actions taken and how they contributed to success or failure of school initiatives.	... and Has a plan for systematically and fairly recognizing successes and failures of <input type="checkbox"/> Students. <input type="checkbox"/> Teachers. <input type="checkbox"/> Staff. <input type="checkbox"/> The school as a whole. <input type="checkbox"/> Utilizes the recognition of failure as an opportunity to create demand for improvement.	... and Publicly interprets and communicates <input type="checkbox"/> Failure as temporary and specific. <input type="checkbox"/> Success as permanent and pervasive. <input type="checkbox"/> Uses successes and failures to increase the belief of teachers and staff in their ability to impact student achievement.	
<b>b. Communication:</b> Establishes strong lines of communication with teachers and among students.				
<input type="checkbox"/> Implements a variety of strategies to communicate with the teachers, staff, and the larger school community. <input type="checkbox"/> Is accessible to some stakeholder groups.	... and <input type="checkbox"/> Implements a variety of strategies to encourage effective open communication between and among students, teachers, staff, and the larger school community. <input type="checkbox"/> Is easily accessible to all stakeholder groups.	... and <input type="checkbox"/> Systematically monitors and takes steps to improve communication structures within the school. <input type="checkbox"/> Develops and monitors effective systems and protocols to enable stakeholder groups to communicate with each other and with the principal.	... and <input type="checkbox"/> Leverages communications among and between stakeholder groups to increase the adoption of new and innovative change initiatives within the district or school.	
<b>c. Culture:</b> Fosters shared beliefs and a sense of community and cooperation.				
<input type="checkbox"/> Demonstrates a belief through words and actions that teachers and staff can impact student learning and achievement. <input type="checkbox"/> Demonstrates an understanding of how unity of purpose, teamwork, and commitment to the work are interrelated and support the work of the school.	... and <input type="checkbox"/> Is the driving force behind a community-wide belief that teachers and staff can impact student learning and achievement. <input type="checkbox"/> Leads the development of an understanding of a unified purpose and a shared vision for the school.	... and <input type="checkbox"/> Routinely and systematically monitors the level of collective efficacy in the school. <input type="checkbox"/> Assures that unity of purpose, teamwork, and commitment to the work are at the core of all decisions, activities, and initiatives.	... and <input type="checkbox"/> Leverages vicarious and mastery experiences to build collective efficacy around teacher and staff ability to impact student learning and achievement. <input type="checkbox"/> Monitors, evaluates, and annually updates the school's purpose, shared vision, and the systems and procedures that support the school's purpose and vision.	

d. Input: Involves teachers in the design and implementation of important decisions.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
<input type="checkbox"/> Demonstrates an understanding of the importance of providing opportunities for stakeholder input on important issues and decisions.	... and <input type="checkbox"/> Seeks input from and provides opportunities for stakeholder groups to be involved in the school's decision-making processes.	... and <input type="checkbox"/> Creates opportunities and sets expectations for stakeholder groups to assume meaningful leadership and decision-making roles.	... and <input type="checkbox"/> Leverages stakeholder group input in order to create systems and processes that support rigorous education and relevant outcomes that matter to all.	
e. Relationships: Demonstrates awareness of the personal aspects of teachers and staff.				
<input type="checkbox"/> Knows teachers and staff on an appropriate personal level in order to keep informed about issues within their lives that may enhance or detract from their performance.	... and <input type="checkbox"/> Creates opportunities for teachers and staff to share personal and professional aspirations, prior experiences and successes, interests, and outside activities. <input type="checkbox"/> Acknowledges significant events in the lives of teachers and staff.	... and <input type="checkbox"/> Identifies and uses the collection of skills, knowledge, and interests teachers and staff members bring to their jobs to provide opportunities for professional growth.	... and <input type="checkbox"/> Strategically uses the strengths and interests of staff to significantly improve student performance.	
f. Situational Awareness: Is aware of the details and the undercurrents in the running of the school and uses this information to address current and potential problems.				
<input type="checkbox"/> Understands the nature and impact on the school culture of informal groups and relationships among teachers and staff.	... and <input type="checkbox"/> Recognizes and addresses potential conflicts and undercurrents among stakeholder groups, and/or issues in the school that could create discord.	... and <input type="checkbox"/> Implements strategies to ensure that relationships among formal and informal groups impact the school in a positive way.	... and <input type="checkbox"/> Leverages opportunities to build and strengthen trusting and productive relationships in order to strengthen the school's capacity to meet future challenges.	
g. Visibility: Has quality contacts and interactions with teachers and students.				
Develops a systematic and strategic plan for visibility that includes <input type="checkbox"/> Frequent visits to classrooms. <input type="checkbox"/> Frequent interactions with all stakeholder groups.	... and Implements the strategic plan for visibility that includes <input type="checkbox"/> Frequent visits to classrooms. <input type="checkbox"/> Frequent interactions with all stakeholder groups.	... and <input type="checkbox"/> Uses classroom visitations and interactions with stakeholder groups to reinforce the outcomes that matter to all and the overall purpose of the school.	... and <input type="checkbox"/> Has established a purposeful community and developed meaningful networks and strategic alliances to accomplish the school's goals.	



**COMMENTS:**

**RECOMMENDED ACTIONS:**

**RESOURCES NEEDED TO COMPLETE THESE ACTIONS:**

**EVIDENCE OR DOCUMENTATION THAT MAY BE USED TO SUPPORT RATINGS:**

- ☐ School Vision and Mission Statements
- ☐ Progress Toward Achievement of Smart Goals
- ☐ Staff Conference Agendas and Minutes
- ☐ Staff Bulletins and Newsletters
- ☐ Team Meeting Agendas
- ☐ Teacher Survey Data
- ☐ Community Survey Data
- ☐ Identification and Use of Human and Fiscal Resources
- ☐ PTA/Principal's Newsletter
- ☐ Master Schedule
- ☐ PTA Calendar
- ☐ School Calendar
- ☐ ELL Support Schedule
- ☐ Faculty Meeting Agendas, Sign In Sheets, Minutes
- ☐ Clear Vision and Mission about Improving Student Achievement
- ☐ Student Achievement Data
- ☐ Student Attendance Data
- ☐ Teacher Attendance Data
- ☐ Graduation and Promotion Rates
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_

This form is used to summarize self-assessment and evaluate ratings in preparation for the mid-year and summary evaluation conferences. The principal and superintendent or designee independently complete the form by recording ratings of individual responsibilities based on the ratings of practices collected on the rubric. During mid-year and summary evaluation conferences, the principal and superintendent or designee will jointly complete the final version of this form and agree on the final ratings.

Name of Evaluator: \_\_\_\_\_ Title: \_\_\_\_\_

	DISTINGUISHED	ACCOMPLISHED	PROFICIENT	DEVELOPING	NOT DEMONSTRATED	
	AFFIRMATION					
	COMMUNICATION					
	CULTURE					
	INPUT					
	RELATIONSHIPS					
	SITUATIONAL AWARENESS					
	VISIBILITY					
	<b>OVERALL: PURPOSEFUL COMMUNITY</b>					
	CHANGE AGENT					
	FLEXIBILITY					
	IDEALS AND BELIEFS					
	INTELLECTUAL STIMULATION					
	KNOWLEDGE OF CURRICULUM, INSTRUCTION, AND ASSESSMENT					
	MONITOR AND EVALUATE					
	OPTIMIZE					
	<b>OVERALL: MANAGING CHANGE</b>					
	CONTINGENT REWARDS					
	DISCIPLINE					
	FOCUS					
	INVOLVEMENT IN CURRICULUM, INSTRUCTION, AND ASSESSMENT					
	ORDER					
	OUTREACH					
	RESOURCES					
	<b>OVERALL: FOCUS OF LEADERSHIP</b>					

## PRINCIPAL SUMMARY EVALUATION RATING FORM

This form is to be jointly completed by the principal and superintendent or designee during the Summary Evaluation Conference conducted at the end of the year.

Name: \_\_\_\_\_

School: \_\_\_\_\_ School Year: \_\_\_\_\_

Evaluator: \_\_\_\_\_ District: \_\_\_\_\_

Date Completed: \_\_\_\_\_ Evaluator's Title: \_\_\_\_\_

### FRAMEWORK COMPONENT 1: PRINCIPAL LEADERSHIP RESPONSIBILITIES ASSOCIATED WITH MANAGING CHANGE

ELEMENTS	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. <b>CHANGE AGENT:</b> IS WILLING TO AND ACTIVELY CHALLENGES THE STATUS QUO.					
B. <b>FLEXIBILITY:</b> ADAPTS HIS OR HER LEADERSHIP BEHAVIOR TO THE NEEDS OF THE CURRENT SITUATION AND IS COMFORTABLE WITH DISSENT.					
C. <b>IDEALS AND BELIEFS:</b> COMMUNICATES AND OPERATES FROM STRONG IDEALS AND BELIEFS ABOUT SCHOOL AND SCHOOLING.					
D. <b>INTELLECTUAL STIMULATION:</b> ENSURES THAT THE FACULTY AND STAFF ARE AWARE OF THE MOST CURRENT THEORIES AND PRACTICES AND MAKES THE DISCUSSION OF THESE A REGULAR ASPECT OF THE SCHOOL CULTURE.					
E. <b>KNOWLEDGE OF CURRICULUM, INSTRUCTION, AND ASSESSMENT:</b> IS KNOWLEDGEABLE ABOUT THE CURRENT CURRICULUM, INSTRUCTION, AND ASSESSMENT PRACTICES.					
F. <b>MONITOR AND EVALUATE:</b> MONITORS THE EFFECTIVENESS OF SCHOOL PRACTICES AND THEIR IMPACT ON STUDENT LEARNING.					
G. <b>OPTIMIZE:</b> INSPIRES AND LEADS NEW AND CHALLENGING INNOVATIONS.					
<b>OVERALL RATING FOR MANAGING CHANGE</b>					

#### COMMENTS:

#### RECOMMENDED ACTIONS:

#### RESOURCES NEEDED TO COMPLETE THESE ACTIONS:

#### EVIDENCE OR DOCUMENTATION THAT MAY BE USED TO SUPPORT RATINGS:

- ☐ ELL Monitoring Notebook
- ☐ Professional Development Plan
- ☐ Regular Feedback to Teachers and Staff Regarding Performance
- ☐ Planning and Leading Professional Development
- ☐ Classroom Walkthrough Data
- ☐ Monitoring Plan
- ☐ Operating principals and Working Agreements
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_



## FRAMEWORK COMPONENT 2: PRINCIPAL RESPONSIBILITIES ASSOCIATED WITH FOCUS OF LEADERSHIP

ELEMENTS	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. <b>CONTINGENT REWARDS:</b> RECOGNIZES AND REWARDS INDIVIDUAL ACCOMPLISHMENTS.					
B. <b>DISCIPLINE:</b> PROTECTS TEACHERS FROM ISSUES AND INFLUENCES THAT WOULD DETRACT FROM THEIR TIME OR FOCUS.					
C. <b>FOCUS:</b> ESTABLISHES CLEAR GOALS AND KEEPS THOSE GOALS IN THE FOREFRONT OF THE SCHOOL'S ATTENTION.					
D. <b>INVOLVEMENT IN CURRICULUM, INSTRUCTION, AND ASSESSMENT:</b> IS DIRECTLY INVOLVED IN HELPING TEACHERS DESIGN CURRICULAR ACTIVITIES AND ADDRESS ASSESSMENT AND INSTRUCTIONAL ISSUES.					
E. <b>ORDER:</b> ESTABLISHES A SET OF STANDARD OPERATING PROCEDURES AND ROUTINES.					
F. <b>OUTREACH:</b> IS AN ADVOCATE AND SPOKESPERSON OF THE SCHOOL TO ALL STAKEHOLDERS.					
G. <b>RESOURCES:</b> PROVIDES TEACHERS WITH MATERIAL AND PROFESSIONAL DEVELOPMENT NECESSARY FOR THE EXECUTION OF THEIR JOBS.					
<b>OVERALL RATING FOR FOCUS ON LEADERSHIP</b>					

### COMMENTS:

### RECOMMENDED ACTIONS:

### RESOURCES NEEDED TO COMPLETE THESE ACTIONS:

### EVIDENCE OR DOCUMENTATION THAT MAY BE USED TO SUPPORT RATINGS:

- ☐ Principal Training
- ☐ University/School Associations
- ☐ Formal Evaluations
- ☐ New Program Adoptions
- ☐ Grade-Level Meeting Agendas
- ☐ Progress Toward Achieving Goals
- ☐ Student Handbook
- ☐ Safety Plan
- ☐ Budget Notebook
- ☐ Student Support Plan
- ☐ Recognition Events
- ☐ Staff Handbook
- ☐ Site Calendar
- ☐ Master Schedule
- ☐ Staff and Teacher Surveys
- ☐ Community Activities
- ☐ Student Achievement Meetings, Protocols, and Schedules
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_

**FRAMEWORK COMPONENT 3: PRINCIPAL RESPONSIBILITIES ASSOCIATED WITH PURPOSEFUL COMMUNITY**

ELEMENTS	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. <b>AFFIRMATION:</b> RECOGNIZES AND CELEBRATES SCHOOL ACCOMPLISHMENT AND ACKNOWLEDGES FAILURES.					
B. <b>COMMUNICATION:</b> ESTABLISHES STRONG LINES OF COMMUNICATION WITH TEACHERS AND AMONG STUDENTS.					
C. <b>CULTURE:</b> FOSTERS SHARED BELIEFS AND A SENSE OF COMMUNITY AND COOPERATION.					
D. <b>INPUT:</b> INVOLVES TEACHERS IN THE DESIGN AND IMPLEMENTATION OF IMPORTANT DECISIONS.					
E. <b>RELATIONSHIPS:</b> DEMONSTRATES AWARENESS OF THE PERSONAL ASPECTS OF TEACHERS AND STAFF.					
F. <b>SITUATIONAL AWARENESS:</b> IS AWARE OF THE DETAILS AND THE UNDERCURRENTS IN THE RUNNING OF THE SCHOOL AND USES THIS INFORMATION TO ADDRESS CURRENT AND POTENTIAL PROBLEMS.					
G. <b>VISIBILITY:</b> HAS QUALITY CONTACTS AND INTERACTIONS WITH TEACHERS AND STUDENTS.					
<b>OVERALL RATING FOR PURPOSEFUL COMMUNITY</b>					

**COMMENTS:****RECOMMENDED ACTIONS:****RESOURCES NEEDED TO COMPLETE THESE ACTIONS:****EVIDENCE OR DOCUMENTATION THAT MAY BE USED TO SUPPORT RATINGS:**

- ☐ School Vision and Mission Statements
- ☐ Progress Toward Achievement of Smart Goals
- ☐ Staff Conference Agendas and Minutes
- ☐ Staff Bulletins and Newsletters
- ☐ Team Meeting Agendas
- ☐ Teacher Survey Data
- ☐ Community Survey Data
- ☐ Identification and Use of Human and Fiscal Resources
- ☐ PTA/Principal's Newsletter
- ☐ Master Schedule
- ☐ PTA Calendar
- ☐ School Calendar
- ☐ ELL Support Schedule
- ☐ Faculty Meeting Agendas, Sign In Sheets, Minutes
- ☐ Clear Vision and Mission about Improving Student Achievement
- ☐ Student Achievement Data
- ☐ Student Attendance Data
- ☐ Teacher Attendance Data
- ☐ Graduation and Promotion Rates
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_

# PRINCIPAL SUMMARY GOAL-SETTING FORM

Name of Principal: \_\_\_\_\_ School: \_\_\_\_\_ School Year: \_\_\_\_\_

INSTRUCTIONS: This goal-setting form may be completed by the principal following the self-assessment process. The goals, as well as activities, outcomes and timeline, will be reviewed by the principal's supervisor. Each principal must establish one (1) goal related to the core responsibilities for principals and two (2) additional goals, for a total of at least three (3) goals. It is recommended that no more than five (5) goals be established for a single school year. It is not necessary for the principal to have a goal for each framework component.

FRAMEWORK COMPONENT	RESPONSIBILITIES	GOAL(S)	KEY ACTIVITIES/STRATEGIES (WHAT YOU NEED TO DO TO ACCOMPLISH THE GOAL)	OUTCOMES	TIMELINE FOR ACHIEVING GOAL	RESOURCES NEEDED
MANAGING CHANGE						
FOCUS OF LEADERSHIP						
PURPOSEFUL COMMUNITY						

Principal Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor Signature: \_\_\_\_\_ Date: \_\_\_\_\_



## MID-YEAR EVALUATION: PROGRESS TOWARD ACHIEVING GOALS

Name: \_\_\_\_\_ District: \_\_\_\_\_

School: \_\_\_\_\_ School Year: \_\_\_\_\_

Evaluator: \_\_\_\_\_ Title: \_\_\_\_\_

The evaluator determines whether the principal is making acceptable progress toward goal attainment within each leadership component. Mark this category as **(P)—progressing** or **(NP)—not progressing**.

GOAL	P	NP	NA*
Purposeful Community			
Managing Change			
Focus of Leadership			

\*na = No goal was established for this framework component.

Goal: \_\_\_\_\_

Revised Plan/Comment: \_\_\_\_\_

Goal: \_\_\_\_\_

Revised Plan/Comment: \_\_\_\_\_

Principal Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## APPENDIX A: GLOSSARY

1. **Affective States** — The level of anxiety or excitement generated by past experiences. The level of anxiety or excitement adds to individual's or organization's perceptions of self-capability or incompetence. Organizations with strong beliefs in group capability can tolerate pressure and crises and continue to function without debilitating consequences; indeed, such organizations learn to rise to the challenge when confronted with disruptive forces.
2. **Artifact** — A product resulting from a school leader's work. Lists of suggested artifacts are included at the end of each framework component on the rubric and on the Summary Evaluation Rating Form. These lists are not all-inclusive and should be considered as examples of items a principal may share with the evaluator.
3. **Collective Efficacy** — A shared perception or belief held by a group that they can organize and execute a course of action that makes a difference.
4. **Data** — Factual information used as the basis for reasoning, discussion, or planning.
5. **Fidelity of implementation** — The delivery of an intervention in the way in which it was designed to be delivered. Fidelity must also address the integrity with which screening and progress-monitoring procedures are completed and an explicit decision-making model is followed.
6. **Leverage** — Obtain an outcome greater than an individual's investment. An example of this would be for relatively small groups with common interests to exert their collective influence to exert immense political leverage.

In school settings, principals might leverage their knowledge by sharing it with others, therefore multiplying the amount of knowledge about a topic that is available in the school. For example, the knowledge a teacher learns from a principal does not leave the principal. Instead, that knowledge has effectively doubled because it now resides in both the principal and the teacher.

7. **Mastery Experience** — The perception that a specific performance task has been executed successfully. Mastery experience is the most powerful source of efficacy information. Successful experiences tend to raise efficacy beliefs, contributing to the expectation that performance will be proficient in the future.
8. **Performance Goals** — Goals for improvement in professional practice based on the self-assessment and/or supervisor recommendation.
9. **Performance Rating Scale** — The following rating scale will be used for evaluating school principals:
  - *Developing*: Principal demonstrated adequate growth toward achieving standard(s) during the period of performance, but did not demonstrate competence on standard(s) of performance.
  - *Proficient*: Principal demonstrated basic competence on standard(s) of performance.
  - *Accomplished*: Principal exceeded basic competence on standard(s) for performance most of the time.
  - *Distinguished*: Principal consistently and significantly exceeded basic competence on standards of performance.
  - *Not Demonstrated*: Principal did not demonstrate competence on or adequate growth toward achieving standard(s) of performance.

*Note: If the Not Demonstrated rating is used, the evaluator must comment about why it was used.*

10. **Research-based practice** — Education practice that is backed by rigorous evidence of effectiveness.
11. **Self-assessment** — Personal reflection about one's professional practice to identify strengths and areas for improvement conducted without input from others.
12. **Self-efficacy** — Future-oriented judgments that one is capable of performing in a certain manner to attain certain goals.
13. **Social Persuasion** — Encouragement or specific performance feedback from a supervisor or a colleague. Social persuasion is another means of strengthening a faculty's conviction that it has the capabilities to set and achieve goals. Where positive persuasions increase self-efficacy, negative persuasions decrease it. It is generally easier to decrease someone's self-efficacy than it is to increase it.
14. **Summary Evaluation Form** — A composite assessment of the school executive's performance based on the evaluation rubric and supporting evidence.
15. **Vicarious Experience** — Learning that occurs as a function of observing, retaining and, in the case of imitation learning, replicating novel behavior executed by others. It involves the process of learning to copy or model the action of another through observing another.



## **APPENDIX B: THE BALANCED LEADERSHIP FRAMEWORK®: CONNECTING VISION WITH ACTION**

by Tim Waters, Ed.D. & Greg Cameron, M.A.

### **McREL'S RESEARCH ON LEADERSHIP**

Between 1998 and 2003, McREL conducted three major quantitative studies on the effects of classroom, school, and leadership practices on student achievement. The first reported on nine clusters of research-based instructional strategies with statistically significant effects on student achievement (Marzano, 1998; Marzano, Gaddy, & Dean, 2000). McREL described these strategies in the 2001 ASCD publication, *Classroom Instruction that Works*. The second study reported on school practices, also with statistically significant effects on student achievement (Marzano, 2000; 2003).

### **THE META-ANALYSIS**

These two studies set the stage for McREL's meta-analysis of school-level leadership and its effects on student achievement (Waters, Marzano, & McNulty, 2003). This analysis began in 2001 with the review of more than 5,000 studies that purported to have examined the effects of principal leadership on student achievement. From these 5,000 studies, 69 were selected based on the quality of their design, rigor, reliability and relevance of data to the questions McREL was attempting to answer about school-level leadership. In all cases, the studies shared four characteristics:

- The dependent variable in each study was student achievement.
- The independent variable in each study was leadership.
- Student achievement measures were all quantitative and standardized.
- Measures of school-level leadership were all quantitative and standardized.

The 69 studies included more than 14,000 teacher ratings of principal leadership for 2,802 principals. Ratings of principal leadership were correlated with more than 1.4 million student achievement scores. To our knowledge, this is the largest-ever sample for conducting this type of analysis. The findings, conclusions, and technical notes from this meta-analysis have been published in *School Leadership that Works: From Research to Results* (Marzano, Waters, & McNulty, 2005).

The purpose of any meta-analysis is to determine relationships between dependent and independent variables. McREL's meta-analysis of research on school leaders examined the relationship between student achievement and school-level leadership. It produced three major findings.

First, we found a statistically significant correlation between school-level leadership and student achievement of .25, which translates to a one standard deviation increase in principal leadership behavior corresponding with a 10 percentile point difference in student achievement on a norm referenced test. No longer is there a question about the effect of leadership on student achievement. Clearly, leadership makes a difference.

Second, we identified 21 leadership responsibilities with statistically significant correlations to student achievement and 66 practices or behaviors for fulfilling these responsibilities. With this finding, the concept of "instructional leadership" is no longer an abstraction or left only to theory. As shown in Exhibit 1, we now have a well-defined set of research-based leadership responsibilities and associated practices correlated with student achievement.

EXHIBIT 1: PRINCIPAL LEADERSHIP RESPONSIBILITIES &amp; PRACTICES

RESPONSIBILITIES (EXTENT TO WHICH THE PRINCIPAL ...)	ASSOCIATED PRACTICES
<b>Culture:</b> Fosters shared beliefs and a sense of community and cooperation.	<ul style="list-style-type: none"> <li>Promotes cooperation among staff</li> <li>Promotes a sense of well-being</li> <li>Promotes cohesion among staff</li> <li>Develops an understanding of purpose</li> <li>Develops a shared vision of what the school could be like</li> </ul>
<b>Order:</b> Establishes a set of standard operating procedures and routines.	<ul style="list-style-type: none"> <li>Provides and enforces clear structure, rules, and procedures for students</li> <li>Provides and enforces clear structures, rules, and procedures for staff</li> <li>Establishes routines regarding the running of the school that staff understand and follow</li> </ul>
<b>Discipline:</b> Protects teachers from issues and influences that would detract from their teaching time or focus.	<ul style="list-style-type: none"> <li>Protects instructional time from interruptions</li> <li>Protects/shelters teachers from distractions</li> </ul>
<b>Resources:</b> Provides teachers with materials and professional development necessary for the successful execution of their jobs.	<ul style="list-style-type: none"> <li>Ensures teachers have necessary materials and equipment</li> <li>Ensures teachers have necessary staff development opportunities that directly enhance their teaching</li> </ul>
<b>Involvement in curriculum, instruction, and assessment:</b> Is directly involved in the design and implementation of curriculum, instruction, and assessment practices.	<ul style="list-style-type: none"> <li>Is involved in helping teachers design curricular activities</li> <li>Is involved with teachers to address instructional issues in their classrooms</li> <li>Is involved with teachers to address assessment issues</li> </ul>
<b>Focus:</b> Establishes clear goals and keeps those goals in the forefront of the school's attention.	<ul style="list-style-type: none"> <li>Establishes high, concrete goals and expectations that all students meet them</li> <li>Establishes concrete goals for all curriculum, instruction, and assessment</li> <li>Establishes concrete goals for the general functioning of the school</li> <li>Continually keeps attention on established goals</li> </ul>
<b>Knowledge of curriculum, instruction, and assessment:</b> Is knowledgeable about current curriculum, instruction, and assessment practices.	<ul style="list-style-type: none"> <li>Is knowledgeable about instructional practices</li> <li>Is knowledgeable about assessment practices</li> <li>Provides conceptual guidance for teachers regarding effective classroom practice</li> </ul>
<b>Visibility:</b> Has quality contact and interactions with teachers and students.	<ul style="list-style-type: none"> <li>Makes systematic frequent visits to classrooms</li> <li>Maintains high visibility around the school</li> <li>Has frequent contact with students</li> </ul>
<b>Contingent rewards:</b> Recognizes and rewards individual accomplishments.	<ul style="list-style-type: none"> <li>Recognizes individuals who excel</li> <li>Uses performance versus seniority as the primary criterion for reward and advancement</li> <li>Uses hard work and results as the basis for reward and recognition</li> </ul>



RESPONSIBILITIES (EXTENT TO WHICH THE PRINCIPAL ...)	ASSOCIATED PRACTICES
<b>Communication:</b> Establishes strong lines of communication with teachers and among students.	<ul style="list-style-type: none"> <li>• Is easily accessible to teachers</li> <li>• Develops effective means for teachers to communicate with one another</li> <li>• Maintains open and effective lines of communication with staff</li> </ul>
<b>Outreach:</b> Is an advocate and spokesperson for the school to all stakeholders.	<ul style="list-style-type: none"> <li>• Assures the school is in compliance with district and state mandates</li> <li>• Advocates on behalf of the school in the community</li> <li>• Advocates for the school with parents</li> <li>• Ensures the central office is aware of the school's accomplishments</li> </ul>
<b>Input:</b> Involves teachers in the design and implementation of important decisions and policies.	<ul style="list-style-type: none"> <li>• Provides opportunity for input on all important decisions</li> <li>• Provides opportunities for staff to be involved in developing school policies</li> <li>• Uses leadership team in decision making</li> </ul>
<b>Affirmation:</b> Recognizes and celebrates school accomplishments and acknowledges failures.	<ul style="list-style-type: none"> <li>• Systematically and fairly recognizes and celebrates accomplishments of teachers</li> <li>• Systematically and fairly recognizes and celebrates accomplishments of students</li> <li>• Systematically acknowledges failures and celebrates accomplishments of the school</li> </ul>
<b>Relationship:</b> Demonstrates an awareness of the personal aspects of teachers and staff.	<ul style="list-style-type: none"> <li>• Remains aware of personal needs of teachers</li> <li>• Maintains personal relationships with teachers</li> <li>• Is informed about significant personal issues within the lives of staff members</li> <li>• Acknowledges significant events in the lives of staff members</li> </ul>
<b>Change agent:</b> Is willing to and actively challenges the status quo.	<ul style="list-style-type: none"> <li>• Consciously challenges the status quo</li> <li>• Is comfortable with leading change initiatives with uncertain outcomes</li> <li>• Systematically considers new and better ways of doing things</li> </ul>
<b>Optimize:</b> Inspires and leads new and challenging innovations.	<ul style="list-style-type: none"> <li>• Inspires teachers to accomplish things that might seem beyond their grasp</li> <li>• Portrays a positive attitude about the ability of the staff to accomplish substantial things</li> <li>• Is a driving force behind major initiatives</li> </ul>
<b>Ideals/beliefs:</b> Communicates and operates from strong ideals and beliefs about schooling.	<ul style="list-style-type: none"> <li>• Holds strong professional beliefs about schools, teaching, and learning</li> <li>• Shares beliefs about schools, teaching, and learning with the staff</li> <li>• Demonstrates behaviors that are consistent with beliefs</li> </ul>
<b>Monitors/evaluates:</b> Monitors the effectiveness of school practices and their impact on student learning.	<ul style="list-style-type: none"> <li>• Monitors and evaluates the effectiveness of curriculum, instruction, and assessment</li> </ul>

RESPONSIBILITIES (EXTENT TO WHICH THE PRINCIPAL ...)	ASSOCIATED PRACTICES
<b>Flexibility:</b> Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.	<ul style="list-style-type: none"> <li>• Is comfortable with major changes in how things are done</li> <li>• Encourages people to express opinions contrary to those with authority</li> <li>• Adapts leadership style to needs of specific situations</li> <li>• Can be directive or non-directive as the situation warrants</li> </ul>
<b>Situational awareness:</b> Is aware of the details and undercurrents in the running of the school and uses this information to address current and potential problems.	<ul style="list-style-type: none"> <li>• Is aware of informal groups and relationships among staff of the school</li> <li>• Is aware of issues in the school that have not surfaced but could create discord</li> <li>• Can predict what could go wrong from day to day</li> </ul>
<b>Intellectual stimulation:</b> Ensures faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture.	<ul style="list-style-type: none"> <li>• Keeps informed about current research and theory regarding effective schooling</li> <li>• Continually exposes the staff to cutting-edge ideas about how to be effective</li> <li>• Systematically engages staff in discussions about current research and theory</li> <li>• Continually involves the staff in reading articles and books about effective practices</li> </ul>

The third finding in the meta-analysis was somewhat surprising. In spite of finding the average effect of student achievement correlated at .25, this study also found that not all strong leaders have a positive impact on student achievement. There were a number of studies in which principals were rated by teachers as strong leaders in schools with below average achievement.

While there are many possible explanations for this third finding, described as "the differential impact of leadership," two emerged as most plausible to the researchers. First, the effect of strong leadership could be mitigated if a principal is focused (and focuses the school) on practices that are not likely to impact student achievement. There are many practices and activities on which a principal can focus the attention, energy, talent, and other assets of a school. Not all of them have the potential to positively influence student achievement. They may be important in the running of a school, but not essential for improving achievement.

Accordingly, the researchers concluded that one possible explanation of the differential impact of leadership is the *focus* of leadership. Focused on the "right" classroom and school practices, leaders can have a powerful positive effect. Focused on practices unlikely to make a difference, a strong (but ineffective) leader can have a minimal or even negative effect on student performance.

The second explanation for the differential impact of leadership is the *order of magnitude* of change implied by the principal's improvement efforts. Simply stated, even when principals focus on the right classroom and school practices, they must understand the implications these changes have for stakeholders and adjust their leadership behaviors accordingly.

Experts in the field of leadership, change, and the adoption of new ideas, including Heifetz, Fullan, Beckard, Pritchard, Hesselbein, Johnson, Kanter, Bridges, Rogers, Nadler, Shaw, and Walton, make the case that not all change is of the same magnitude. Some changes have greater implications than others for stakeholders. Although there are a variety of labels given to differing magnitudes of change (technical vs. adaptive challenges, incremental vs. fundamental, continuous vs. discontinuous), we use the terms "first-order" and "second-order" change to make this distinction. Exhibit 7 in a later section of this document describes these distinctions in greater detail.

Failing to understand these implications and manage them can result in a good idea—even one that is focused on the right school or classroom practices—being poorly implemented. As a result, even the best laid plans can have a minimal, if not detrimental, impact on student performance.

## THE FACTOR ANALYSIS

Following the meta-analysis, McREL researchers conducted a factor analysis. The purpose of a factor analysis is to reveal inter-correlations among independent variables and underlying “factor” structures that might not be easily recognized by researchers, but that could substantially enhance understanding of the independent variables.

Thus, the first purpose in conducting the factor analysis was to determine if there were inter-correlations among the 21 leadership responsibilities identified in the meta-analysis. For example, it was anticipated that the leadership responsibilities of *Relationships*, *Communication*, and *Culture* might be inter-related to the degree that the number of responsibilities could be reduced to a more manageable set. The second purpose was to test the hypothesis that the “differential impact of leadership” might be related to a leader’s understanding of their leadership initiatives as first- and second-order change for staff and the shareholders.

To conduct this analysis, McREL collected data from more than 700 principals using a 92-item McREL online survey, which was designed to measure principals’ behaviors in terms of the 21 responsibilities as well as the extent to which the school was involved in first-order change or second-order change.

The researchers were surprised by the results of this analysis. First, they did *not* find sufficient inter-correlations among the 21 responsibilities to warrant eliminating or combining any of them. They found that each responsibility is distinct enough to include it in our set of 21 responsibilities. This finding indicates strong construct validity in the results of the meta-analysis.

Second, they found an empirical relationship between the 21 leadership responsibilities and change. That is, principals reported varying their emphasis of the 21 responsibilities based on their estimates of the order of magnitude of change associated with improvement initiatives. Specifically, we found that all 21 responsibilities were *positively* correlated with first-order change. This finding indicates that principals appear to evenly balance their emphasis of all 21 responsibilities when leading change perceived as routine or first-order.

The researchers were most surprised, however, by the second factor that emerged in this analysis: second-order change. Eleven of the leadership responsibilities correlated at a level of statistical significance with second-order change. As shown in Exhibit 2, seven were *positively* correlated with second-order change, and four were negatively correlated with second-order change.

EXHIBIT 2: RESPONSIBILITIES CORRELATED WITH SECOND-ORDER CHANGE

POSITIVELY CORRELATED	NEGATIVELY CORRELATED
<ul style="list-style-type: none"> <li>• Knowledge of Curriculum, Instruction, and Assessment</li> <li>• Flexibility</li> <li>• Change Agent</li> <li>• Ideals and Beliefs</li> <li>• Monitor and Evaluate</li> <li>• Intellectual Stimulation</li> <li>• Optimize</li> </ul>	<ul style="list-style-type: none"> <li>• Culture</li> <li>• Communication</li> <li>• Input</li> <li>• Order</li> </ul>

This finding suggests that when leading second-order changes, principals emphasize the seven responsibilities in the left-hand column of Exhibit 2 while struggling to effectively fulfill the four responsibilities in the right-hand column.

This is *not* to suggest that these four responsibilities have a *negative* impact on second-order change. Indeed, fulfilling these responsibilities effectively will likely increase the prospects for successful implementation of second-order change initiatives.

Nor does this finding suggest that principals are not working hard to fulfill these responsibilities effectively. Rather, we think of this finding as the “unintended negative consequence” of second-order change.

Michael Fullan (2001) and others have written about “implementation dip” associated with second-order change. Declines in performance in schools (and other organizations) when struggling to implement changes requiring new knowledge and skills, that challenge prevailing norms, or conflict with personal values are well documented. The implementation dip is the experience of things getting worse before they get better.

McREL's factor analysis offers some empirical validation of the implementation dip. It suggests that when schools undertake an initiative with second-order implications for most stakeholders, teachers may feel there is less cohesion and more fragmentation in the school and less clarity regarding the school's vision (*culture*). They may also feel like the principal is less accessible and less willing to listen to their concerns (*communication*). Furthermore, they may feel like they have less influence on the day-to-day functions and direction of the school (*input*). Finally, they may feel like patterns of behavior, communication, and decision making are no longer predictable (*order*).

As stated earlier, this finding does not imply that principals are not attending to these responsibilities. Rather, it suggests that it is difficult to fulfill these four responsibilities effectively when leading changes with second-order implications for stakeholders—especially when they are heavily emphasizing the six responsibilities positively correlated with second-order change. This is what we mean by the “unintended negative consequence” of second-order change—the possibility that teachers' perceptions of a principal's effectiveness in these areas of responsibility will be negatively affected *by* second-order change.

We encourage principals to consider sharing leadership of the four negatively correlated responsibilities with others—members of their leadership team or staff members—when leading initiatives they estimate as second-order change for the majority of their staff. While emphasizing the seven responsibilities positively correlated with second-order change, a principal should consider asking others to attend to the responsibilities of Culture, Communication, Order, and Input.

## THE BALANCED LEADERSHIP FRAMEWORK

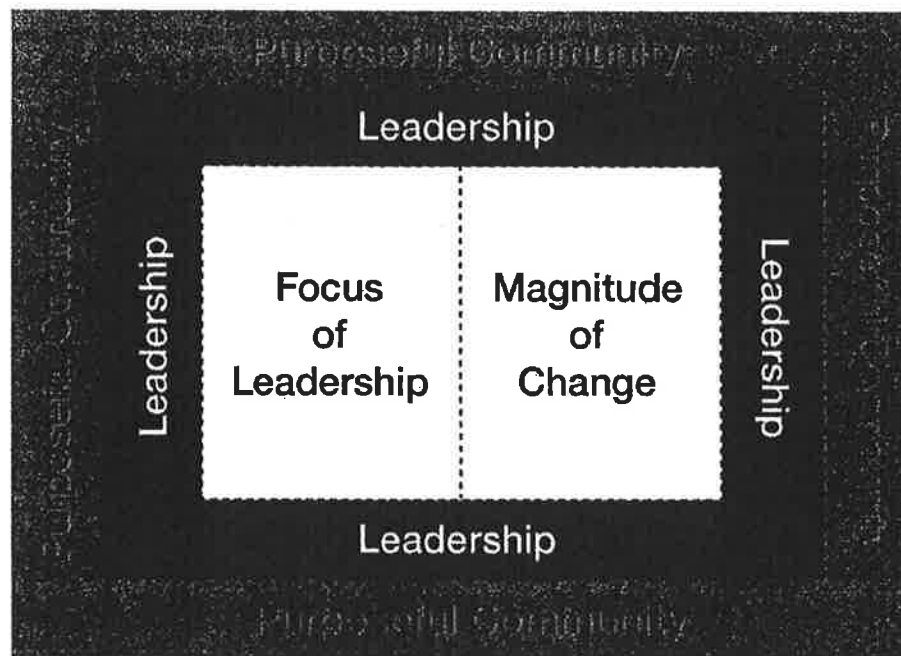
McREL developed the Balanced Leadership Framework because we understood the difficulty of keeping 21 leadership responsibilities and 66 practices in mind. We also wanted to connect our research findings to existing research-based knowledge on change management, diffusion theory, collective efficacy, institutional theory, living systems theory, community development, asset utilization, and school improvement. The result of this effort is the Balanced Leadership Framework (see Exhibit 3), which groups the 21 responsibilities into an organizing structure: Leadership, Focus, Magnitude of Change, and Purposeful Community.

We believe this Framework, which serves as the foundation for our Balanced Leadership professional development program, not only organizes the myriad of responsibilities of school leaders, but also, and perhaps more importantly, helps them connect their vision for their schools with a plan of action.

## LEADERSHIP

Leadership is the foundation component in the Framework. We place it within the Framework strategically as the interface among Focus, Magnitude, and Purposeful Community. It is our view that leaders are continually engaged in focusing the work of the school, leading change with varying orders or magnitude, and developing purposeful community both within the school and in the larger community. The dotted lines between leadership and the other three Framework components are intended to reflect permeable, rather than hardened or rigid, boundaries between leadership and school and classroom practices, students, change, and the community.

EXHIBIT 3: McREL'S BALANCED LEADERSHIP FRAMEWORK



The Framework also provides guidance to principals as they fulfill the 21 leadership responsibilities. Focusing the work of the school, leading change, and developing purposeful communities is what effective principals do. Skillfully emphasizing the 21 leadership responsibilities is how they do it.

To guide the use of these findings, we have placed combinations of the 21 responsibilities in the three Framework components, as shown in Exhibit 4. The following sections describe each of these components in detail, including what one might expect to observe as a principal emphasizes responsibilities to focus his or her school, lead change, and develop purposeful community.

It should be noted that principals fulfill multiple responsibilities simultaneously. Our primary placement of the responsibilities and how they are fulfilled is intended as the beginning of this application, not the last word on when, why, and how these findings should be applied.

EXHIBIT 4: PRIMARY PLACEMENT OF LEADERSHIP RESPONSIBILITIES IN FRAMEWORK

PURPOSEFUL COMMUNITY	FOCUS	MAGNITUDE
<ul style="list-style-type: none"> <li>Affirmation</li> <li>Communication</li> <li>Culture</li> <li>Ideals/beliefs</li> <li>Input</li> <li>Relationships</li> <li>Situational awareness</li> <li>Visibility</li> </ul>	<ul style="list-style-type: none"> <li>Contingent rewards</li> <li>Discipline</li> <li>Involvement in curriculum, instruction, and assessment</li> <li>Focus</li> <li>Order</li> <li>Outreach</li> <li>Resources</li> </ul>	<ul style="list-style-type: none"> <li>Change agent</li> <li>Flexibility</li> <li>Ideals/beliefs*</li> <li>Intellectual stimulation</li> <li>Knowledge of curriculum, instruction, and assessment</li> <li>Monitor/evaluate</li> <li>Optimize</li> </ul>

\*All 21 leadership responsibilities are divided among the three components of the Framework. However, the *Ideals/beliefs* responsibility appears in two components: Purposeful Community and Magnitude of Change. Although McREL's factor analysis identified it as one of the seven leadership responsibilities positively associated with second-order change, it is also included in Purposeful Community due to its importance in building collective efficacy.

### WHY "BALANCED" LEADERSHIP?

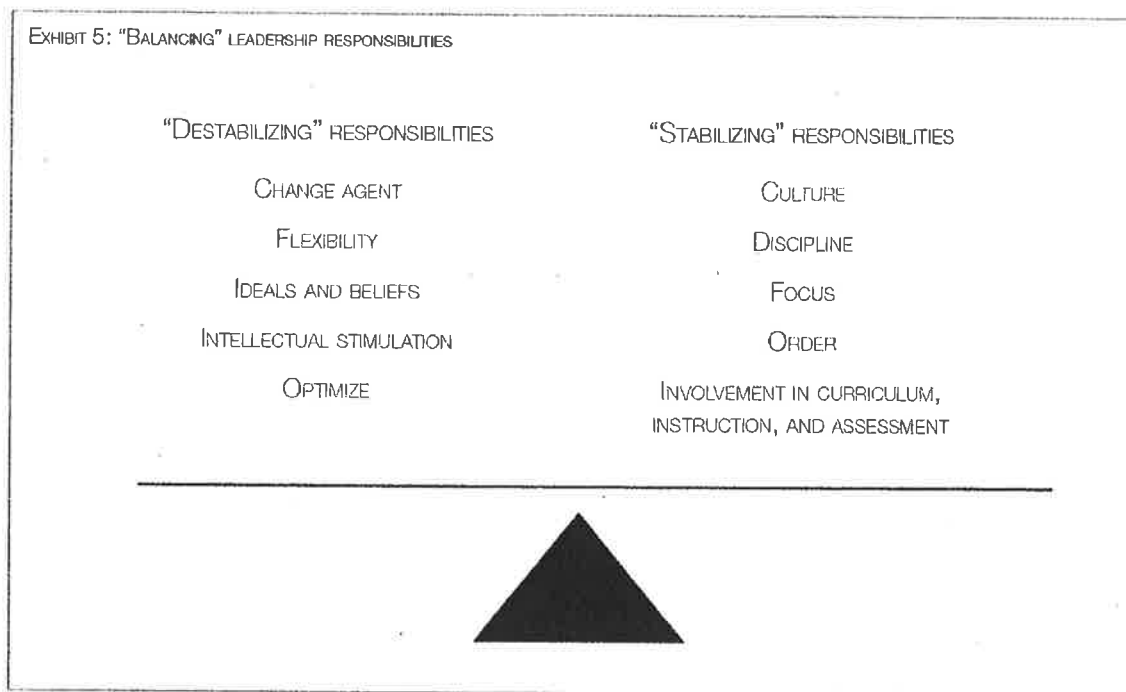
These studies were initially published as *Balanced Leadership: What 30 Years of Research Tells Us about the Effect of Leadership on Student Achievement* (Waters, Marzano, and McNulty, 2003). The notion of "balanced leadership" as the concept for presenting this work emerged from the observations of McREL's research team as they reflected on the research findings through the lens of decades of combined experience working with and in schools.

Principals are asked to fulfill many and varied responsibilities that are important in running a school. Not all of them, however, are *essential* to improving student achievement. For example, maintaining facilities, managing budgets, complying with regulations, and arranging transportation are all important aspects of running a school, but not *essential* to creating higher levels of student achievement. Thus, we hope our research findings can help principals balance their time and efforts in fulfilling *important* and *essential* responsibilities.

In addition, we observed something of a paradox in the 21 responsibilities identified through the meta-analysis. Some of the responsibilities have the effect of stabilizing or "normalizing" patterns of organizational and personal behavior. For example, emphasizing the responsibilities of *culture*, *discipline*, *focus*, *order*, and *involvement in curriculum, instruction, and assessment* reinforce the status quo of routines, procedures, and practices.

At the same time, as depicted in Exhibit 5, many other responsibilities tend to have the effect of *de*-stabilizing or challenging "normal" organizational and individual behavior patterns. Most notably, the responsibilities of *change agent*, *flexibility*, *ideals and beliefs*, *intellectual stimulation*, and *optimize*, are likely to disrupt routines, procedures, and practices.

Balancing when and how to maintain the status quo with when and how to challenge it is often the difference between effective and ineffective leadership. Highly successful principals strike an appropriate balance between answering questions with asking them, between stepping up and taking charge with stepping back and letting others lead, between pushing people and systems with supporting them, and between speaking and listening.



In summary, we hope that these research findings and this Framework help practitioners balance their emphasis of destabilizing or "challenge" responsibilities with stabilizing or "maintenance" responsibilities.

### FOCUS OF LEADERSHIP

We have already summarized McREL's finding of the strong positive general effect of principal leadership on student achievement. Yet several of the 69 studies included in the meta-analysis reported a negative correlation between leadership and student achievement.

This variance was described as the "differential impact" of leadership. We have also presented what we view as the most plausible explanation for this finding: the *focus* of a leader's improvement initiatives and the magnitude of *change* associated with these improvement initiatives. Accordingly, focus and change are two of the components in the Framework.

Following are examples of how the focus of a strong principal's improvement initiatives could have a differential impact on student achievement.

- A principal might focus attention on improving school practices and classroom practices that are already well developed and effectively implemented. As a result, focusing on these practices is not likely to produce measurable impact on student and school performance. This might be thought of as putting new spark plugs into an automobile that is already running well. It doesn't hurt, but it doesn't help because it's not what's needed.
- A principal might focus attention on school and classroom practices for which the staff lacks the knowledge and skills to implement effectively. This would result in marginal implementation. For research-based classroom and school practices to improve achievement, they must be implemented with quality, fidelity, consistency, and intensity. Marginal, inconsistent, or unskillful implementation is not likely to produce desired results. This might be thought of as providing spark plugs to someone to install in a poorly running automobile without instructions for installing them. Providing the right parts and tools for improving performance without the knowledge to use them correctly will not produce needed improvements.

- A principal might focus his or her school on practices with weak relationships to student achievement. This might be akin to putting new seat covers in a car that is backfiring or stalling. Superficial or trendy changes that neglect the real problem will not result in better performance.

Based on this explanation of the "differential impact" of leadership, we suggest that school-level leaders strengthen their knowledge and use of research on the school and classroom practices with the largest effect sizes or predictable influence on student achievement.

McREL's ongoing examination of the past 30 years of research on effective schools and classrooms has been reported in several Association for Supervision and Curriculum Development (ASCD) publications, including *Transforming Classroom Grading* (Marzano, 2000), *Classroom Instruction that Works* (Marzano, Pickering, & Pollock, 2001), *What Works in Schools* (Marzano, 2002), and *Classroom Strategies for Helping At-Risk Students* (Snow, 2003). Additional research and insights into effective schools and classrooms have been captured in the McREL reports, *The Effectiveness of Out-of-School-Time Strategies in Assisting Low-Achieving Students in Reading and Mathematics: A Research Synthesis* (Lauer, et al., 2004), *Noteworthy Perspectives: Success In Sight* (Dean, Galvin & Parsley, 2005), and *McREL Insights: Schools that Beat the Odds* (2005).

While we do not claim that these analyses represent all that there is to know from the research on school and classroom practices, we believe they are as good a collection as any available to help principals focus their schools on the "right" things to do. For example, a principal might ensure that his or her school has a "guaranteed and viable curriculum" or that teachers are using the nine strategies presented in *Classroom Instruction that Works*. Exhibit 6 demonstrates how principals can use seven key leadership responsibilities to focus their schools on research-based classroom and school practices that have statistically significant effects on student achievement.

EXHIBIT 6: LEADERSHIP RESPONSIBILITIES USED TO FOCUS SCHOOLS ON RESEARCH-BASED PRACTICES

RESPONSIBILITIES	CLASSROOM & SCHOOL PRACTICES
<b>Resources:</b> Provides teachers with the materials and professional development necessary for the successful execution of their jobs.	Research-based instructional strategies, classroom management, and curriculum design are the primary focus of school improvement. Ongoing professional development is provided to enhance teachers' use of research-based instructional strategies, curriculum design, and classroom management practices.
<b>Involvement in curriculum, instruction, and assessment:</b> Is directly involved in the design and implementation of curriculum, instruction, and assessment practices.	There is agreement on a "guaranteed and viable" curriculum, i.e., essential content, knowledge, and skills that all students are expected to learn. There is adequate time for students to learn essential knowledge and skills. Instruction and assessment are aligned with essential knowledge and skills. All classes teach the vocabulary students will need to succeed on assessments. Attention remains focused on the goals for learning the essential curriculum regardless of distractions that may arise during a year.
<b>Focus:</b> Establishes clear goals and keeps those goals in the forefront of the school's attention.	Challenging goals are set for the school as a whole as well as for individual teachers and students. Concrete performance targets are set for the school as well as for students and teachers. Students and teachers are expected to meet performance targets. Teachers and students have easy access to meaningful formative data on their performance. Performance is reported in relation to goals and performance targets.





RESPONSIBILITIES	CLASSROOM & SCHOOL PRACTICES
<b>Outreach:</b> Is an advocate and spokesperson for the school with all stakeholders.	Parents and community are involved—parents are invited and genuinely encouraged to become involved in the school. Parents are involved as classroom aides, monitor school activities, and are used as expert resources in classrooms. Parents are included in school-level governance processes and decisions when appropriate.
<b>Order:</b> Establishes a set of standard operating procedures and routines.  <b>Discipline:</b> Protects teachers from issues and influences that would detract from their teaching time or focus.	There is a safe and orderly environment—students and teachers know and understand expected behaviors. Consequences are clear, fair, and consistently applied. Time for teaching and learning is protected from external distractions.
<b>Contingent rewards:</b> Recognizes and rewards individual accomplishments.	There is a high level of collegiality and professionalism—norms and standards for professional conduct are formalized and modeled by teachers and staff. Effort and quality performance are the bases for recognition.

## MAGNITUDE OF CHANGE

Our second explanation for the differential impact of leadership is based on our understanding of the nature of change, the implications of change, the change process, and the leadership of change. We have asserted that strong leaders, even when focusing their change initiatives on the right school and classroom practices, can have a negative impact on achievement if they fail to understand the implications for stakeholders. This assertion is the underlying basis for the *change* component of our Framework.

McREL's earlier work describes the characteristics of change that will be perceived as either first-order or second-order based on the implications of change for community members. It is important to note that the terms first-order and second-order have less to do with the actual change initiatives themselves and more to do with the *implications* of change for individuals expected to carry out the change effort.

In other words, like beauty, magnitude of change lies in the eye of the beholder. As described in Exhibit 7, whether stakeholders perceive a change as first-order or second-order has less to do with the change itself than it does with their own knowledge, experience, values, and flexibility. As a result, few changes are of the same magnitude for *all* stakeholders. Indeed, the same change can be perceived as a first-order change for some stakeholders and a second-order change for others.

EXHIBIT 7: COMPARISON OF FIRST-ORDER CHANGE & SECOND-ORDER CHANGE

FIRST-ORDER CHANGE WHEN A CHANGE IS PERCEIVED AS:	SECOND-ORDER CHANGE WHEN A CHANGE IS PERCEIVED AS:
An extension of the past	A break with the past
Within existing paradigms	Outside of existing paradigms
Consistent with prevailing values and norms	Conflicted with prevailing values and norms
Implemented with existing knowledge & skills	Requiring new knowledge & skills to implement



### EXAMPLES OF FIRST- AND SECOND-ORDER CHANGES

An example of a change that most teachers might view as first-order is teaching the vocabulary students must understand to perform well in their school's assessment and accountability program. Teaching vocabulary that appears in the essential curriculum and in assessment instruments makes sense to most teachers. It is consistent with their prior experience, an incremental step that builds on the existing knowledge of pedagogy, and is consistent with their personal values and the perceived norms of their school and district. However, this is not true for all teachers. For some, vocabulary instruction can be a second-order change, one that is not consistent with their prior experience, conflicts with their personal values and the prevailing norms of their school or district, or requires them to gain new knowledge and skills. As a result, even a seemingly simple effort to encourage direct teaching of vocabulary can have second-order implications for some stakeholders.

Consider a second example: implementing a system of standards-based record keeping, grading, and reporting. This initiative asks teachers to base their assessment of student performance on the standards or benchmarks adopted for their grade level or course of study. In other words, teachers now calculate grades based on students' demonstrated learning at the end of a grading period, rather than averaging performance from the beginning to the end of the grading period. Grades reflect how students perform against a rubric tied to each benchmark and report cards reflect student performance against those rubrics. In such a standards-based grading system, poor performance might earn no grade, based on the premise that "if the work does not meet a high standard, it isn't finished." Conversely, meeting high standards results in good grades. As a result, there is no "bell curve" and, thus, it becomes possible for all students to earn good grades.

In most schools and districts, this approach to grading would represent a second-order change for the majority of stakeholders. However, some teachers and principals might view this change as a logical next step to their work with standards and benchmarks, consistent with their personal values, and in step with school and district policy development. For these educators, this initiative would simply be a first-order change.

In order to avoid the "differential impact of leadership," principals must understand and accurately estimate the order of magnitude of their improvement initiatives for all stakeholders. Moreover, they must also understand the change process—that is, they must understand which leadership responsibilities to emphasize and *how* to emphasize them when working with stakeholders for whom the change may have different implications.

### LEADING CHANGE

In light of rising global competition, the universal call for higher levels of student achievement, and increasingly rigorous systems of accountability, schools are confronted with the need to make dramatic changes in the ways they operate. Research-based practices, when successfully implemented, are generally viewed as good for teachers, good for principals, and good for students. However, even the most well-documented, well-defined, and powerful research-based practices, can be met with resistance—especially when they require new knowledge, new relationships, and new procedures for those expected to implement them.

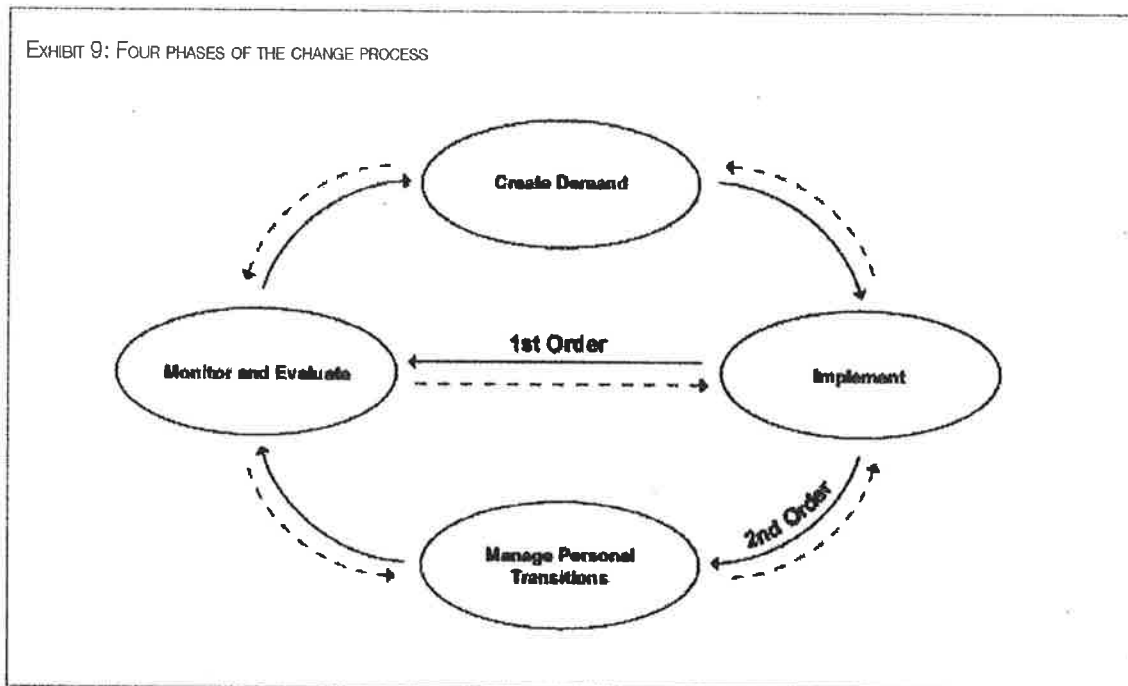
In this section, we describe phases of the change process and the leadership responsibilities that must be fulfilled to effectively lead second-order changes (see Exhibit 8). The results of the factor analysis described earlier provide important new information for principals leading second-order change. In many ways, these data confirm what seasoned school and district leaders already understand: that leading change initiatives with major implications for stakeholders can be a high-stakes proposition, and fulfilling key responsibilities exceptionally well is both difficult and imperative.

EXHIBIT 8: RESPONSIBILITIES POSITIVELY CORRELATED WITH SECOND-ORDER CHANGE

RESPONSIBILITIES (THE EXTENT TO WHICH THE PRINCIPAL...)	ASSOCIATED PRACTICES
<b>Ideal/beliefs:</b> Communicates and operates from strong ideals and beliefs about schooling.	<ul style="list-style-type: none"> <li>• Holds strong professional beliefs about schools, teaching, and learning</li> <li>• Shares beliefs about schools, teaching, and learning with the staff</li> <li>• Demonstrates behaviors that are consistent with beliefs</li> </ul>
<b>Optimize:</b> Inspires and leads new and challenging innovations.	<ul style="list-style-type: none"> <li>• Inspires teachers to accomplish things that might seem beyond their grasp</li> <li>• Portrays a positive attitude about the ability of the staff to accomplish substantial things</li> <li>• Is a driving force behind major initiatives</li> </ul>
<b>Flexibility:</b> Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.	<ul style="list-style-type: none"> <li>• Is comfortable with major changes in how things are done</li> <li>• Encourages people to express opinions contrary to those with authority</li> <li>• Adapts leadership style to needs of specific situations</li> <li>• Can be directive or non-directive as the situation warrants</li> </ul>
<b>Knowledge of curriculum, instruction, and assessment:</b> Is knowledgeable about current curriculum, instruction, and assessment practices.	<ul style="list-style-type: none"> <li>• Is knowledgeable about instructional practices</li> <li>• Is knowledgeable about assessment practices</li> <li>• Provides conceptual guidance for teachers regarding effective classroom practice</li> </ul>
<b>Intellectual stimulation:</b> Ensures faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture.	<ul style="list-style-type: none"> <li>• Keeps informed about current research and theory regarding effective schooling</li> <li>• Continually exposes the staff to cutting-edge ideas about how to be effective</li> <li>• Systematically engages staff in discussions about current research and theory</li> <li>• Continually involves the staff in reading articles and books about effective practices</li> </ul>
<b>Change agent:</b> Is willing to and actively challenges the status quo.	<ul style="list-style-type: none"> <li>• Consciously challenges the status quo</li> <li>• Is comfortable with leading change initiatives with uncertain outcomes</li> <li>• Systematically considers new and better ways of doing things</li> </ul>
<b>Monitor and evaluate:</b> Monitors the effectiveness of school practices and their impact on student learning.	<ul style="list-style-type: none"> <li>• Monitors and evaluates the effectiveness of curriculum, instruction, and assessment</li> </ul>

### PHASES OF CHANGE

Effective change leadership requires a deep understanding of the change process, which is complex, non-linear, and recursive. This makes it difficult for leaders to have a clear understanding of where they are in the process. In an effort to support a leader's understanding of the change process, Exhibit 9 presents a simplified diagram illustrating McREL's theory of change, composed of four phases: *Create Demand*, *Implement*, *Manage Personal Transitions*, and *Monitor and Evaluate*.



There are several important characteristics of the process of change illustrated in this figure. First, they are highly inter-dependent. For example, successful implementation requires effective management of personal transitions, which is based on close monitoring of the implementation of a change. Monitoring and evaluating the quality, fidelity, consistency, and intensity of implementation may increase or decrease demand for change.

Second, the phases of change are not sequential; they are recursive. For example, at the implementation phase, it is likely that leaders continue to create demand as a means to revitalize change initiatives that are losing ground.

Third, the change process is substantially different for change perceived as first-order from change perceived as second-order. For example, as shown in the exhibit, the phase "Manage Personal Transitions" is related only to change perceived as second-order. Because first-order change is perceived as an extension of the past and consistent with stakeholders' accepted ways of doing things, leaders do not typically need to manage the personal transitions that accompany change perceived as first-order.

However, because the change process is dynamic and complex, it is possible that for a change perceived as first-order for most members of an organization there may be some stakeholders for whom change will be second-order. This means that leaders must be highly attuned to their staff, their organization, their community, the magnitude of change implied by their improvement initiatives, and the phases of change.

## CREATE DEMAND

Little change occurs in an organization or community that is satisfied with the status quo. If a change is to be initiated, it is generally the result of one of two possibilities. The first is the emergence of a shared vision that challenges the current reality. In this case, the vision is attractive and compelling enough that individuals or groups are willing to accept changes required to realize the vision, in spite of risk and discomfort that might be associated with it.

The second possibility is that the current reality is so unpleasant that individuals or groups are willing to accept the risk and discomfort associated with changing the status quo, hoping that a new reality will ultimately be less painful than the current one. In both cases, the tension between the current reality and a preferred future develops sufficient energy and motivation to move individuals or groups away from the status quo.

The tension that contributes to a demand for change can be a product of many different forces. As shown in Exhibit 10, three of the seven leadership responsibilities positively correlated with second-order change, *Intellectual Stimulation*, *Change Agent*, and *Ideals and Beliefs* can create demand for change.

By fulfilling the *Change Agent* responsibility, the principal focuses directly on the change process by actively challenging the status quo, modeling a comfort level with leading change with uncertain outcomes, and systematically considering new and better ways of doing things. Principals who create demand by fulfilling the *Intellectual Stimulation* responsibility use current research, cutting-edge ideas, and books and articles about effective practices to create a tension between current and desired practices.

EXHIBIT 10: LEADERSHIP RESPONSIBILITIES ASSOCIATED WITH CREATING DEMAND

RESPONSIBILITIES ASSOCIATED WITH 2 <sup>ND</sup> -ORDER CHANGE	PHASE OF CHANGE PROCESS
<b>Intellectual Stimulation:</b> Ensures teachers and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture.	<b>Create Demand</b> —A pervasive expectation of continuous improvement, regardless of perceived obstacles or limitation contributes to a push for continuous improvement. Principals expose teachers to research and related information about effective practices, and then engage them in discussions about how to apply research findings in their classrooms. School leaders challenge the status quo, always considering new and better ways of doing things. Principals also keep themselves up-to-date on cutting-edge ideas about how to improve individual and school effectiveness. They routinely share beliefs about teaching and learning, modeling these beliefs through actions.
<b>Change Agent:</b> Is willing to and actively challenges the status quo.	
<b>Ideals and Beliefs:</b> Communicates and operates from strong ideals and beliefs about schooling.	

## IMPLEMENT

Once leaders have created demand for change, the challenge becomes implementing appropriate research-based practices effectively. To sustain the tension that was created in the previous phase and to guide teachers and others through this phase of the change process requires principals to maintain a relentless focus on the quality, fidelity, consistency, and intensity of implementation. All too often, change initiatives fail at this phase because leaders assume that the demand created in the initial phase will carry the initiative forward.

However, sustaining the tension and effectively implementing the change requires that principals develop a deep and shared understanding of the content of the change initiative while supporting and inspiring others to embrace the change. As shown in Exhibit 11, two leadership responsibilities support principals in this effort: *Knowledge of Curriculum, Instruction, and Assessment* and, *Optimize*.

EXHIBIT 11: LEADERSHIP RESPONSIBILITIES ASSOCIATED WITH IMPLEMENTING CHANGE

RESPONSIBILITIES ASSOCIATED WITH 2 <sup>ND</sup> -ORDER CHANGE	PHASE OF CHANGE PROCESS
<p><b>Knowledge of Curriculum, Instruction, and Assessment:</b> Is knowledgeable about current curriculum, instruction, and assessment practices.</p> <p><b>Optimize:</b> Inspires and leads new and challenging innovations.</p>	<p><b>Implement</b>—Principals develop knowledge of effective, research-based curriculum, instruction, and assessment practices, and then use this knowledge to provide conceptual guidance to teachers. Principals also inspire teachers to use demanding, research-based classroom practices and believe that teachers can successfully implement these practices and convey this belief to teachers. Principals should interpret disappointments in ways that help school staff to see them as temporary and isolated and interpret successes in ways that help staff view them as permanent and universal.</p>

First, principals must be highly knowledgeable about curriculum, instruction, and assessment and the research-based practices associated with the change initiative. They must also provide conceptual guidance regarding the related school and classroom practices. Second, they must support teachers and others in realizing and implementing the change through inspiration, by portraying a positive attitude about their abilities, and being a driving force behind the initiative.

### MANAGE PERSONAL TRANSITIONS

Often, changes in programs and practices, which represent a *gain* for students, schools, or school districts, can be perceived as a *loss* for teachers or principals—especially, when they must gain new knowledge, develop new approaches and procedures, redefine relationships, and re-examine their norms and values. School improvement initiatives often require stakeholders to undergo personal transitions, which they often respond to by resisting change.

It is important to note that managing personal transitions created by second-order change is *not* the same as managing change. Bridges (1991) makes the distinction between *change* and *transition* by describing the former as external and the latter as internal (p. 3). *Personal* transitions, according to Bridges, are *internal*, personal, psychological processes that are often the result of *external* changes.

For principals, managing personal transitions created by second-order change, and understanding individual responses and managing them effectively is imperative to successful change leadership. Because personal transitions vary between individuals and groups, principals must fulfill the leadership responsibility *Flexibility* (see Exhibit 12). That is, they must be flexible in their approach to leadership and differentiate their leadership behaviors by being directive or non-directive as the situation warrants.

This flexibility includes understanding when to use authority to direct resources and to answer questions, as well as knowing when to step back, frame strategic questions, and encourage others to help find answers. Principals must find the balance between setting direction for the school with listening to beliefs and opinions contrary to their own. Finally, principals themselves must be comfortable with major changes in how things are done. Often, principals may need to lead changes that are for themselves second-order. This requires that principals engage in reflective practice and maintain an awareness of the implications of change for themselves as well as others.

EXHIBIT 12: LEADERSHIP RESPONSIBILITIES ASSOCIATED WITH MANAGING PERSONAL TRANSITIONS

RESPONSIBILITIES ASSOCIATED WITH 2 <sup>nd</sup> -ORDER CHANGE	PHASE OF CHANGE PROCESS
<b>Flexibility:</b> Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.	<b>Manage Personal Transitions</b> — The principal understands when to direct, when to step back, when to answer questions and when to ask them, when to speak and when to listen. He or she understands the fear and stress of second-order change for stakeholders. There is attention to the importance of symbolic events and a willingness to establish temporary agreements to assist those who need extra support. The principal makes clear the reasons for change, shares an attractive vision of what will be different because of the change, develops a change management plan, and specifies the new roles, responsibilities, and activities for all stakeholders.

Finally, it is important to remember that poorly managed personal transitions are likely to exacerbate the feeling of loss that people may experience when engaged in what they view as second-order change. When people feel like they are losing something, they may look for someone to blame for their loss. The easiest person to blame in any organization is the one responsible for the change itself: the principal. For precisely this reason, change leadership can be a high-stakes proposition.

### MONITOR AND EVALUATE

Monitoring the implementation of research-based improvement initiatives requires that principals fulfill the responsibility *monitor and evaluate* (see Exhibit 13). They do this by:

- Collecting and analyzing data on the quality, fidelity, consistency, and intensity of implementation.
- Assessing the impact of implementation on student achievement.
- Determining the impact of implementation on implementers.

By monitoring the impact of change on those who are responsible for implementing it, principals will know how accurately they estimated the order of magnitude of change implied by their improvement initiatives and thus, be able to adjust their leadership behaviors accordingly.

EXHIBIT 13: LEADERSHIP RESPONSIBILITIES ASSOCIATED WITH MONITORING & EVALUATING CHANGE

RESPONSIBILITIES ASSOCIATED WITH 2 <sup>nd</sup> -ORDER CHANGE	PHASE OF CHANGE PROCESS
<b>Monitor and Evaluate:</b> Monitors the effectiveness of school practices and their impact on student learning.	<b>Monitor and Evaluate</b> —There is real-time access to and use of all relevant data on needs and performance of individuals, groups, and the organization. Attention is paid to the quality of implementation of research-based instructional and classroom practices. Analyses of formative data on leading indicators of implementation and impact are fed into decisions about the pace and intensity of additional changes. Change implementation is also carefully monitored.

### THE CONSEQUENCES OF SECOND-ORDER CHANGE

McREL's factor analysis provided an additional insight into the dynamics of change leadership. Just as the three leadership responsibilities included in Exhibit 10 are *positively* correlated with leading second-order change, there were four responsibilities *negatively* correlated with second-order change: *Culture*, *Order*, *Communication*, and *Input*.

The fact that principals struggle to fulfill these responsibilities when leading second-order changes is not altogether surprising. We have all experienced second-order change that produced feelings of disorientation, breakdowns in communication, leaders who seem less accessible, personal vulnerability, and the loss of voice or influence in the decision-making process. Regardless of how much additional attention and effort a principal might give to these responsibilities, the results of our factor analysis suggest teachers and others in the school community are likely to perceive that their leaders are not attending to these responsibilities as well as they should.

To help mitigate the negative consequences of second-order change, we advise principals to consider asking others to share these responsibilities when leading second-order changes in their schools. Exhibit 14 provides examples of how a school leadership team or a designated transition team (e.g., school-level administrators, central office resource staff, teachers, parents, students, and other community members) might fulfill these responsibilities while the principal emphasizes the seven responsibilities positively correlated with second-order change.

EXHIBIT 14: SHARING LEADERSHIP RESPONSIBILITIES NEGATIVELY ASSOCIATED WITH SECOND-ORDER CHANGE

RESPONSIBILITIES	THE LEADERSHIP AND/OR TRANSITION TEAM...
<b>Culture:</b> Fosters shared beliefs and a sense of community cooperation.	Help articulate a vision or picture of where the school or program is heading. They help set up vicarious and mastery experiences that support acquisition of new knowledge and new skills. They encourage positive attitudes. They focus on successes and interpret disappointments as opportunities for improvement. They help clarify parts that individuals can play in successfully implementing changes.
<b>Order:</b> Establishes a set of standard operating procedures and routines.	Plan and stage ceremonial events that honor the past, clarify what is ending, and what is beginning. They develop or negotiate temporary agreements or policies to provide new structures to guide and support behavior as new norms emerge.
<b>Communication:</b> Establishes strong lines of communication with teachers, staff, and among students.	Listen to concerns about clarity of the plan for change, implementation of the plan, and needed support. They continually articulate the new direction of the organization, clarify and simplify, when possible, helping individuals see connections between shared values and aspirations and new direction, focusing on the relative advantage of changes to everyone involved. They highlight short-term successes to feature evidence of impact as well as learning opportunities.
<b>Input:</b> Involves teachers in the design and implementation of important decisions and policies.	Encourage and actively seek experiences of the staff with implementation. They plan and facilitate periodic study sessions to learn what is working, what is not working, and to reiterate the reasons or purpose for the change initiative.



## PURPOSEFUL COMMUNITY

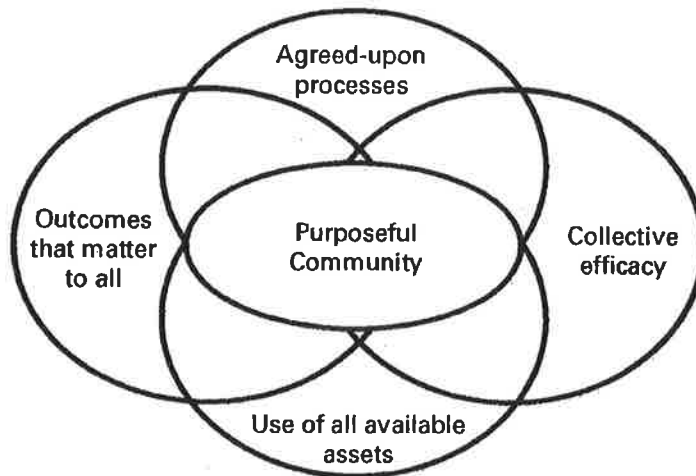
The idea of principals, teachers, and community members joining forces to improve student achievement is not new. Indeed, a long list of researchers have noted the importance of collegiality and professionalism. Rosenholtz (1991) documented the conditions of teacher workplaces. Newmann and Wehlage (1995) examined successful schools, tracing the relationship between increased student achievement and the level of professional community. Fullan (1993) discussed the power of collaboration in schools that are grounded in relationships where trust, compassion, and respect abound. Similarly, Dee Hock, founder and former CEO of Visa (1999), asserts that

It is essential to determine with absolute clarity, shared understanding, and deep conviction the purpose of the community. From that, all else must flow. It is what will bind the group together as worthy of pursuit. (p. 7)

After reviewing hundreds of studies on school improvement, we have concluded that virtually everything in a school occurs within the context of a community, composed of students, parents, teachers and other school staff members, central office administrators and support personnel, the school board, other social agencies, and businesses. The more this diverse community is able to coalesce around shared purposes, the more sustainable and effective a school's change efforts will be.

Thus, one of the key components of the Balanced Leadership Framework is what we call "Purposeful Community." We define *Purposeful Community* as one with the *collective efficacy* and capability to use *all available assets* to accomplish purposes and produce *outcomes that matter* to all community members through *agreed-upon processes* (see Exhibit 15).

EXHIBIT 15: McREL'S DEFINITION OF PURPOSEFUL COMMUNITY



A compelling body of research evidence demonstrates the impact of leadership on the development of these attributes of Purposeful Communities (Bandura, 1997; Hoy, Smith, and Sweetland, 2002; Seligman, 1990). In the following sections, we describe in more detail how leaders can develop these four interconnected characteristics of purposeful communities.

## OUTCOMES THAT MATTER TO ALL

There are many types and forms of community; some more purposeful or intentional than others. In *Making the Grade*, Wagner (2002) describes how purposeful or intentional communities are different than "coincidental communities":

Historically, most communities were created by accident. They were usually the result of some physical proximity or immediate shared need. Sometimes they furthered the goals and growth and development of their members, sometimes they didn't—as any long-time resident of a small town will tell you. By contrast, an intentional community is created for a purpose. In fact, the intentional community was first widely used to describe efforts of the nineteenth century utopians to create communities whose goal was the intellectual and spiritual growth of its members. (pp. 148–149)

Leaders create purposeful or intentional communities by developing a vision of meaningful outcomes that they can only achieve as a community. Simply stated, they help community members answer the question, *What is it that we can do together that we cannot do as individuals?*

Obviously, individuals can accomplish many things. A Purposeful Community does not discourage them from completing individual tasks that lead to important outcomes. Rather, it helps them identify which outcomes can only be accomplished because the community exists and works together. Indeed, one distinguishing difference between purposeful and coincidental communities is the agreement among community members on what they can accomplish only because they are together as a community.

## USE OF ALL AVAILABLE ASSETS

The second characteristic of McREL's definition of Purposeful Community is the development and use of all available assets to accomplish outcomes that matter to all community members. Assets can be tangible—that is, physical, observable, and measurable. For example, computers, software, textbooks, science laboratory equipment, personnel, and financial resources are all tangible assets, which can be touched, seen, and easily measured.

Intangible assets, though more difficult to measure, are equally important. In fact, in the view of some financial analysts, they are as important as tangible assets because without intangible assets, the value and impact of tangible assets are typically marginalized. Low and Kalafut (2002), for example, report that 35 percent of the market value of "for profit" companies involved in mergers and/or acquisitions is based on an analysis of their intangible assets. Examples of intangible assets include leadership, strategy execution, transparency, customer reputation, innovation, and adaptability. These intangible assets and the ability of the community to capitalize on them are a reflection of leadership at all levels of the community (Kaplan & Norton, 2004).

It is important to understand that all communities have the potential to develop and utilize these assets. Some communities, however, use their assets more effectively than others. In school settings, the strategic and effective use of these assets can dramatically enhance the sustainability of improvement efforts and the impact of research-based school and classroom practices.

## AGREED-UPON PROCESSES

Complex living systems emerge around simple, but powerful, organizing principles. These principles are made operational through agreements that exist among members of the system. Regardless of whether these principles and the agreements are explicit or implicit, conscious or unconscious, they produce relationships and complex patterns of behavior that can be at times elegant and productive, and at other



times, confusing and conflicted. The most basic examples of simple, but powerful, organizing principles that produce elegant, complex, productive, and synchronous patterns of behavior can be observed in flocks of birds and schools of fish.

Every member of a flock of birds or school of fish understands how to flock or how to move at the same speed, banking or turning in the same direction at precisely the same moment without colliding into one another. They behave in accordance with the principles of flocking or of schooling, yet no one tells them to do it. Without regulations, policies, guidelines, or leaders telling them what to do, selected species of birds and fish demonstrate a deep understanding of "organizing principles" of flocking and schooling.

This dynamic of simple organizing principles producing complex, synchronous patterns of behavior is dependent on all members of the system honoring the principles. In fact, in the earliest computer simulations developed by scientists at the Santa Fe Institute, complex patterns of behavior emerged around simple organizing principles given to "boids," the term they gave to computer simulations of birds. The principles given to their computer-simulated birds were these:

- Maintain a minimum distance from other objects in the environment, including other birds.
- Match the velocity with other birds in the neighborhood.
- Move toward the perceived center of the mass of birds in the neighborhood.

With only these organizing principles, elaborate flocking behavior developed. Note that there is no specific direction given to the flock (Waldrop, 1994).

Similar phenomena can be observed in formal organizations. In her groundbreaking work, Margaret Wheatley (1992) describes organizations in which one can tell "what the organization's values and ways of doing business are by watching anyone, whether it be a production floor employee or a senior manager. There is a consistency and predictability to the quality of behavior." According to Wheatley, these organizations

trust in the power of guiding principles or values, knowing that they are strong enough influencers of behavior to shape every employee into a desired representative of the organization. These organizations expect to see similar behaviors show up at every level in the organization because those behaviors were patterned into the organizing principles at the very start (p. 132).

Wheatley is describing the organizational example of flocking and schooling behavior; every member of the system understands the organizing/operating principles at a deep level and agrees to honor them. The "right" set of organizing principles, and agreements among members to honor them, produce consistent, elegant, synchronous, productive patterns of behavior. These become the "ways of doing business," or agreed-upon processes.

Agreed-upon processes in a Purposeful Community are those that contribute to stability within the community. They are processes that lead to patterns of communication, relationships among community members, a sense of individual well-being, connections between the school and other critical institutions, shared leadership opportunities, and a sense of order and discipline.

On the other hand, they also can be processes that provoke the community into action, especially when stability, or the status quo, is not moving the community toward achieving its purposes. When instability rather than stability is needed, these processes will challenge the community to examine current realities in light of preferred futures and produce the energy and direction necessary to move in new directions.

## COLLECTIVE EFFICACY

The final characteristic of Purposeful Community is collective efficacy, which is a *shared perception or belief* held by a group that they can organize and execute a course of action that makes a difference (Goddard, 2001). In schools with high levels of collective efficacy, there is a shared belief among teachers that collectively they will have a positive impact on student achievement (Goddard, Hoy & Hoy, 2004). According to Goddard, Hoy, and Hoy, collective efficacy is measurable and varies from group to group. It is, in fact, a better predictor of student and school success than student socio-economic status or race (Goddard, 2003; Hoy, Smith, & Sweetland, 2002).

Moreover, collective efficacy is task specific. For example, when faculty members perceive their colleagues as being competent in instructional strategies, there is a higher level of collective efficacy than in schools where this perception does not exist. Collective efficacy is diminished when faculty members perceive their colleagues as incompetent in particular curricular or instructional areas. Collective efficacy, or a strong belief among members that they can exert some measure of control over their circumstances and make a positive difference through their united effort, is the characteristic that distinguishes a purposeful community from other learning communities.

## WHY COLLECTIVE EFFICACY?

Fundamentally, the research on collective efficacy has shown that students achieve at higher levels in schools where the culture is characterized by having a high sense of collective efficacy (see Goddard, 2003; Goddard, LoGerfo, & Hoy, 2004; Hoy, Smith, & Sweetland, 2002). This critical characteristic of purposeful community is necessary for schools to transcend challenging goals and ultimately create student success. Furthermore, research provides guidance on how to constructively nurture and sustain collective efficacy. Bandura (1997) identified the following sources of collective efficacy:

- **Mastery experiences.** Efficacy grows when people experience initial success and have opportunities to build on these successes. Establishing conditions for "early wins" and building on these experiences reinforces group beliefs.
- **Vicarious experiences.** Efficacy is strengthened when individuals and groups have the opportunity to observe successful individuals in situations with similar circumstances.
- **Social persuasion.** This source of efficacy is also referred to as "normative press." Influential individuals within a group create high expectations and provide encouragement and support to others to persist in pursuit of desired outcomes.
- **Affective states.** A shared sense of hope and optimism that the group can accomplish its desired outcomes, even after disappointments, is another key source of collective efficacy.
- **Group enablement.** Groups build efficacy when they have opportunities to provide input on challenges/problems and to develop their own responses and solutions to these challenges.

Of these five processes, researchers have found that mastery experiences have the most positive effect on collective efficacy (Goddard, 2001; Hoy, Smith, & Sweetland, 2002; Ross, Hogaboam-Gray, & Gray, 2004).

## PURPOSEFUL VS. PROFESSIONAL LEARNING COMMUNITY

While much has been written about the role that community plays in schools (e.g., DuFour & Eaker, 1998; Hord, 1997), we contend that the traditional view of community, including shared goals and a collaborative setting, is insufficient. The notion of "purposeful community," with its more robust characteristics, more adequately distinguishes highly effective from less effective school communities. In particular, the notion of "collective efficacy" distinguishes McREL's definition of purposeful community from other models of school communities, as shown in Exhibit 16.

EXHIBIT 16: PURPOSEFUL COMMUNITY COMPARED WITH OTHER MODELS

PURPOSEFUL COMMUNITY WATERS, McNULTY, & MARZANO, 2005	PROFESSIONAL LEARNING COMMUNITY DuFOUR & EAKER, 1998	PROFESSIONAL LEARNING COMMUNITY HORD, 1997	COMMUNITIES OF PRACTICE WENGER & SNYDER, 2000
"A Purposeful Community is one with the collective efficacy and capability to develop and use assets to accomplish goals that matter to all community members through agreed upon processes."	"PLC schools have (1) a solid foundation consisting of collaboratively developed and widely shared missions, visions, values and goals, (2) collaborative teams that work interdependently to achieve common goals, and (3) a focus on results as evidenced by a commitment to continuous improvement."	"A school in which the professionals (administrators and teachers) continuously seek and share learning to increase their effectiveness for students and act on what they learn."	"Groups of people informally bound together by shared expertise and passion for a joint enterprise."
Accomplish purpose and produce outcomes that matter to all	Shared mission, vision, values and goals  Focus on results	Shared values and vision	Joint enterprise
Use of all available assets	Commitment to continuous improvement	Collective learning and application of learning	Passion, commitment, and identification with group's expertise
Agreed-upon processes	Collaborative teams that work inter-dependently	Supportive conditions  Shared personal practice  Shared and supportive leadership	Build and exchange knowledge
Collective efficacy			

#### PURPOSEFUL COMMUNITY AND LEADERSHIP

A purposeful community develops largely as a result of its leadership. McREL identified 21 leadership responsibilities that are positively associated with student achievement. Exhibit 17 lists the eight leadership responsibilities that McREL suggests that principals emphasize to develop a purposeful community and provides guidance for translating these eight responsibilities into specific and potentially measurable indicators of purposeful communities.

EXHIBIT 17: LEADERSHIP RESPONSIBILITIES TO CREATE PURPOSEFUL COMMUNITY

LEADERSHIP RESPONSIBILITIES	CHARACTERISTICS OF PURPOSEFUL COMMUNITIES
<p><b>Culture:</b> Fosters shared beliefs and a sense of community and cooperation.</p> <p><b>Ideals and Beliefs:</b> Communicates and operates from strong ideals and beliefs about schooling.</p>	<p>There is consensus on reasons for working together – general agreement exists on why the community exists, what can only be accomplished because the members of the community are together as a community, and that they can accomplish what is important to them. The principal promotes cooperation, a sense of well-being, and cohesion among the staff. There is a shared understanding of purpose and a vision of what the school could be like. The principal holds and shares strong beliefs about teaching, learning, and the capability of the community to accomplish specific outcomes. The principal demonstrates behaviors that are consistent with his or her espoused beliefs.</p>
<p><b>Communication:</b> Establishes strong lines of communication with teachers and among students.</p> <p><b>Visibility:</b> Has quality contact and interactions with teachers and students.</p>	<p>There are critical connections among key members of the community – the principal is easily accessible to teachers, other staff, students, and community members. The principal uses systematic and frequent visits to classrooms; within the school, and in the community, to reinforce the importance of learning and the community's capability of accomplishing outcomes that matter.</p>
<p><b>Input:</b> Involves teachers in the design and implementation of important decisions.</p>	<p>Leadership is widely shared throughout the community. Rather than being seen as a position and defined only through positional authority, leadership becomes everyone's responsibility and all community members have opportunities to lead. The principal reinforces this density of leadership by providing opportunities for input on all important decisions. Leadership density is also increased through the development and use of a leadership team.</p>
<p><b>Relationships:</b> Demonstrates an awareness of the personal aspects of teachers and staff.</p> <p><b>Situational Awareness:</b> Is aware of the details and undercurrents in the running of the school and uses this information to address current and potential problems.</p>	<p>Consensus is developed on ways of working together. The "ways of working" reflect the "agreed-upon processes" that characterize purposeful communities. These agreements are a product of the human and personal connections created by remaining aware of personal needs, staying informed about significant issues in the lives of community members, and acknowledging significant events in the lives of community members. These connections allow the principal to stay informed about relationships among groups and issues that might not surface on their own. These connections contribute to the ability of the principal to predict what could go wrong from day to day.</p>
<p><b>Affirmation:</b> Recognizes and celebrates school accomplishments and acknowledges failures.</p>	<p>Attention is given to building on strengths in addition to addressing weaknesses – most communities focus on weaknesses or needs. Productive communities (and organizations) balance their attention on needs or weaknesses with a focus on community strengths and the importance of playing to them. These strengths are among the community's most important assets. The principal systematically and fairly recognizes and celebrates accomplishments of teachers, staff, and students. The principal is also willing to acknowledge failures along with successes. Failures are viewed as learning opportunities. The principal reinforces and builds on the individual strengths of all community members.</p>

Generally, schools serve "accidental" communities (Wagner, 2002). Communities created by political or policy decisions always start as accidental. The nature of how they are created or designated makes them accidental. Members of these communities do not have a common understanding of what they can only accomplish because they are a community. They do not have agreed upon ways of working together. They do not share knowledge of their tangible and intangible assets. They have not developed collective efficacy.

They can, however, be developed into purposeful communities through strong and effective leadership. For this to happen, principals must understand the value and attributes of Purposeful Community, and emphasize leadership responsibilities in ways that contribute to this development. Without Purposeful Community, it is difficult to imagine schools successfully implementing and sustaining the changes necessary to prepare all of their students to live and work in an increasingly competitive, fast-paced global economy. Within a Purposeful Community, it is difficult to imagine anything else.

## CONCLUSION

At no time in recent memory has the need for effective and inspired leadership been more pressing than it is today. With increasing expectations in society and in the workplace for knowledgeable, skilled, responsible citizens, the pressure on schools intensifies. The importance of truly effective educational leadership is clear and the time for improving schools is short. It is our hope that the Balanced Leadership Framework will provide the guidance principals need to enhance effectiveness, translate vision and aspirations into action, and improve achievement for all students.

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## APPENDIX C: PRINCIPAL EVALUATION PROCESS DOCUMENTATION FORM

Name: \_\_\_\_\_ ID#: \_\_\_\_\_

School: \_\_\_\_\_ School Year: \_\_\_\_\_

Evaluator: \_\_\_\_\_ Title: \_\_\_\_\_

The principal's evaluation is based, in part, on a formal discussion of performance and conferences conducted on the following dates:

SITE VISIT DATES	CONFERENCE DATES	PRINCIPAL'S SIGNATURE	EVALUATOR'S SIGNATURE

Mid-Year Evaluation Conference Date: \_\_\_\_\_

End-of-Year Performance Discussion Date: \_\_\_\_\_

Summary Evaluation Conference Date: \_\_\_\_\_

The Mid-Year, End-of-Year, and Summary Evaluation Conferences are required for every principal. In addition, observations and other relevant sources of performance data may be considered in determining the final rating for the principal. The following rating scale will be used:

- **Developing:** Principal demonstrated adequate growth toward achieving standard(s) during the period of performance, but did not demonstrate competence on standard(s) of performance.
- **Proficient:** Principal demonstrated basic competence on standard(s) of performance.
- **Accomplished:** Principal exceeded basic competence on standard(s) for performance most of the time.
- **Distinguished:** Principal consistently and significantly exceeded basic competence on standard(s) of performance.
- **Not Demonstrated:** Principal did not demonstrate competence on or adequate progress toward achieving standard(s) of performance.

*Note: If the Not Demonstrated rating is used, the superintendent must comment about why it was used.*

## APPENDIX D: PRINCIPAL SUMMARY EVALUATION RATING FORM

This form is to be jointly completed by the principal and superintendent or designee during the Summary Evaluation Conference conducted at the end of the year.

Name: \_\_\_\_\_

School: \_\_\_\_\_ School Year: \_\_\_\_\_

Evaluator: \_\_\_\_\_ Evaluator's Title: \_\_\_\_\_

Date Completed: \_\_\_\_\_

### MANAGING CHANGE

RESPONSIBILITIES	DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED	NOT DEMONSTRATED
<b>A. CHANGE AGENT:</b> IS WILLING TO AND ACTIVELY CHALLENGES THE STATUS QUO.					
<b>B. FLEXIBILITY:</b> ADAPTS HIS OR HER LEADERSHIP BEHAVIOR TO THE NEEDS OF THE CURRENT SITUATION AND IS COMFORTABLE WITH DISSENT.					
<b>C. IDEALS AND BELIEFS:</b> COMMUNICATES AND OPERATES FROM STRONG IDEALS AND BELIEFS ABOUT SCHOOL AND SCHOOLING.					
<b>D. INTELLECTUAL STIMULATION:</b> ENSURES THAT THE FACULTY AND STAFF ARE AWARE OF THE MOST CURRENT THEORIES AND PRACTICES AND MAKES THE DISCUSSION OF THESE A REGULAR ASPECT OF THE SCHOOL CULTURE.					
<b>E. KNOWLEDGE OF CURRICULUM, INSTRUCTION, AND ASSESSMENT:</b> IS KNOWLEDGEABLE ABOUT THE CURRENT CURRICULUM, INSTRUCTION, AND ASSESSMENT PRACTICES.					
<b>F. MONITOR AND EVALUATE:</b> MONITORS THE EFFECTIVENESS OF SCHOOL PRACTICES AND THEIR IMPACT ON STUDENT LEARNING.					
<b>G. OPTIMIZE:</b> INSPIRES AND LEADS NEW AND CHALLENGING INNOVATIONS.					
<b>OVERALL RATING FOR MANAGING CHANGE</b>					
COMMENTS:					
RECOMMENDED ACTIONS FOR IMPROVEMENT:					
RESOURCES NEEDED TO COMPLETE THE RECOMMENDED ACTIONS:					

✓	EVIDENCE OR DOCUMENTATION TO SUPPORT RATING	INTERPRETATION OF DATA/RATIONALE FOR RATING	ATTACHED?
	ELL MONITORING NOTEBOOK		
	PROFESSIONAL DEVELOPMENT PLAN		
	REGULAR FEEDBACK TO TEACHERS AND STAFF REGARDING PERFORMANCE		
	PLANNING AND LEADING PROFESSIONAL DEVELOPMENT		
	CLASSROOM WALKTHROUGH DATA		
	MONITORING PLAN		
	OPERATING PRINCIPLES AND WORKING AGREEMENTS		

## FOCUS OF LEADERSHIP

RESPONSIBILITIES	DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED	NOT DEMONSTRATED
<b>A. CONTINGENT REWARDS:</b> RECOGNIZES AND REWARDS INDIVIDUAL ACCOMPLISHMENTS.					
<b>B. DISCIPLINE:</b> PROTECTS TEACHERS FROM ISSUES AND INFLUENCES THAT WOULD DETRACT FROM THEIR TIME OR FOCUS.					
<b>C. FOCUS:</b> ESTABLISHES CLEAR GOALS AND KEEPS THOSE GOALS IN THE FOREFRONT OF THE SCHOOL'S ATTENTION.					
<b>D. INVOLVEMENT IN CURRICULUM, INSTRUCTION, AND ASSESSMENT:</b> IS DIRECTLY INVOLVED IN HELPING TEACHERS DESIGN CURRICULAR ACTIVITIES AND ADDRESS ASSESSMENT AND INSTRUCTIONAL ISSUES.					
<b>E. ORDER:</b> ESTABLISHES A SET OF STANDARD OPERATING PROCEDURES AND ROUTINES.					
<b>F. OUTREACH:</b> IS AN ADVOCATE AND SPOKESPERSON OF THE SCHOOL TO ALL STAKEHOLDERS.					
<b>G. RESOURCES:</b> PROVIDES TEACHERS WITH MATERIAL AND PROFESSIONAL DEVELOPMENT FOR THE NECESSARY EXECUTION OF THEIR JOBS.					
<b>OVERALL RATING FOR FOCUS OF LEADERSHIP</b>					
COMMENTS:					
RECOMMENDED ACTIONS FOR IMPROVEMENT:					
RESOURCES NEEDED TO COMPLETE THE RECOMMENDED ACTIONS:					



✓	EVIDENCE OR DOCUMENTATION TO SUPPORT RATING	INTERPRETATION OF DATA/RATIONALE FOR RATING	ATTACHED?
	PRINCIPAL TRAINING		
	UNIVERSITY/SCHOOL ASSOCIATIONS		
	FORMAL EVALUATIONS		
	NEW PROGRAM ADOPTIONS		
	GRADE-LEVEL MEETING AGENDAS		
	PROGRESS TOWARD ACHIEVING GOALS		
	STUDENT HANDBOOK		
	SAFETY PLAN		
	BUDGET NOTEBOOK		
	STUDENT SUPPORT PLAN		
	RECOGNITION EVENTS		
	STAFF HANDBOOK		

## PURPOSEFUL COMMUNITY

RESPONSIBILITIES	DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED	NOT DEMONSTRATED
<b>A. AFFIRMATION:</b> RECOGNIZES AND CELEBRATES SCHOOL ACCOMPLISHMENT AND ACKNOWLEDGES FAILURES.					
<b>B. COMMUNICATION:</b> ESTABLISHES STRONG LINES OF COMMUNICATION WITH TEACHERS AND AMONG STUDENTS.					
<b>C. CULTURE:</b> FOSTERS SHARED BELIEFS AND A SENSE OF COMMUNITY AND COOPERATION.					
<b>D. INPUT:</b> INVOLVES TEACHERS IN THE DESIGN AND IMPLEMENTATION OF IMPORTANT DECISIONS.					
<b>E. RELATIONSHIPS:</b> DEMONSTRATES AWARENESS OF THE PERSONAL ASPECTS OF TEACHERS AND STAFF.					
<b>F. SITUATIONAL AWARENESS:</b> IS AWARE OF THE DETAILS AND THE UNDERCURRENTS IN THE RUNNING OF THE SCHOOL AND USES THIS INFORMATION TO ADDRESS CURRENT AND POTENTIAL PROBLEMS.					
<b>G. VISIBILITY:</b> HAS QUALITY CONTACTS AND INTERACTIONS WITH TEACHERS AND STUDENTS.					
<b>OVERALL RATING FOR PURPOSEFUL COMMUNITY</b>					
<b>COMMENTS:</b>   <b>RECOMMENDED ACTIONS FOR IMPROVEMENT:</b>   <b>RESOURCES NEEDED TO COMPLETE THE RECOMMENDED ACTIONS:</b>					



✓	EVIDENCE OR DOCUMENTATION TO SUPPORT RATING	INTERPRETATION OF DATA/RATIONALE FOR RATING	ATTACHED?
	SCHOOL VISION AND MISSION STATEMENTS		
	PROGRESS TOWARD ACHIEVEMENT OF SMART GOALS		
	STAFF CONFERENCE AGENDAS AND MINUTES		
	STAFF BULLETINS AND NEWSLETTERS		
	TEAM MEETING AGENDAS		
	TEACHER SURVEY DATA		
	COMMUNITY SURVEY DATA		
	IDENTIFICATION AND USE OF HUMAN AND FISCAL RESOURCES		
	PTA/PRINCIPAL'S NEWSLETTER		
	MASTER SCHEDULE		
	PTA CALENDAR		
	SCHOOL CALENDAR		
	ELL SUPPORT SCHEDULE		
	FACULTY MEETING AGENDAS, SIGN IN SHEETS, MINUTES		
	CLEAR VISION AND MISSION ABOUT IMPROVING STUDENT ACHIEVEMENT		
	STUDENT ACHIEVEMENT DATA		
	STUDENT ATTENDANCE DATA		
	TEACHER ATTENDANCE DATA		
	GRADUATION AND PROMOTION RATES		

Principal Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Superintendent or Designee Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Comments Attached: \_\_\_\_\_ Yes: \_\_\_\_\_ No

Superintendent or Designee Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## APPENDIX E: SCORING THE RUBRIC AND SAMPLE COMPLETED AND SCORED FORMS

### SCORING THE RUBRIC

The practices within the responsibilities are cumulative across the rows. To be rated *Distinguished* on any responsibility, the principal must demonstrate all of the practices described under *Developing*, *Proficient*, and *Accomplished*, as well as all of the practices for a *Distinguished* principal.

The example below illustrates the scoring strategy to be used for each practice. The evaluator will begin at the left column and check the practices the principal demonstrates. The evaluator should rate the principal on all of the practices by marking the box beside each element in evidence. If the principal does not demonstrate that practice, the evaluator should leave the box blank. If the evaluator cannot check any of the practices under the other four columns, the principal is rated *Not Demonstrated*. In such cases, the evaluator **MUST** comment and provide guidance about how the principal needs to proceed toward obtaining the skills described under that responsibility. It is also recommended that the evaluator comment on *Distinguished* ratings to explain the rationale for rating a principal at this level.

PRINCIPAL RESPONSIBILITIES ASSOCIATED WITH PURPOSEFUL COMMUNITY				
A <b>Purposeful Community</b> is one with the collective efficacy and capability to develop and use assets to accomplish goals that matter to all community members through agreed-upon processes.				
b. <b>Communication:</b> Establishes strong lines of communication with teachers and among students.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
<input type="checkbox"/> Implements a variety of strategies to communicate with the teachers, staff, and the larger school community. <input type="checkbox"/> Is accessible to some stakeholder groups.	... and <input type="checkbox"/> Implements a variety of strategies to encourage effective open communication between and among students, teachers, staff, and the larger school community. <input type="checkbox"/> Is easily accessible to all stakeholder groups.	... and <input type="checkbox"/> Systematically monitors and takes steps to improve communication structures within the school. <input type="checkbox"/> Develops and monitors effective systems and protocols to enable stakeholder groups to communicate with each other and with the principal.	... and <input type="checkbox"/> Leverages communications among and between stakeholder groups to increase the adoption of new and innovative change initiatives within the district or school.	

IF THE EVALUATOR DOES NOT MARK ANY OF THE PRACTICES UNDER *DEVELOPING*, *PROFICIENT*, *ACCOMPLISHED*, OR *DISTINGUISHED*, THEN THE PRINCIPAL HAS NOT DEMONSTRATED PROFICIENCY ON THAT RESPONSIBILITY. IN SUCH CASES, THE PRINCIPAL IS RATED *NOT DEMONSTRATED*, AND A COMMENT IN THE *NOT DEMONSTRATED* COLUMN IS REQUIRED.

## SAMPLE COMPLETED PRINCIPAL EVALUATION RUBRIC

PRINCIPAL LEADERSHIP RESPONSIBILITIES ASSOCIATED WITH MANAGING CHANGE				
Managing Change involves understanding the implications of change efforts for stakeholders and adjusting leadership behaviors accordingly.				
<b>a. Change Agent:</b> Is willing to and actively challenges the status quo.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
<input checked="" type="checkbox"/> Uses a variety of data to identify necessary change initiatives.	... and <input checked="" type="checkbox"/> Builds on data analysis to define processes and protocols in order to create or adopt new and better ways to improve school and classroom practices.	... and <input checked="" type="checkbox"/> Consistently attempts to operate at the edge instead of the center of the schools' competence by leading the implementation of research-based initiatives even though outcomes may be uncertain.	... and <input checked="" type="checkbox"/> Leverages the influence of opinion leaders to strategically target and frame change initiatives in order to increase the rate of adoption.  <input checked="" type="checkbox"/> Is recognized in the education community as an advocate for new and innovative ways of schooling.	
<b>b. Flexibility:</b> Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.				
<input checked="" type="checkbox"/> Understands the importance of how different change initiatives may be perceived differently by various stakeholders and how they may impact others.	... and <input type="checkbox"/> Adapts leadership style to the needs of specific situations. <input checked="" type="checkbox"/> Implements procedures that encourage teachers and staff to express opinions and perceptions even if they are contrary to those held by individuals in positions of authority.	... and Creates and uses transitions teams during times of change to <input checked="" type="checkbox"/> Assist individuals in transitioning into the new ways of doing things. <input type="checkbox"/> Adapt quickly to changing environments and contexts.	... and Improves collective efficacy by <input type="checkbox"/> Effectively managing change. <input type="checkbox"/> Building on the collective ability of the school community to adapt to contextual conditions.	
<b>c. Ideals and Beliefs:</b> Communicates and operates from strong ideals and beliefs about school and schooling.				
<input checked="" type="checkbox"/> Possesses well-defined ideals and beliefs about schools and schooling that align with district non-negotiable goals.	... and <input checked="" type="checkbox"/> Creates demand for change through sharing beliefs about school, teaching, and learning with teachers and staff. <input type="checkbox"/> Demonstrates behaviors that exemplify stated beliefs about school and schooling.	... and <input checked="" type="checkbox"/> Creates demand for change by communicating ideals and beliefs throughout the community. <input type="checkbox"/> Creates opportunities to implement change that exemplifies ideals and beliefs.	... and <input type="checkbox"/> Shares leadership in a manner that extends and promotes the ideals and beliefs about schools and schooling throughout the community. <input type="checkbox"/> Perseveres in the face of challenges to effectively sustain positive change.	



d. Intellectual Stimulation: Ensures that the faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school culture.				
Developing	Proficient	Accomplished	Distinguished (Comment Required)	Not Demonstrated (Comment Required)
<input type="checkbox"/> Understands and articulates the current rigorous and relevant research and theory on effective schooling.	... and <input type="checkbox"/> Uses rigorous and relevant research and theory on effective schooling to create demand for change by providing professional development opportunities.	... and <input type="checkbox"/> Uses the outcomes of professional development on rigorous and relevant research and theory on effective schooling to guide professional learning community discussions and activities.	... and <input type="checkbox"/> Provides vicarious and mastery experiences for teachers that capitalize on staff development outcomes and discussions of effective schools practice.	
e. Knowledge of Curriculum, Instruction, and Assessment: Is knowledgeable about the current curriculum, instruction, and assessment practices.				
<input checked="" type="checkbox"/> Articulates knowledge of curriculum, instruction, and assessment in a way that enables staff to understand and apply the knowledge.	... and <input checked="" type="checkbox"/> Provides guidance regarding curriculum, instruction, and assessment in order to ensure effective practices in every classroom.	... and <input type="checkbox"/> Provides mastery and vicarious experiences of research-based practices in curriculum design, instructional strategies, and assessment practices through professional development and action research.	... and <input type="checkbox"/> Leverages mastery and vicarious experiences to increase the collective efficacy of teachers and staff.	
f. Monitor and Evaluate: Monitors the effectiveness of school practices and their impact on student learning.				
<input checked="" type="checkbox"/> Understands the impact of school practices on student learning and achievement. <input type="checkbox"/> Understands the impact that change may have on individuals in the school.	... and Uses a variety of data and processes to <input checked="" type="checkbox"/> Drive decisions about initiating new and innovative research-based programs and interventions. <input checked="" type="checkbox"/> Monitor the needs and performance of individuals, groups, and the school as a whole.	... and <input type="checkbox"/> Routinely works collaboratively with teachers and staff to assess the impact of research-based programs and interventions on student learning and achievement.	... and <input type="checkbox"/> Monitors the fidelity and consistency of the implementation of research-based practices and their impact on student learning and achievement.	
g. Optimize: Inspires and leads new and challenging innovations.				
<input checked="" type="checkbox"/> Portrays a positive attitude about the ability of teachers and staff to accomplish school goals.	... and <input type="checkbox"/> Inspires teachers and staff to individually and collectively accomplish school goals.	... and <input type="checkbox"/> Inspires and motivates teachers and staff to accomplish things they consider to be beyond their grasp.	... and <input checked="" type="checkbox"/> Promotes perseverance and hope during challenging times.	

**COMMENTS:**

YOUR ABILITY TO RECOGNIZE AND MAKE EFFECTIVE USE OF THE VARIOUS STAKEHOLDER GROUPS IN YOUR COMMUNITY HAS PROVEN TO BE VALUABLE IN YOUR EFFORTS TO IMPLEMENT THE STRATEGIC INITIATIVES OF THE DISTRICT. CONTINUING TO CHALLENGE THE STATUS QUG AS AN EFFECTIVE CHANGE AGENT WILL INCREASE THE ABILITY OF YOUR STAFF TO SUCCESSFULLY IMPLEMENT CHANGES QUICKLY AND MORE EFFECTIVELY.

IN AN EFFORT TO BRING YOUR STAKEHOLDER GROUPS TO A CLEARER UNDERSTANDING OF YOUR SCHOOL IMPROVEMENT EFFORTS IT IS EXPECTED THAT YOU WILL SEEK TO USE THE MOST CURRENT LITERATURE ON EFFECTIVE SCHOOLS AND SCHOOLING. INTELLECTUAL STIMULATION PROVIDES THE OPPORTUNITY FOR STAKEHOLDERS AND FACULTY TO UNDERSTAND THE RESEARCH THAT SUPPORTS YOUR SCHOOL IMPROVEMENT EFFORTS. ADDITIONALLY, SUCH LITERATURE CAN STIMULATE CONVERSATIONS FOCUSED ON IMPLEMENTATION STRATEGIES.

**RECOMMENDED ACTIONS:**

IT IS RECOMMENDED THAT YOU MEET WITH THE EXECUTIVE DIRECTOR OF STUDENT ACHIEVEMENT TO DISCUSS AND OBTAIN HER EXPERTISE REGARDING THE CURRENT RESEARCH ON THE CATEGORIES OF INSTRUCTIONAL PRACTICE. ADDITIONALLY, CONSIDER HAVING HER FACILITATE A SESSION WITH YOU AND YOUR LEADERSHIP TEAM TO GAIN A DEEPER UNDERSTANDING.

MONITOR AND EVALUATE: TAKING INITIATIVE TO IMPLEMENT CHANGES WILL MAKE A DIFFERENCE IN STUDENT PERFORMANCE. HOWEVER, UNDERSTANDING THAT YOUR IMPLEMENTATION EFFORTS HAVE AND WILL CONTINUE TO HAVE AN IMPACT ON YOUR STAFF IS IMPORTANT. YOU ARE EXPECTED TO TAKE INTO CONSIDERATION SECOND ORDER CHANGE IMPLICATIONS. TO MINIMIZE THE CONSEQUENCES OF 2ND ORDER IMPLICATION REQUIRES SYSTEMS AND PROCEDURES TO ASSIST STAFF MEMBERS IN TRANSITIONING FROM OLD WAYS OF PRACTICE TO MORE CURRENT PRACTICES.

**RESOURCES NEEDED TO COMPLETE THESE ACTIONS:**

NONE

**EVIDENCE OR DOCUMENTATION THAT MAY BE USED TO SUPPORT RATINGS:**

- ☐ ELL Monitoring Notebook
- ☐ Professional Development Plan
- ☐ Regular Feedback to Teachers and Staff Regarding Performance
- ☐ Planning and Leading Professional Development
- ☐ Classroom Walkthrough Data
- ☐ Monitoring Plan
- ☐ Operating Principles and Working Agreements

☐☐



PRINCIPAL RESPONSIBILITIES ASSOCIATED WITH FOCUS OF LEADERSHIP				
Focus of Leadership involves accurately and pro-actively targeting appropriate areas for school improvement efforts				
a. Contingent Rewards: Recognizes and rewards individual accomplishments.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
<input checked="" type="checkbox"/> Develops criteria and procedures for recognizing hard work and results from individuals and groups.	<b>... and</b> Capitalizes on formal and informal opportunities to <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Recognize the accomplishments and hard work of all stakeholders.</li> <li><input checked="" type="checkbox"/> Maximize the intangible assets of a school.</li> </ul>	<b>... and</b> <input checked="" type="checkbox"/> Involves all stakeholder groups in the recognition and reward process.	<b>... and</b> <input checked="" type="checkbox"/> Promotes the accomplishments of the school. <input checked="" type="checkbox"/> Inspires all stakeholders to make significant contributions. <input checked="" type="checkbox"/> Improves perceptions of stakeholders that they have the ability to contribute to increases in student achievement.	
b. Discipline: Protects teachers from issues and influences that would detract from their time or focus.				
<input checked="" type="checkbox"/> Communicates to the entire school community the importance of an effective learning environment, and that instructional time and focus are the school's top priority.	<b>... and</b> Establishes systems that minimize or eliminate interruptions and distractions to classroom instruction, including <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> A school schedule that maximizes instructional time.</li> <li><input checked="" type="checkbox"/> Policies and procedures that maximize the use of instructional time.</li> </ul>	<b>... and</b> <input checked="" type="checkbox"/> Enforces policies and procedures related to instruction time to assure that all staff members and all students benefit from periods of focused instruction.	<b>... and</b> <input type="checkbox"/> Serves as a champion for protecting and maximizing instructional time and focus to assure an effective learning environment.	
c. Focus: Establishes clear goals and keeps those goals in the forefront of the school's attention.				
<input checked="" type="checkbox"/> Understands the importance of setting high expectations for student learning and achievement.	<b>... and</b> <input checked="" type="checkbox"/> Leads the school community in the establishment of rigorous and concrete goals to ensure student learning and achievement.	<b>... and</b> Creates processes and procedures to <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Clearly communicate the goals and progress toward achieving them to all members of the school community.</li> <li><input checked="" type="checkbox"/> Maintain a consistent focus on the school's goals.</li> </ul>	<b>... and</b> <input type="checkbox"/> Leverages high, concrete goals in order to continually create demand for innovation and improvement.	

d. Involvement in Curriculum, Instruction, and Assessment: Is directly involved in helping teachers design curricular activities and address assessment and instructional issues.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
<input checked="" type="checkbox"/> Demonstrates knowledge and understanding of curriculum, instruction, and assessment issues.	<p>... and</p> <input type="checkbox"/> Actively initiates activities to address curriculum, instruction, and assessment issues.	<p>... and</p> Models effective pedagogy that includes <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Communicating learning goals.</li> <li><input type="checkbox"/> Acquiring and integrating knowledge.</li> <li><input type="checkbox"/> Extending and refining knowledge.</li> <li><input type="checkbox"/> Applying knowledge.</li> </ul>	<p>... and</p> <input type="checkbox"/> Helps teachers adopt, adapt, or design rigorous research-based curriculum, instruction, and assessment practices, programs, and interventions.	
e. Order: Establishes a set of standard operating procedures and routines.				
<input type="checkbox"/> Is developing clear structures, rules, procedures, and routines for student and staff behavior.	<p>... and</p> <input type="checkbox"/> Has established and consistently enforces policies, procedures, and routines that maximize opportunities for all students to learn.	<p>... and</p> <input type="checkbox"/> Maximizes the established policies, procedures, and routines to build a culture that is safe, orderly, and enhances student and teacher abilities to engage in meaningful and productive work.	<p>... and</p> <input type="checkbox"/> Uses an orderly environment to sustain confidence in the school's ability to educate all children.	
f. Outreach: Is an advocate and spokesperson of the school to all stakeholders.				
<input checked="" type="checkbox"/> Communicates with stakeholder groups about school initiatives and activities.	<p>... and</p> Advocates for the school with <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> The Community.</li> <li><input checked="" type="checkbox"/> Parents.</li> <li><input checked="" type="checkbox"/> Central Office.</li> <li><input checked="" type="checkbox"/> Teachers.</li> <li><input checked="" type="checkbox"/> Staff.</li> <li><input checked="" type="checkbox"/> Students.</li> </ul>	<p>... and</p> <input checked="" type="checkbox"/> Collects perception data from the school community to inform advocacy activities.	Uses community relationships as both tangible and intangible assets to engage all stakeholders in <ul style="list-style-type: none"> <li><input type="checkbox"/> Family and community involvement initiatives.</li> <li><input type="checkbox"/> School governance and improvement.</li> <li><input type="checkbox"/> Contributing to improving student learning and achievement.</li> </ul>	

g. Resources: Provides teachers with material and professional development necessary for the execution of their jobs.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
<p>Assesses the resource needs of teachers and staff, including</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Professional development needs.</li> <li><input checked="" type="checkbox"/> Tools, materials, and equipment needs.</li> </ul>	<p>... and</p> <p>Ensures that teachers and staff have</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Professional development that enhances their teaching.</li> <li><input checked="" type="checkbox"/> Tools, materials, and equipment necessary to perform their duties.</li> </ul>	<p>... and</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Seeks out additional resources to maximize outcomes for all students.</li> </ul>	<p>... and</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Implements processes and procedures that ensure the long-term viability of effective programs and practices.</li> </ul>	

#### COMMENTS:

DEVELOPING CLEAR PROCEDURES AND ROUTINES ASSIST TEACHERS, STUDENTS AND PARENTS IN UNDERSTANDING AND ADHERING TO RULES AND EXPECTATIONS. YOUR OPERATING PROCEDURES WILL REDUCE AMBIGUITY REGARDING EXPECTATIONS OF BEHAVIOR AND PERFORMANCE AND CREATE A SENSE OF ORDER TO YOUR SCHOOL.

THE BUDGET AND RESOURCE ALLOCATION PROCESS THAT YOU HAVE DEVELOPED WILL HAVE A POSITIVE IMPACT ON IMPROVING STUDENT ACHIEVEMENT. DIRECTLY IDENTIFYING AND ALLOCATING RESOURCES THAT ARE DIRECTLY ALIGNED WITH YOUR SCHOOL IMPROVEMENT INITIATIVES, PROVIDE TEACHERS THE NECESSARY RESOURCES TO ACCOMPLISH THEIR STATED INSTRUCTIONAL AND STUDENT ACHIEVEMENT GOALS.

#### RECOMMENDED ACTIONS:

WORK WITH YOUR LEADERSHIP TEAM TO ESTABLISH OPERATING PROCEDURES AND ROUTINES THAT CREATE A SENSE OF ORDER AND CONSISTENCY IN EXPECTED BEHAVIOR. ENSURE THAT YOUR OPERATING PROCEDURES AND EXPECTATIONS ALIGN WITH DISTRICT POLICY. USE A VARIETY OF COMMUNICATION STRUCTURES TO INFORM TEACHERS, STUDENTS AND PARENTS OF THESE EXPECTATIONS.

REVIEW AND REVISE YOUR STUDENT HANDBOOK.

REVIEW AND REVISE YOUR STAFF HANDBOOK.

#### RESOURCES NEEDED TO COMPLETE THESE ACTIONS:

SUBSTITUTE TEACHERS AVAILABLE FOR FACULTY/STAFF MEMBERS.

#### EVIDENCE OR DOCUMENTATION THAT MAY BE USED TO SUPPORT RATINGS:

- ☐ Principal Training
- ☐ University/School Associations
- ☐ Formal Evaluations
- ☐ New Program Adoptions
- ☐ Grade-Level Meeting Agendas
- ☐ Progress Toward Achieving Goals
- ☐ Student Handbook
- ☐ Safety Plan
- ☐ Budget Notebook
- ☐ Student Support Plan
- ☐ Recognition Events
- ☐ Staff Handbook
- ☐ Site Calendar
- ☐ Master Schedule
- ☐ Staff and Teacher Surveys
- ☐ Community Activities
- ☐ Student Achievement Meetings, Protocols, and Schedules

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☐ \_\_\_\_\_

PRINCIPAL RESPONSIBILITIES ASSOCIATED WITH PURPOSEFUL COMMUNITY				
A Purposeful Community is one with the collective efficacy and capability to develop and use assets to accomplish goals that matter to all community members through agreed upon processes.				
a. Affirmation: Recognizes and celebrates school accomplishment and acknowledges failures.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
Privately or individually acknowledges successes and failures of <input checked="" type="checkbox"/> Students. <input checked="" type="checkbox"/> Teachers. <input checked="" type="checkbox"/> Staff. <input checked="" type="checkbox"/> The school as a whole. <input checked="" type="checkbox"/> Communicates the nature of failures and the need to take action to address them.	... and Publicly and fairly recognizes the successes and failures of <input checked="" type="checkbox"/> Students. <input type="checkbox"/> Teachers. <input type="checkbox"/> Staff. <input checked="" type="checkbox"/> The school as a whole. <input checked="" type="checkbox"/> Communicates to teachers and staff actions taken and how they contributed to success or failure of school initiatives.	... and Has a plan for systematically and fairly recognizing successes and failures of <input checked="" type="checkbox"/> Students. <input type="checkbox"/> Teachers. <input type="checkbox"/> Staff. <input checked="" type="checkbox"/> The school as a whole. <input type="checkbox"/> Utilizes the recognition of failure as an opportunity to create demand for improvement.	... and Publicly interprets and communicates <input type="checkbox"/> Failure as temporary and specific. <input type="checkbox"/> Success as permanent and pervasive. <input type="checkbox"/> Uses successes and failures to increase the belief of teachers and staff in their ability to impact student achievement.	
b. Communication: Establishes strong lines of communication with teachers and among students.				
<input checked="" type="checkbox"/> Implements a variety of strategies to communicate with the teachers, staff, and the larger school community. <input checked="" type="checkbox"/> Is accessible to some stakeholder groups.	... and <input type="checkbox"/> Implements a variety of strategies to encourage effective open communication between and among students, teachers, staff, and the larger school community. <input checked="" type="checkbox"/> Is easily accessible to all stakeholder groups.	... and <input type="checkbox"/> Systematically monitors and takes steps to improve communication structures within the school. <input checked="" type="checkbox"/> Develops and monitors effective systems and protocols to enable stakeholder groups to communicate with each other and with the principal.	... and <input type="checkbox"/> Leverages communications among and between stakeholder groups to increase the adoption of new and innovative change initiatives within the district or school.	
c. Culture: Fosters shared beliefs and a sense of community and cooperation.				
<input checked="" type="checkbox"/> Demonstrates a belief through words and actions that teachers and staff can impact student learning and achievement. <input type="checkbox"/> Demonstrates an understanding of how unity of purpose, teamwork, and commitment to the work are interrelated and support the work of the school.	... and <input checked="" type="checkbox"/> Is the driving force behind a community-wide belief that teachers and staff can impact student learning and achievement. <input checked="" type="checkbox"/> Leads the development of an understanding of a unified purpose and a shared vision for the school.	... and <input type="checkbox"/> Routinely and systematically monitors the level of collective efficacy in the school. <input checked="" type="checkbox"/> Assures that unity of purpose, teamwork, and commitment to the work are at the core of all decisions, activities, and initiatives.	... and <input type="checkbox"/> Leverages vicarious and mastery experiences to build collective efficacy around teacher and staff ability to impact student learning and achievement. <input type="checkbox"/> Monitors, evaluates, and annually updates the school's purpose, shared vision, and the systems and procedures that support the schools purpose and vision.	



d. Input: Involves teachers in the design and implementation of important decisions.				
DEVELOPING	PROFICIENT	ACCOMPLISHED	DISTINGUISHED (COMMENT REQUIRED)	NOT DEMONSTRATED (COMMENT REQUIRED)
<input checked="" type="checkbox"/> Demonstrates an understanding of the importance of providing opportunities for stakeholder input on important issues and decisions.	... and <input checked="" type="checkbox"/> Seeks input from and provides opportunities for stakeholder groups to be involved in the school's decision-making processes.	... and <input type="checkbox"/> Creates opportunities and sets expectations for stakeholder groups to assume meaningful leadership and decision-making roles.	... and <input type="checkbox"/> Leverages stakeholder group input in order to create systems and processes that support rigorous education and relevant outcomes that matter to all.	
e. Relationships: Demonstrates awareness of the personal aspects of teachers and staff.				
<input checked="" type="checkbox"/> Knows teachers and staff on an appropriate personal level in order to keep informed about issues within their lives that may enhance or detract from their performance.	... and <input checked="" type="checkbox"/> Creates opportunities for teachers and staff to share personal and professional aspirations, prior experiences and successes, interests, and outside activities. <input checked="" type="checkbox"/> Acknowledges significant events in the lives of teachers and staff.	... and <input type="checkbox"/> Identifies and uses the collection of skills, knowledge, and interests teachers and staff members bring to their jobs to provide opportunities for professional growth.	... and <input type="checkbox"/> Strategically uses the strengths and interests of staff to significantly improve student performance.	
f. Situational Awareness: Is aware of the details and the undercurrents in the running of the school and uses this information to address current and potential problems.				
<input checked="" type="checkbox"/> Understands the nature and impact on the school culture of informal groups and relationships among teachers and staff.	... and <input type="checkbox"/> Recognizes and addresses potential conflicts and undercurrents among stakeholder groups, and/or issues in the school that could create discord.	... and <input type="checkbox"/> Implements strategies to ensure that relationships among formal and informal groups impact the school in a positive way.	... and <input type="checkbox"/> Leverages opportunities to build and strengthen trusting and productive relationships in order to strengthen the school's capacity to meet future challenges.	
g. Visibility: Has quality contacts and interactions with teachers and students.				
Develops a systematic and strategic plan for visibility that includes <input checked="" type="checkbox"/> Frequent visits to classrooms. <input checked="" type="checkbox"/> Frequent interactions with all stakeholder groups.	... and Implements the strategic plan for visibility that includes <input checked="" type="checkbox"/> Frequent visits to classrooms. <input checked="" type="checkbox"/> Frequent interactions with all stakeholder groups.	... and <input checked="" type="checkbox"/> Uses classroom visitations and interactions with stakeholder groups to reinforce the outcomes that matter to all and the overall purpose of the school.	... and <input checked="" type="checkbox"/> Has established a purposeful community and developed meaningful networks and strategic alliances to accomplish the school's goals.	

**COMMENTS:**

COMMUNICATION IS A COMPLEX AND OFTEN DIFFICULT PROCESS, HOWEVER IT IS AN ESSENTIAL RESPONSIBILITY. MANY ISSUES AND PROBLEMS CAN BE AVERTED AND QUICKLY RESOLVED WHEN ORGANIZED STRUCTURES AND PATTERNS OF COMMUNICATION ARE CLEARLY DEFINED AND ADHERED TO. TEACHERS, STUDENTS AND PARENTS WILL BENEFIT FROM BETTER COMMUNICATION STRUCTURES. SOME BENEFITS OF IMPROVING COMMUNICATION SKILLS ARE: IMPROVED PRODUCTIVITY; BETTER PROBLEM SOLVING; ENHANCED CREATIVITY AND EFFICIENCY; BETTER WORKING RELATIONSHIPS; AND FOSTERING A STRONGER SCHOOL CULTURE THAT EMPHASIZES IMPROVING STUDENT PERFORMANCE.

**RECOMMENDED ACTIONS:**

CONVENE A COMMITTEE COMPRISED OF YOUR LEADERSHIP TEAM, STUDENTS AND PARENTS TO ADDRESS THE QUALITIES OF YOUR CURRENT COMMUNICATION PROCESSES. DETERMINE WHAT SYSTEMS ARE CURRENTLY MEETING THE DESIRED OUTCOME INTENDED BY YOUR COMMUNICATION PROCESSES. DETERMINE THE GAPS IN YOUR CURRENT COMMUNICATION PROCESSES. DEVELOP AND IMPLEMENT SOME BASIC COMMUNICATION PROCESSES THAT ADDRESS THE COMMUNICATION GAPS.

**RESOURCES NEEDED TO COMPLETE THESE ACTIONS:**

NONE

**EVIDENCE OR DOCUMENTATION THAT MAY BE USED TO SUPPORT RATINGS:**

- ☐ School Vision and Mission Statements
- ☐ Progress Toward Achievement of Smart Goals
- ☐ Staff Conference Agendas and Minutes
- ☐ Staff Bulletins and Newsletters
- ☐ Team Meeting Agendas
- ☐ Teacher Survey Data
- ☐ Community Survey Data
- ☐ Identification and Use of Human and Fiscal Resources
- ☐ PTA/Principal's Newsletter
- ☐ Master Schedule
- ☐ PTA Calendar
- ☐ School Calendar
- ☐ ELL Support Schedule
- ☐ Faculty Meeting Agendas, Sign In Sheets, Minutes
- ☐ Clear Vision and Mission about Improving Student Achievement
- ☐ Student Achievement Data
- ☐ Student Attendance Data
- ☐ Teacher Attendance Data
- ☐ Graduation and Promotion Rates
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_



## SAMPLE COMPLETED PRINCIPAL SUMMARY EVALUATION WORKSHEET

This form is used to summarize self-assessment and evaluate ratings in preparation for the mid-year and summary evaluation conferences. The principal and superintendent or designee independently complete the form by recording ratings of individual responsibilities based on the ratings of practices collected on the rubric. During mid-year and summary evaluation conferences, the principal and superintendent or designee will jointly complete the final version of this form and agree on the final ratings.

Name of Principal: \_\_\_\_\_ Date: \_\_\_\_\_

School: \_\_\_\_\_ District: \_\_\_\_\_

Name of Evaluator: \_\_\_\_\_ Title: \_\_\_\_\_

DISTINGUISHED							✓		✓								✓								✓	
ACCOMPLISHED																		✓	✓					✓		
PROFICIENT				✓	✓								✓													
DEVELOPING	✓	✓				✓			✓	✓					✓					✓						
NOT DEMONSTRATED			✓				✓					✓		✓		✓				✓			✓		✓	
	AFFIRMATION	COMMUNICATION	CULTURE	INPUT	RELATIONSHIPS	SITUATIONAL AWARENESS	VISIBILITY	OVERALL: PURPOSEFUL COMMUNITY	CHANGE AGENT	FLEXIBILITY	IDEALS AND BELIEFS	INTELLECTUAL STIMULATION	KNOWLEDGE OF CURRICULUM, INSTRUCTION, AND ASSESSMENT	MONITOR AND EVALUATE	OPTIMIZE	OVERALL: MANAGING CHANGE	CONTINGENT REWARDS	DISCIPLINE	FOCUS	INVOLVEMENT IN CURRICULUM, INSTRUCTION, AND ASSESSMENT	ORDER	OUTREACH	RESOURCES	OVERALL: FOCUS OF LEADERSHIP		
	PURPOSEFUL COMMUNITY								MANAGING CHANGE								FOCUS OF LEADERSHIP									

## SAMPLE COMPLETED PRINCIPAL SUMMARY EVALUATION RATING FORM

This form is to be jointly completed by the principal and superintendent or designee during the Summary Evaluation Conference conducted at the end of the year.

Name: Adam Strator \_\_\_\_\_

School: Demo District \_\_\_\_\_ School Year: 2010-2011 \_\_\_\_\_

Evaluator: Greg Jones \_\_\_\_\_ District: Generic System \_\_\_\_\_

Date Completed: \_\_\_\_\_ Evaluator's Title: Executive Director of Schools \_\_\_\_\_

## FRAMEWORK COMPONENT 1: PRINCIPAL LEADERSHIP RESPONSIBILITIES ASSOCIATED WITH MANAGING CHANGE

ELEMENTS	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. CHANGE AGENT: IS WILLING TO AND ACTIVELY CHALLENGES THE STATUS QUO.				✓	
B. FLEXIBILITY: ADAPTS HIS OR HER LEADERSHIP BEHAVIOR TO THE NEEDS OF THE CURRENT SITUATION AND IS COMFORTABLE WITH DISSENT.	✓				
C. IDEALS AND BELIEFS: COMMUNICATES AND OPERATES FROM STRONG IDEALS AND BELIEFS ABOUT SCHOOL AND SCHOOLING.	✓				
D. INTELLECTUAL STIMULATION: ENSURES THAT THE FACULTY AND STAFF ARE AWARE OF THE MOST CURRENT THEORIES AND PRACTICES AND MAKES THE DISCUSSION OF THESE A REGULAR ASPECT OF THE SCHOOL CULTURE.					✓
E. KNOWLEDGE OF CURRICULUM, INSTRUCTION, AND ASSESSMENT: IS KNOWLEDGEABLE ABOUT THE CURRENT CURRICULUM, INSTRUCTION, AND ASSESSMENT PRACTICES.		✓			
F. MONITOR AND EVALUATE: MONITORS THE EFFECTIVENESS OF SCHOOL PRACTICES AND THEIR IMPACT ON STUDENT LEARNING.					✓
G. OPTIMIZE: INSPIRES AND LEADS NEW AND CHALLENGING INNOVATIONS.	✓				
OVERALL RATING FOR MANAGING CHANGE					✓

## COMMENTS:

YOUR ABILITY TO RECOGNIZE AND MAKE EFFECTIVE USE OF THE VARIOUS STAKEHOLDER GROUPS IN YOUR COMMUNITY HAS PROVEN TO BE VALUABLE IN YOUR EFFORTS TO IMPLEMENT THE STRATEGIC INITIATIVES OF THE DISTRICT. CONTINUING TO CHALLENGE THE STATUS QUO AS AN EFFECTIVE CHANGE AGENT WILL INCREASE THE ABILITY OF YOUR STAFF TO SUCCESSFULLY IMPLEMENT CHANGES QUICKLY AND MORE EFFECTIVELY.

IN AN EFFORT TO BRING YOUR STAKEHOLDER GROUPS TO A CLEARER UNDERSTANDING OF YOUR SCHOOL IMPROVEMENT EFFORTS IT IS EXPECTED THAT YOU WILL SEEK TO USE THE MOST CURRENT LITERATURE ON EFFECTIVE SCHOOLS AND SCHOOLING. INTELLECTUAL STIMULATION PROVIDES THE OPPORTUNITY FOR STAKEHOLDERS AND FACULTY TO UNDERSTAND THE RESEARCH THAT SUPPORTS YOUR SCHOOL IMPROVEMENT EFFORTS. ADDITIONALLY, SUCH LITERATURE CAN STIMULATE CONVERSATIONS FOCUSED ON IMPLEMENTATION STRATEGIES.

## RECOMMENDED ACTIONS:

IT IS RECOMMENDED THAT YOU MEET WITH THE EXECUTIVE DIRECTOR OF STUDENT ACHIEVEMENT TO DISCUSS AND OBTAIN HER EXPERTISE REGARDING THE CURRENT RESEARCH ON THE CATEGORIES OF INSTRUCTIONAL PRACTICE. ADDITIONALLY, CONSIDER HAVING HER FACILITATE A SESSION WITH YOU AND YOUR LEADERSHIP TEAM TO GAIN A DEEPER UNDERSTANDING.

MONITOR AND EVALUATE: TAKING INITIATIVE TO IMPLEMENT CHANGES WILL MAKE A DIFFERENCE IN STUDENT PERFORMANCE. HOWEVER, UNDERSTANDING THAT YOUR IMPLEMENTATION EFFORTS HAVE AND WILL CONTINUE TO HAVE AN IMPACT ON YOUR STAFF IS IMPORTANT. YOU ARE EXPECTED TO TAKE INTO CONSIDERATION SECOND ORDER CHANGE IMPLICATIONS. TO MINIMIZE THE CONSEQUENCES OF 2ND ORDER IMPLICATION REQUIRES SYSTEMS AND PROCEDURES TO ASSIST STAFF MEMBERS IN TRANSITIONING FROM OLD WAYS OF PRACTICE TO MORE CURRENT PRACTICES.

## RESOURCES NEEDED TO COMPLETE THESE ACTIONS:

None

## EVIDENCE OR DOCUMENTATION THAT MAY BE USED TO SUPPORT RATINGS:

- ☐ ELL Monitoring Notebook
- ☒ Professional Development Plan
- ☐ Regular Feedback to Teachers and Staff Regarding Performance
- ☒ Planning and Leading Professional Development
- ☒ Classroom Walkthrough Data
- ☐ Monitoring Plan
- ☒ Operating principals and Working Agreements
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_

## FRAMEWORK COMPONENT 2: PRINCIPAL RESPONSIBILITIES ASSOCIATED WITH FOCUS OF LEADERSHIP

ELEMENTS	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. <b>CONTINGENT REWARDS:</b> RECOGNIZES AND REWARDS INDIVIDUAL ACCOMPLISHMENTS.				✓	
B. <b>DISCIPLINE:</b> PROTECTS TEACHERS FROM ISSUES AND INFLUENCES THAT WOULD DETRACT FROM THEIR TIME OR FOCUS.			✓		
C. <b>FOCUS:</b> ESTABLISHES CLEAR GOALS AND KEEPS THOSE GOALS IN THE FOREFRONT OF THE SCHOOL'S ATTENTION.			✓		
D. <b>INVOLVEMENT IN CURRICULUM, INSTRUCTION, AND ASSESSMENT:</b> IS DIRECTLY INVOLVED IN HELPING TEACHERS DESIGN CURRICULAR ACTIVITIES AND ADDRESS ASSESSMENT AND INSTRUCTIONAL ISSUES.	✓				
E. <b>ORDER:</b> ESTABLISHES A SET OF STANDARD OPERATING PROCEDURES AND ROUTINES.					✓
F. <b>OUTREACH:</b> IS AN ADVOCATE AND SPOKESPERSON OF THE SCHOOL TO ALL STAKEHOLDERS.			✓		
G. <b>RESOURCES:</b> PROVIDES TEACHERS WITH MATERIAL AND PROFESSIONAL DEVELOPMENT NECESSARY FOR THE EXECUTION OF THEIR JOBS.				✓	
<b>OVERALL RATING FOR FOCUS ON LEADERSHIP</b>					✓

### COMMENTS:

DEVELOPING CLEAR PROCEDURES AND ROUTINES ASSIST TEACHERS, STUDENTS AND PARENTS IN UNDERSTANDING AND ADHERING TO RULES AND EXPECTATIONS. YOUR OPERATING PROCEDURES WILL REDUCE AMBIGUITY REGARDING EXPECTATIONS OF BEHAVIOR AND PERFORMANCE AND CREATE A SENSE OF ORDER TO YOUR SCHOOL.

THE BUDGET AND RESOURCE ALLOCATION PROCESS THAT YOU HAVE DEVELOPED WILL HAVE A POSITIVE IMPACT ON IMPROVING STUDENT ACHIEVEMENT. DIRECTLY IDENTIFYING AND ALLOCATING RESOURCES THAT ARE DIRECTLY ALIGNED WITH YOUR SCHOOL IMPROVEMENT INITIATIVES, PROVIDE TEACHERS THE NECESSARY RESOURCES TO ACCOMPLISH THEIR STATED INSTRUCTIONAL AND STUDENT ACHIEVEMENT GOALS.

### RECOMMENDED ACTIONS:

WORK WITH YOUR LEADERSHIP TEAM TO ESTABLISH OPERATING PROCEDURES AND ROUTINES THAT CREATE A SENSE OF ORDER AND CONSISTENCY IN EXPECTED BEHAVIOR. ENSURE THAT YOUR OPERATING PROCEDURES AND EXPECTATIONS ALIGN WITH DISTRICT POLICY. USE A VARIETY OF COMMUNICATION STRUCTURES TO INFORM TEACHERS, STUDENTS AND PARENTS OF THESE EXPECTATIONS.

REVIEW AND REVISE YOUR STUDENT HANDBOOK.

REVIEW AND REVISE YOUR STAFF HANDBOOK.

### RESOURCES NEEDED TO COMPLETE THESE ACTIONS:

SUBSTITUTE TEACHERS AVAILABLE FOR FACULTY/STAFF MEMBERS.

### EVIDENCE OR DOCUMENTATION THAT MAY BE USED TO SUPPORT RATINGS:

- ☐ Principal Training
- ☐ University/School Associations
- ☒ Formal Evaluations
- ☐ New Program Adoptions
- ☒ Grade-Level Meeting Agendas
- ☐ Progress Toward Achieving Goals
- ☐ Student Handbook
- ☐ Safety Plan
- ☒ Budget Notebook
- ☒ Student Support Plan
- ☐ Recognition Events
- ☐ Staff Handbook
- ☒ Site Calendar
- ☒ Master Schedule
- ☐ Staff and Teacher Surveys
- ☐ Community Activities
- ☐ Student Achievement Meetings, Protocols, and Schedules
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_

### FRAMEWORK COMPONENT 3: PRINCIPAL RESPONSIBILITIES ASSOCIATED WITH PURPOSEFUL COMMUNITY

ELEMENTS	Developing	Proficient	Accomplished	Distinguished	Not Demonstrated
A. <b>AFFIRMATION:</b> RECOGNIZES AND CELEBRATES SCHOOL ACCOMPLISHMENT AND ACKNOWLEDGES FAILURES.				✓	
B. <b>COMMUNICATION:</b> ESTABLISHES STRONG LINES OF COMMUNICATION WITH TEACHERS AND AMONG STUDENTS.			✓		
C. <b>CULTURE:</b> FOSTERS SHARED BELIEFS AND A SENSE OF COMMUNITY AND COOPERATION.			✓		
D. <b>INPUT:</b> INVOLVES TEACHERS IN THE DESIGN AND IMPLEMENTATION OF IMPORTANT DECISIONS.	✓				
E. <b>RELATIONSHIPS:</b> DEMONSTRATES AWARENESS OF THE PERSONAL ASPECTS OF TEACHERS AND STAFF.					✓
F. <b>SITUATIONAL AWARENESS:</b> IS AWARE OF THE DETAILS AND THE UNDERCURRENTS IN THE RUNNING OF THE SCHOOL AND USES THIS INFORMATION TO ADDRESS CURRENT AND POTENTIAL PROBLEMS.			✓		
G. <b>VISIBILITY:</b> HAS QUALITY CONTACTS AND INTERACTIONS WITH TEACHERS AND STUDENTS.				✓	
<b>OVERALL RATING FOR PURPOSEFUL COMMUNITY</b>					✓

#### COMMENTS:

COMMUNICATION IS A COMPLEX AND OFTEN DIFFICULT PROCESS, HOWEVER IT IS AN ESSENTIAL RESPONSIBILITY. MANY ISSUES AND PROBLEMS CAN BE AVERTED AND QUICKLY RESOLVED WHEN ORGANIZED STRUCTURES AND PATTERNS OF COMMUNICATION ARE CLEARLY DEFINED AND ADHERED TO. TEACHERS, STUDENTS AND PARENTS WILL BENEFIT FROM BETTER COMMUNICATION STRUCTURES. SOME BENEFITS OF IMPROVING COMMUNICATION SKILLS ARE: IMPROVED PRODUCTIVITY; BETTER PROBLEM SOLVING; ENHANCED CREATIVITY AND EFFICIENCY; BETTER WORKING RELATIONSHIPS; AND FOSTERING A STRONGER SCHOOL CULTURE THAT EMPHASIZES IMPROVING STUDENT PERFORMANCE.

#### RECOMMENDED ACTIONS:

CONVENE A COMMITTEE COMPRISED OF YOUR LEADERSHIP TEAM, STUDENTS AND PARENTS TO ADDRESS THE QUALITIES OF YOUR CURRENT COMMUNICATION PROCESSES. DETERMINE WHAT SYSTEMS ARE CURRENTLY MEETING THE DESIRED OUTCOME INTENDED BY YOUR COMMUNICATION PROCESSES. DETERMINE THE GAPS IN YOUR CURRENT COMMUNICATION PROCESSES. DEVELOP AND IMPLEMENT SOME BASIC COMMUNICATION PROCESSES THAT ADDRESS THE COMMUNICATION GAPS.

#### RESOURCES NEEDED TO COMPLETE THESE ACTIONS:

NONE

#### EVIDENCE OR DOCUMENTATION THAT MAY BE USED TO SUPPORT RATINGS:

- ☒ School Vision and Mission Statements
- ☐ Progress Toward Achievement of Smart Goals
- ☒ Staff Conference Agendas and Minutes
- ☐ Staff Bulletins and Newsletters
- ☐ Team Meeting Agendas
- ☐ Teacher Survey Data
- ☐ Community Survey Data
- ☐ Identification and Use of Human and Fiscal Resources
- ☒ PTA/Principal's Newsletter
- ☒ Master Schedule
- ☒ PTA Calendar
- ☒ School Calendar
- ☐ ELL Support Schedule
- ☐ Faculty Meeting Agendas, Sign In Sheets, Minutes
- ☐ Clear Vision and Mission about Improving Student Achievement
- ☒ Student Achievement Data
- ☒ Student Attendance Data
- ☐ Teacher Attendance Data
- ☐ Graduation and Promotion Rates
- ☐ \_\_\_\_\_
- ☐ \_\_\_\_\_

# SAMPLE COMPLETED PRINCIPAL SUMMARY GOAL-SETTING FORM

Name of Principal: \_\_\_\_\_ School: \_\_\_\_\_ School Year: \_\_\_\_\_

INSTRUCTIONS: This goal-setting form may be completed by the principal following the self-assessment process. The goals, as well as activities, outcomes and timeline, will be reviewed by the principal's supervisor. Each principal must establish one (1) goal related to the core responsibilities for principals and two (2) additional goals, for a total of at least three (3) goals. It is recommended that no more than five (5) goals be established for a single school year. It is not necessary for the principal to have a goal for each framework component.

FRAMEWORK COMPONENT	RESPONSIBILITIES	GOAL(S)	KEY ACTIVITIES/STRATEGIES (WHAT YOU NEED TO DO TO ACCOMPLISH THE GOAL)	OUTCOMES	TIMELINE FOR ACHIEVING GOAL	RESOURCES NEEDED
MANAGING CHANGE	INTELLECTUAL STIMULATION	USE THE CURRENT LITERATURE AND RESEARCH ON EFFECTIVE INSTRUCTIONAL PRACTICES.	MEET WITH THE EXECUTIVE DIRECTOR OF STUDENT ACHIEVEMENT TO OBTAIN CURRENT LITERATURE AND RESEARCH REGARDING INSTRUCTIONAL PRACTICES. EVALUATE AND DISCUSS THE RESEARCH PROVIDED. SYNTHESIZE THE LITERATURE AND RESEARCH WITH THE LEADERSHIP TEAM. SHARE THE INFORMATION WITH STAFF DURING SCHEDULED MEETINGS AND PROFESSIONAL DEVELOPMENT DAYS.	PROVIDE THE DECLARATIVE AND PROCEDURAL KNOWLEDGE WITH FACULTY AND STAFF. REINFORCE THE USE OF BEST INSTRUCTIONAL PRACTICES.	MONTHLY STAFF MEETING, BI-MONTHLY PLC MEETINGS.	NONE
	ORDER	FORMALLY DEVELOP CLEAR RULES, PROCEDURES AND ROUTINES FOR STAFF AND STUDENTS.	INITIATE A TEAM OF TEACHERS, STUDENTS AND PT/CO MEMBERS TO EVALUATE THE CURRENT STUDENT AND STAFF HANDBOOK. DETERMINE WHICH RULES AND PROCEDURES ARE CURRENTLY IN PLACE. DETERMINE RULES AND PROCEDURES THAT ARE IN PRACTICE BUT NOT FORMALIZED. OF THOSE "INFORMAL" RULES AND PROCEDURES WHICH NEED TO BE ADAPTED, ADOPTED AND THEN FORMALIZED. CONDUCT FACULTY REVIEW THE HANDBOOKS, MAKE ANY CORRECTIONS/ADDITIONS AND SEEK THE APPROVAL OF THE EXECUTIVE DIRECTOR.	PRODUCE A COMPREHENSIVE HANDBOOK FOR STUDENTS AND STAFF.	TASK FORCE MEMBERS: SEPTEMBER 1, 2010. REVIEW OF CURRENT HANDBOOKS AND RECOMMENDED CHANGES AND MODIFICATIONS: NOVEMBER 15, 2010. SUBMISSION OF REVISED HANDBOOK JANUARY 30, 2011. ANY LAST REVISIONS FEBRUARY 20, 2011. REVIEW OF HANDBOOK WITH KEY CENTRAL OFFICE STAFF MARCH 15, 2011. ADOPTION OF HANDBOOKS APRIL 2011.	SUBSTITUTE PAY FOR THREE 1/2 DAY SUBSTITUTES FOR EIGHT TEACHERS. PUBLICATION COST FOR THE USE OF DISTRICT PRINTING SERVICES TO PRODUCE THE PRINTED VERSIONS OF THE FACULTY AND STAFF HANDBOOKS.
PURPOSEFUL COMMUNITY	COMMUNICATION	ESTABLISH COMMUNICATION SYSTEMS THAT CLEARLY ARTICULATE THE PURPOSE AND MISSION OF THE SCHOOL.	WEEKLY SCHOOL LEADERSHIP TEAM MEETINGS EVALUATING OUR COMMUNICATION PROCESSES. SURVEY PARENTS AND COMMUNITY MEMBERS TO DETERMINE THE COMMUNICATION NEEDS OF STAFF, STUDENTS, PARENTS AND COMMUNITY MEMBERS. DETERMINE WHAT SYSTEMS ARE CURRENTLY MEETING THE DESIRED OUTCOME INTENDED BY YOUR COMMUNICATION PROCESSES. DETERMINE THE GAPS IN YOUR CURRENT COMMUNICATION PROCESSES. DEVELOP AND IMPLEMENT SOME BASIC COMMUNICATION PROCESSES THAT ADDRESS THE COMMUNICATION GAPS.	IMPROVE THE PROCESS OF COMMUNICATION TO THE VARIETY OF STAKEHOLDER GROUPS.	WEEKLY LEADERSHIP TEAM MEETINGS WITH A HIGH PRIORITY AGENDA ITEM THAT ADDRESSES COMMUNICATION. DEVELOPMENT OF A SURVEY TO BE DISTRIBUTED SEMI-ANNUALLY TO STAFF AND PARENTS SOLICITING FEEDBACK ON THE EFFECTIVENESS OF OUR COMMUNICATION SYSTEMS. DEVELOPED BY SEPTEMBER 15, 2010 WITH SEMI-ANNUAL DISTRIBUTION IN OCTOBER AND APRIL OF EACH YEAR.	NONE

Principal Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## Principal Evaluation

25%	Purposeful Community
25%	Managing Change
25%	Focus of Leadership
10%	Student Learning Data (Accountability A-F Grade)
15%	Administration Goals/Objectives
100%	

## Calculations

### Leadership Outcomes Rubric (75%)

Effectiveness Rubric: This score is obtained from the evaluation rating from the McREL's Principal Evaluation Rubric. The process for determining this is outlined below.

Adm. Evaluation Rubric	Evaluation Rating	*Conversion Score	Weighting	Composite Score by Standard
Purposeful Community			25%	
Managing Change			25%	
Focus of Leadership			25%	
*Overall Rating			75%	

\*Conversion Score: Not Demonstrated = 0, Developing = 5, Proficient = 10, Accomplished = 15, Distinguished = 20

*Expectations	*Category	*Points
Distinguished/Accomplished	Highly Effective	4
Proficient	Effective	3
Developing	Improvement Necessary	2
Not Demonstrated	Ineffective	1

### Student Learning Data – Accountability A-F Grade (10%)

Accountability A-F Grade: The Accountability A-F Grade is obtained through its own rating process that incorporates growth and achievement. This rating is available through IDOE in August of each year to include in the evaluation. It is weighted at 20% of the principal's or administrator's comprehensive rating in this example.

A-F Grade	Category	Points
A	Highly Effective	4
B	Effective	3
C	Improvement Necessary	2
D or F	Ineffective	1

### **Principal Goals/Objectives (15%) – Based on McREL Self-Evaluation**

This is an opportunity for the principal to focus on individual goals/objectives identified by the self-evaluation process and mutually agreed upon by the administrator and the superintendent. It is weighted at 15% of the administrator's comprehensive rating.

The guidelines for the Principal Goals/Objectives are as follow:

1. Must be written to ensure future reference.
2. Must be collaboratively set by the administrator and their evaluator.
3. Must be measurable.
4. Must represent no more than two goals.
5. Must be established with reasonable time frames for completion.

<b>Expectations</b>	<b>Category</b>	<b>Points</b>
Exceeds all goals	Highly Effective	4
Meets all goals, may exceed one	Effective	3
Meets only one goal	Improvement Necessary	2
Meets no goal	Ineffective	1

### **Computing the Score**

Rating	Category Rating	Score #1, 2, 3 or 4	Weight	Score
Leadership Outcomes – Rubric			0.75	
Accountability A-F Grade			0.10	
Administrator Goals/Objectives			0.15	
			Comprehensive Effectiveness Rating	

### **Scale**

Points	Categories			
	Ineffective	Improvement Necessary	Effective	Highly Effective
	1.0	1.75	2.5	3.5

# ***Tippecanoe Valley School Corporation***

**Document C**



***Superintendent Performance Evaluation  
Handbook  
2012-2013***



# **Indiana Superintendent Evaluation Process**

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**A JOINT PROJECT BY**

**THE INDIANA SCHOOL BOARDS ASSOCIATION  
&  
THE INDIANA ASSOCIATION OF  
PUBLIC SCHOOL SUPERINTENDENTS**

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The 2012 revision of the Superintendent Evaluation Manual has been carefully reviewed and is being offered to school boards and superintendents as a viable process to conduct a meaningful and formative evaluation of the professional performance of public school superintendents throughout Indiana. This manual provides a complete process for the superintendent evaluation, but should be considered to be a reference, or a guide to that process. Additional assistance may be obtained from ISBA or IAPSS. The material contained in this manual is the result of the research, discussions, and conclusions expressed by the joint revision committee representing ISBA and IAPSS.

The revision committee extends our appreciation to the Indiana Department of Education for their support and to Dr. Dennis Brooks for his contributions to this effort.

**The revision committee members:**

- ISBA:** Dr. Michael Adamson – Director of Board Services  
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- IAPSS:** Dr. Thomas Little – Superintendent, M.S.D. of Perry Township  
Dr. Kevin Caress – Superintendent, Clark Pleasant Community School Corporation  
Dr. Sherry Grate – Superintendent, DeKalb County Central U.S.D.  
Dr. Scott Hanback – Superintendent, Tippecanoe School Corporation

## Purpose and Value of Evaluation

**T**he superintendent evaluation is one of the fundamental responsibilities of the school board. However, with the 2011 adoption of IC 20-28-11.5-4, regarding annual performance evaluations for certificated employees, there is an even greater reason for careful consideration when selecting an evaluation instrument, as well as how the entire evaluation process is conducted. Critical to this exercise is a mutual understanding of the value and overall purpose of the evaluation process.

This manual provides both school boards and superintendents a structure they may follow and an evaluation instrument that satisfies the Indiana Department of Education (IDOE) expectations that are defined in the “Indiana Content Standards for Educators: School Leader – District Level” (See Appendix A). Personalities and personal relationships are largely removed from the process with the emphasis placed on the professional attributes of the superintendent’s job performance.

The Indiana School Boards Association (ISBA) and the Indiana Association of Public School Superintendents (IAPSS) endorse the IDOE position regarding superintendent evaluation which stresses that,

**The development of robust superintendent evaluations is important because the success of the evaluation of Indiana’s teachers and principals may depend on strong accountability for district leaders. Superintendents can make a better case for holding educators to high levels of accountability when they themselves are being judged based on student outcomes and Indiana’s educators are more likely to accept strong accountability when they see themselves as being part of a broader system that has rigorous criteria built into it from top to bottom.**

An evaluation instrument adopted by a local school board may cover a range of attributes in several categories; however, every evaluation instrument must minimally be able to show compliance to the State Standards for School Leaders – District Level. To that end, the proposed evaluation process contains proficiency elements that address the following state standards:

1. Human Capital Management.
2. Instructional Leadership
3. Personal Behavior
4. Building Relationships
5. Culture of Achievement
6. Organizational, Operational, and Resource Management

Additionally, the evaluation contains:

1. Instructions and directions for the evaluators (school board);
2. Clearly stated performance expectations based on professional standards and as defined in leading research by educational leadership authorities;
3. A means to measure individualized goal and/or objective performance;
4. Student growth criteria; and,
5. A section that provides instructions to superintendents on preparation for the evaluation process.

Lastly, there are guidelines for boards and superintendents to effectively weigh various elements of the evaluation in consideration of the range and scope of superintendent responsibilities, depending on the size of the school corporation, number of subordinate administrators, past performance, etc.

It is important to stress that evaluations should predominantly be limited to an objectively measurable criterion, illustrated by such things as work samples, observations, reports, and conferences with the superintendent. The objective is for the evaluation to support the process for improvement and goal attainment, as well as to encourage the continuing evolution of professional growth.

This evaluation is *formative* in substance, identifying areas where job performance can be improved through intentional activities that support and enhance the superintendent's job performance. The evaluation is not simply a *summative* review of what did or did not happen according to plans. Consequently, it is important to allow for some flexibility in the process, remembering to differentiate between those goals that can be reasonably expected to be achieved and those goals that are more subject to circumstances beyond the superintendent's ability to control.

The school board should strive to accomplish the following objectives through the evaluation process:

1. To clarify the superintendent's role as seen by the board;
2. To develop a harmonious working relationship between the board and the superintendent;
3. To encourage job performance improvement and development; and
4. To establish goals and objectives for the future.

Strengthening the board/superintendent relationship is vital to the continuing health and productive performance of a school system's leadership team. Consequently, the superintendent should be an active participant in the evaluation as well as establishing the performance goals and a method of monitoring and reporting his or her progress to the board at regular intervals throughout the year.

The evaluation process is not an exercise that can be accomplished without considerable thought and effort. Board members and superintendents must become familiar with the process, adapt and apply the performance criteria to the expectations and responsibilities of the superintendent and the needs and character of the school corporation. A good evaluation process, carefully administered and completed, is not only a record of annual performance, but is both a necessary and constructive accountability tool for school boards and superintendents.

# Different Evaluation Instruments

The school board is responsible to choose an evaluation instrument that meets the school corporation's needs. Developing or choosing the right evaluation form is as important as writing a comprehensive job description. Certainly, the board should select an evaluation instrument that best represents both the board and the superintendent's interests, but it must also meet the criteria for evaluation of certificated employees established by IC 20-28-11.5-4 (see Appendix C).

The goal of the evaluation instrument should be to objectively measure performance characteristics that reflect the priorities jointly established by the board and superintendent, as well as to assess a superintendent's performance in critical areas of job performance. Additionally, the evaluation instrument should be reasonably easy to use.

It is important to remember that the purpose of the superintendent's evaluation is to determine how the superintendent is performing his or her duties and responsibilities as objectively as possible, nothing else. Its purpose is to evaluate professional performance only!

The board should always include the superintendent in the evaluation process. It is a fairly common practice for a superintendent to complete a self-evaluation, using the same evaluation instrument as the board, with the results of that self-assessment shared with the board after their assessment is completed.

Selecting the best evaluation form, one that meets the board's purposes, is mutually acceptable, and reasonably easy to use, is worthy of expending the time necessary to choose or develop. There are many types of instruments readily available; however, most do not meet the current intent of evaluations as defined in Indiana statute (see Appendix C). If an evaluation instrument meets the requirements of your corporation, it is perfectly acceptable to use it *as is*. However, it is permissible and in some cases preferable, to customize a form to more accurately reflect the mission of your individual school corporation.

Choosing the correct evaluation form and type should not be done solely by the board, or solely by the superintendent. It is important that choosing the evaluation instrument and devising the performance criteria be a joint activity between the board and superintendent. Each has a vested interest in the tool and if all parties are comfortable with the procedure, the results of the evaluation will be more beneficial and will focus on ways to enhance job performance.

Various evaluation instruments have been commonly used in the superintendent evaluation process and school boards are responsible for choosing the evaluation type and process that best fits their purposes and the criteria that is now in statute. The more common of these evaluations types are explained below:

## ***The Rubric Instrument***

An increasingly popular evaluation method is a rubric evaluation instrument. This method is commonly utilized by classroom teachers as a means of objective course and assignment evaluations. More recently, the rubric style of assessment has been modeled by IDOE in their RISE rubric evaluation, an evaluation instrument for school corporations' use in teacher and principal evaluations.

The merit in using a rubric instrument is that each indicator, question, skill set, or attribute is assigned values that describe various levels of performance or compliance. It is scored similar to Likert scale models, but instead of a number or letter with a subjective value, each performance level has an accompanying description that clearly defines the performance attributes that should be present for each indicator being assessed.

The rubric provides excellent formative evaluation information that is especially beneficial to continuous improvement goals. One of the difficulties with this instrument is that formulating the instrument is a research-based activity that is probably best facilitated by an outside consultant.

### ***The Likert Scale Instrument***

The Likert Scale instrument is one of the more common approaches used in superintendent evaluations. In this summative process, the evaluation consists of a list of responsibilities and tasks that are to be ranked, using a scale to indicate the superintendent's performance. Often there is a space for comments at the end of each category to permit the board to describe performance areas where they would like to see improvement and to identify areas where they believe the superintendent excels. This counters feelings that the evaluation is based on a series of subjective opinions. This evaluation instrument can be completed by the board individually and then averaged, or as a group by reaching consensus. Some of the advantages of the checklist instrument are:

1. It allows board members to use a numerical scale to evaluate how well the administrator is performing his or her duties;
2. It allows board members to give a priority ranking to the various tasks; and
3. It helps the board reach consensus regarding satisfactory or unsatisfactory assessments.

Some instruments have an additional scale for each category, asking board members to indicate their level of understanding or proficiency in each evaluation category. This adds an element of fairness to the evaluation by allowing a board member who does not thoroughly understand a particular performance category to be exempted from assessing the superintendent's skills in that area. Similarly, the additional scale may be used to evaluate a board member's perception of a category's value to the superintendent's overall job performance. This allows performance in areas deemed more critical to receive a stronger focus in the evaluation.

### ***The Attribute Instrument***

The short question and answer format consists of a few simple questions or statements that focus on the superintendent's basic responsibilities and how well he or she is fulfilling these responsibilities. Some questions frequently used are:

1. What are the primary responsibilities of the superintendent?
2. Which of these responsibilities has the superintendent done well?
3. What could the board do to help the superintendent improve job performance?
4. What could the superintendent do to improve the school system?

Board members should have the superintendent's job description to review as they answer these questions to assure their assessments reflect the responsibilities assigned by the job description.

Having the superintendent complete the evaluation from his or her perspective is also valuable for discussion purposes when the superintendent meets with the board to discuss the evaluation.

In this format, a designated board representative should act as the evaluation chairperson to record board consensus regarding job performance and targets for the superintendent in the upcoming year.

### ***The Narrative Instrument***

The narrative instrument requires the superintendent to write an assessment of his or her performance for the past year, relying on all the major performance responsibilities contained in the superintendent's job description.

The board is responsible to review the assessment and to respond with its own report, emphasizing areas of agreement and outlining any disagreements, including proposing areas for improved job performance.



# The Indiana Superintendent Evaluation Process

ISBA and IAPSS are recommending the Indiana Superintendent Evaluation Process to all school boards and superintendents to consider using for superintendent evaluations beginning with school year 2012-13. The Indiana Superintendent Evaluation Process has three primary components:

1. The Evaluation Instrument (Rubric)
2. Superintendent Goals and/or Objectives (Minimum of two per year)
3. The Corporation Accountability Grade (A – F)

Most importantly is that this evaluation process completely meets the requirements of the General Assembly's intent in IC 20-28-11.5-4.

## Setting the Evaluation Metrics Percentages

The evaluation metrics are critical to the process and must be taken seriously. The percentages represent the weight that is to be given to each of the three evaluation categories: the rubric, goals and/or objectives, and corporation accountability grade (see Figure 6). Obviously, if the entire process represents 100%, then each of these categories individually represents a value less than the total. All three percentages must have a combined total of 100%.

Metrics Percentages	
for school year	<input type="text"/>
Date Established	<input type="text"/>
Assessment Instrument	<input type="text"/>
Corporation Accountability Grade	<input type="text"/>
Goals / Objectives	<input type="text"/>
Total =	<input type="text"/>

Figure 6 – Metrics Percentages

The advice of ISBA and IAPSS is that the greater weight of evaluation should always be placed in the rubric. Neither goals and objectives, nor accountability grades should be weighed more than the rubric assessment. Additionally, it is highly recommended that no category be weighed at 0% of the total. The evaluation is about accountability and it is never advisable to misrepresent the importance of key

performance measures to unfairly skew evaluation results. However, it is recognized that flexibility is important; it will be more important to some boards for their superintendent to fulfill goals and objectives than for him or her to spend as much time to improve the corporation accountability grade, especially if the corporation has processes and procedures in place for the school that supports higher accountability grades. Other boards will feel just the opposite.

Consequently, it will be important for every school board and their superintendent to spend some time discussing the weights of each category, to arrive at a defensible position for the weight that will be applied to each category. Most importantly, category weighting should be determined at the beginning of each evaluation period and not be altered without official board action.

## The Evaluation Rubric

The rubric consists of 25 questions distributed within the six primary categories reflected in "Indiana Content Standards for Educators: School Leader – District Level." Each of the six categories has between two and six indicators that describe a specific performance to be evaluated. Next to each indicator, there are four performance descriptions: Highly Effective, Effective, Needs Improvement, and Ineffective, which describe varying levels of performance (see Figure 1).

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
5.1 Guiding building level staff to build productive and respectful relationships with parents/guardians and engage them in their children's learning.	The superintendent sets clear expectations and provides resources to support administrators to consistently and regularly engage all families in supporting their children's learning at school and home.	The superintendent sets clear expectations and provides support for administrators to regularly engage families in supporting their children's learning at school and home.	The superintendent sets general expectations and provides occasional support for administrators to engage families in supporting their children's learning at school and home.	The superintendent does not set expectations or provide support for administrators to regularly communicate with families on ways to support their children's learning at school and home.
Indicator	Performance Descriptions			

Figure 1 – Rubric indicators and performance descriptions

The board member reads the indicator and, after reviewing the objective evidence of performance provided by the superintendent in his or her annual performance portfolio, marks the appropriate level of performance on the corresponding Rubric Score Sheet (see Appendix D). See Figure 2, below.

5.0 Culture of Achievement School district superintendents develop a district wide culture of achievement aligned to the district's vision of success for every student.					
Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
5.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.4	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Score					

Place an "X" in the correct box matching the exhibited level of performance.

Figure 2 – Rubric score sheet

## Performance-Based Goals / Objectives

**F**ormalized evaluations give boards an opportunity to provide guidance to their superintendents regarding desired changes in the area of job performance, as well as the reinforcement of existing strengths that serve the school corporation. Plus, it is an opportunity for the superintendent and school board to discuss formative improvements.

It is extremely important that everyone is working toward the same goals. School boards and superintendents cannot achieve corporation goals if the board and the superintendent are working at cross purposes, or if the superintendent does not have a clear vision of where the school corporation should be headed. What are the priorities? What are the guidelines?

Consequently, it is critical that the superintendent be involved throughout the process of setting his or her annual performance-based goals. There are a number of ways to approach this activity, but the most effective way is to do it jointly. After performance objectives have been identified, the superintendent should draft a set of goals to meet those objectives. It is wise to have the superintendent also incorporate actions steps that include scheduled feedback to the board at regular intervals throughout the year.

Little will be accomplished unless the board gives clear guidance to the superintendent regarding specific objectives and/or goals to pursue. An effective evaluation process not only suggests the importance of individual objective and goal performance but includes it as an integral part of the overall evaluation process.

It is critical that boards work with their superintendent during this stage of the evaluation process to establish mutually agreed upon goals and objectives. The superintendent serves as the board's educational expert and should be the primary author of objectives and goals, but board members need to also be included in the formative stages of that the process. Objectives and/or goals are the primary ingredient in the evaluation process. If the superintendent's goals are not determined, the evaluation process is ineffective. Assuming that objectives and/or goals are in place, some guidelines to follow include:

Be sure the objectives and/or goals are:

- ❖ **Written**

This is the only way to ensure future reference to the goals and to avoid disputes regarding what was said. The goals should be stated in a manner that allows the board to monitor the superintendent's progress. Be as specific as possible regarding what you want to achieve. Avoid generalities and broad, sweeping statements.

- ❖ **Measurable**

When and how will you know the superintendent has achieved the established performance targets?

- ❖ **Attainable**

Do the goals you are asking the superintendent to achieve relate to the overall mission of the school corporation? Goals that are unimportant, or irrelevant, defeat the purpose of performance evaluations. Do not ask the superintendent to spend time pursuing something that is not really important to your school corporation.

- ❖ **Established with reasonable time-frames for completion**

When does the board expect the goals to be achieved? Establish deadlines and ask for periodic progress reports to determine whether the action plan is proceeding as planned. However, do not over-burden the superintendent to the degree that goal-reporting interferes with his or her normal duties and do not expect all goals to be completed at the same time. Some goals are and need to be ongoing. For those goals that may be extended for more than one evaluation period, it is critical that planned progress towards goal completion be monitored and the evaluation be based on that progress.

The superintendent should report his or her progress at various intervals throughout the year; however, a summary report should be prepared for the board prior to the annual evaluation. The process recommends a minimum of two goals and/or objectives per evaluation cycle, but the number may exceed two. The evaluation process form allows for up to six (see Figure 3). Each goal and/or objective is evaluated as Highly Effective, (exceeding its target), Effective, (met its target), Needs Improvement, (met a portion of its target), Ineffective, (failed to meet its target), after which it is scored based on a scale of 1-4, with 4= Highly Effective, 3= meeting all targets, perhaps exceeding in some, 2= meeting half of the targets, and 1= meeting less than half of the targets. The final score (1-4) is placed in the box next to the Goals/Objectives Score.

Superintendent Goals/Objectives					
Goal / Objective	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Figure 3 – Superintendent Goals/Objectives

It is important that the goals and/or objectives and their measurement criteria be defined sufficiently to eliminate any subjectiveness in the assessment regarding completion or progress to completion. Vague goals and/or objectives, or insufficient milestones to mark progress towards completion, will hinder the process and drive subjectiveness into the evaluation that will make scoring difficult, if not impossible, to justify.

The Superintendent Goals / Objectives worksheet computes a rating for each goal based upon the average of all board members' scores. The numerical value of the ratings is computed in the Goals/Objectives Score and the results tabulated in the Process Evaluation Workbook (see Figure 4 – Supt. Goals & Objectives).

Superintendent Goals / Objectives													
School Corporation: <input type="text"/>													
Number of Goals / Objectives: <input type="text"/>													
Exceeds all goals: <b>HE=4</b> Meets all goals, may exceed in some: <b>E=3</b> Meets half of goals: <b>NI=2</b> Meets less than half of goals: <b>I=1</b>													
Goal	1	2	3	4	5	6	7	8	9	10	11	12	Board Consensus Rating
1													
2													
3													
4													
5													
6													
Goals/Objectives Score: <input type="text"/>													

Figure 4 – Supt. Goals & Objectives

## Corporation Accountability Grade

The accountability grade is the overall corporation's overall grade in English and Math achievement as assigned by the IDOE. This grade appears as an "A" through "F" and each grade has a corresponding point value. The numerical equivalent for each grade is: "A" = 4, "B" = 3, "C" = 2, "D" or "F" = 1 and these grades are available from the IDOE in August of each year for the previous year's

progress. Consequently, while the rubric and goals and objectives categories can be assessed earlier, the final evaluation rating will have to wait until the accountability grade is available to add to the overall evaluation rating.

When the accountability grade is available, it is to be entered in the process analysis workbook in the Accountability Grade sheet. See Figure 5.

A - F Grade Scoring Criteria	
A	40-44
B	35-39
C	30-34
D or F	25-29

Figure 5 – Accountability Grade

Once the grade has been entered, the corresponding point value is automatically entered in the Auto Metrics Summary worksheet.

Following this basic process will enable the school board to deliver a responsible annual performance evaluation of the superintendent. However, it warrants repeating that a clear, initial understanding of the goals and/or objectives criteria for performance will expedite the process, as well as an understanding of the evidentiary data to show the level of compliance in response to the rubric questions.

## Superintendent Preparation

**P**reparation for the evaluation should be an ongoing activity, beginning at the start of the evaluation period and concluding at the formal evaluation. This format is foreign to many administrators, but especially those who have not been accustomed to regular evaluations or who have only received verbal affirmation of their performance from year-to-year.

It is critical that the superintendent communicate with his or her board prior to the beginning of the evaluation period. First, performance goals and/or objectives must be identified for the evaluation period. Most often, these recommendations will come from the superintendent, but the board may also contribute their ideas and suggestions to the process. A minimum of two goals and/or objectives are recommended during each evaluation cycle along with the criteria upon which the board can objectively ascertain performance progress. Secondly, the superintendent and school board must determine the weight of each of the three evaluation performance areas, the rubric, goals and/or objectives, and corporation grade rank.

Additionally, if there are areas within the rubric where it is unclear what documentation the superintendent should provide as evidence of performance, those areas should be thoroughly discussed and consensus reached regarding the evidence the board will accept as evidence of performance.

Finally, the superintendent and board should discuss and agree upon the method of providing the supporting evidence for the final evaluation. One suggestion is for the superintendent to maintain a performance portfolio with documents catalogued according to category and indicator. Maintaining a performance portfolio throughout the year assures that the documentation is readily available for the board's review at the end of the evaluation period and can be assembled for board review with minimal effort.

There is nothing that precludes a school board or a superintendent from engaging in an interim evaluation at a mid-point in the evaluation period. In fact, it is strongly recommended if the superintendent is new to the corporation or to the position. An informal, mid-term evaluation is an effective means of providing good feedback regarding performance, making sure that goals and/or objectives are progressing to expectation, or to address specific concerns or questions by either the superintendent or the school board.

Most importantly is that once the evaluation criteria has been established and the evaluation period begins, the criteria should not be changed without the express consent of both the superintendent and the school board.

## Board Member Preparation

**T**he key to preparing a high-quality evaluation is the conscientious participation of every member of the school board. Furthermore, it is impossible to conduct a thorough and complete superintendent evaluation without members' intentional preparation and the allocation of more than a few brief minutes to conduct the evaluation. Board members should be prepared to thoroughly review the superintendent's performance evidence against the rubric descriptions and/or agreed upon criteria for each indicator and for each goal or objective in the evaluation.

It is important that the board clearly establish its expectations at the beginning of the evaluation period regarding how the evidence of performance is to be presented to the board for its review. To facilitate this process, it is suggested that the board and superintendent work collaboratively to develop the review criteria to insure that there are no misunderstandings regarding how and when the superintendent is to provide the performance evidence to the board for this annual evaluation.

Keep in mind that the process goal of this evaluation is to yield an objective evaluation. To that end, the rubric instrument helps to insure that the superintendent is being evaluated against objective criteria that can be supported by documentation representing the evidence of his or her performance. In today's current educational climate and increasing demands for greater transparency and accountability, the superintendent's evaluation is one of the most effective ways for the school board to validate its support of the superintendent's leadership of the local school corporation.

Lastly, the annual evaluation process should not reveal any *surprises* to either the superintendent or the school board. School board members should not attempt to use the evaluation process to forward a personal agenda or to subjectively rank the superintendent's performance to the evaluation criteria for ulterior motives.



# The Evaluation Schedule

The frequency of evaluation has been defined by statute to be annually, but the actual time of the year can be set to a mutually satisfactory time that appropriately aligns with the board's and superintendent's schedules. Most boards utilize the time between school dismissal in the spring and the beginning of the fall term to conduct the evaluation. Regardless, once the annual time for evaluation has been established, every effort to maintain that schedule should be taken.

The following are the steps to be included in the evaluation timeline:

- Step 1
  - The board and superintendent meet at the beginning of the evaluation period to establish the evaluation metrics percentages for the evaluation instrument, the corporation accountability grade, and the superintendent's goals and/or objectives. The combined total must equal 100%, but the percentages of each are to be determined locally between the school board and the superintendent.
  - Once established, the board president enters these percentages into the *Metrics Percentages* worksheet of the Excel Process Analysis Workbook.
- Step 2
  - The board president provides each member with a rubric score sheet
  - The superintendent delivers his or her performance portfolio to the board for their reference in completing the rubric score sheet.
- Step 3
  - The board president inputs the information into the *General Data* worksheet of the Excel Process Analysis Workbook.
  - The board president collects the individual members' rubric score sheets and inputs their results into the *Evaluation Summary* and *Supt. Goals and Objectives* worksheets in the Excel Process Analysis Workbook.
- Step 4
  - The board president inputs the school corporation's accountability grade into the *Accountability Grade* worksheet in the Excel Process Analysis Workbook. (Note: this grade is not available from the Indiana Department of Education until August of each year.)
- Step 5
  - The board president prints the *Auto Metrics Summary* worksheet of the Excel Process Analysis Workbook.
  - All board members sign the completed assessment
- Step 6
  - The superintendent is presented with the evaluation summary a minimum of one week prior to the evaluation meeting with the school board.
- Step 7
  - The board and superintendent meet in executive session (if desired) to provide clarification or ask any questions regarding the superintendent's performance.
  - A copy of the evaluation is placed in the superintendent's file.

It is understood that the evaluation process has been the topic of a thorough discussion between the superintendent and the school board at the beginning of the year or the period to be evaluated, that superintendent goals and/or objectives were identified at that time, and nothing is being *invented* immediately prior to conducting the evaluation.

Every board member should dedicate sufficient time to complete the evaluation process. It is important to remember that, in addition to being a requirement by statute, the purpose of the evaluation is two-fold:

1. To provide the superintendent with a formative evaluation of his or her performance that is based on objective data.
2. To promote the accountability of both the school board and the superintendent through the evaluation process.

This process requires more than a cursory overview to complete, yet board members do not need to be educators to understand and perform the superintendent's evaluation responsibly and effectively. Likewise, superintendents who are unaccustomed to a rubric type of evaluation process will need to adapt to this model of evaluation and a new process for providing evidence of performance. Ultimately, the process will become second-nature; it will become standard. However, it is what is needed in today's educational environment and as a response to increasing demands for accountability.

**APPENDIX A****Indiana Content Standards  
for Educators****SCHOOL LEADER—DISTRICT LEVEL**

The School District Leader standards reflect the most current research on effective educational leadership and advance a new and powerful vision of superintendent effectiveness. The standards define those skills and abilities that district leaders must possess to produce greater levels of success for all students. Bringing significant improvement to student achievement and building leader effectiveness requires an unapologetic focus on the superintendent's role as driver of student growth and achievement.

The standards provide a basis for professional preparation, growth, and accountability. However, the standards should not be viewed as ends in themselves; rather, they provide clarity for district leaders about the actions they are expected to take in order to drive student achievement and building leader effectiveness outcomes.

December 2010

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## School Leader—District Level Educator Standards

The Indiana standards for School Leader—District Level consist of "core" and "supplementary" content and skills. In this document, content and skills considered "core" are indicated with bold text. Supplementary content and skills are indicated with nonbold text. It should be noted that all of Standard 6 is supplementary, including both the standard and the essential elements of knowledge within the standard.

### **Standard 1: Human Capital Management**

**School district leaders use their role as human capital manager to drive improvements in building leader effectiveness and student achievement.**

### **Standard 2: Instructional Leadership**

**School district leaders are acutely focused on effective teaching and learning, possess a deep and comprehensive understanding of best instructional practices, and continuously promote activities that contribute to the academic success of all students.**

### **Standard 3: Personal Behavior**

**School district leaders model personal behavior that sets the tone for all student and adult relationships in the district.**

### **Standard 4: Building Relationships**

**School district leaders build relationships to ensure that all key stakeholders work effectively with each other to achieve transformative results.**

### **Standard 5: Culture of Achievement**

**School district leaders develop a districtwide culture of achievement aligned to the district's vision of success for every student.**

### **Standard 6: Organizational, Operational, and Resource Management**

**School district leaders leverage organizational, operational, and resource management skills to support district improvement and achieve desired educational outcomes.**

## **School Leader–District Level Educator Standards**

### **Standard 1: Human Capital Management**

**School district leaders use their role as human capital manager to drive improvements in building leader effectiveness and student achievement, including:**

- 1.1** recruiting, hiring, assigning, retaining, and supporting effective building leaders who share the district's vision/mission
- 1.2** prioritizing the evaluation of building leaders over competing commitments and using evaluation systems that credibly differentiate the performance of building leaders
- 1.3** ensuring that principals prioritize teacher evaluation over competing commitments and use teacher evaluation systems that credibly differentiate the performance of teachers
- 1.4** orchestrating aligned, high-quality coaching; workshops; team meetings; and other professional learning opportunities tuned to staff needs based on student performance
- 1.5** designing and implementing succession plans (e.g., career ladders) for every position in the district, and providing formal and informal opportunities to mentor emerging leaders and promote leadership and growth
- 1.6** delegating tasks and responsibilities appropriately to competent staff members, monitoring their progress, and providing support as needed
- 1.7** counseling out or recommending the dismissal of ineffective building leaders, and ensuring that building leaders counsel out or recommend the dismissal of ineffective teachers, carefully following contractual requirements
- 1.8** strategically assigning building leaders and other staff to support district goals and maximize achievement for all students

## School Leader–District Level Educator Standards

### **Standard 2: Instructional Leadership**

**School district leaders are acutely focused on effective teaching and learning, possess a deep and comprehensive understanding of best instructional practices, and continuously promote activities that contribute to the academic success of all students, including:**

- 2.1 cultivating commitment to and ownership of the district's instructional vision, mission, values, and organizational goals, and ensuring that all key decisions are aligned to the vision**
- 2.2 planning, organizing, supervising, and supporting a rigorous district instructional program based on research-supported best practices regarding curriculum, instruction, and assessment**
- 2.3 using student performance data to evaluate instructional quality, and regularly providing school leaders and staff with prompt, high-quality feedback aimed at improving student outcomes**
- 2.4 establishing a culture of collaboration in which teamwork, reflection, conversation, sharing, openness, and problem solving about student learning and achievement are aligned to clear instructional priorities**
- 2.5 ensuring the use of practices with proven effectiveness in promoting academic success for students with diverse characteristics and needs, including English Learners and students with exceptionalities, including high-ability and twice exceptional students**
- 2.6 promoting the sanctity of instructional time, and ensuring that every minute is maximized in the service of student learning and achievement**

### **Standard 3: Personal Behavior**

**School district leaders model personal behavior that sets the tone for all student and adult relationships in the district, including:**

- 3.1 modeling professional, ethical, and respectful behavior at all times and expecting the same behavior from others**
- 3.2 establishing yearly, monthly, weekly, and daily priorities and objectives, relentlessly keeping the highest-leverage activities front and center**
- 3.3 actively soliciting and using feedback and help from all key stakeholders in order to drive student achievement**
- 3.4 going above and beyond typical expectations to attain goals, taking on voluntary responsibilities that contribute to district success, and taking risks to achieve results**
- 3.5 using reflection, self-awareness, ongoing learning, and resiliency to increase effectiveness in leading district improvement efforts**

## School Leader–District Level Educator Standards

### Standard 4: Building Relationships

**School district leaders build relationships to ensure that all key stakeholders work effectively with each other to achieve transformative results, including:**

- 4.1** establishing an organizational culture of urgency in which building leaders, students, parents/guardians, teachers, staff, and other key stakeholders relentlessly pursue academic and behavioral excellence
- 4.2** skillfully and clearly communicating district goals, needs, plans, and successes (and failures) to all stakeholders (e.g., school board members, building leaders, students, teachers, parents/guardians, the central office, the community, businesses) using a variety of means (e.g., face to face, newsletters, Web sites)
- 4.3** using effective strategies to forge consensus for change, manage and monitor change, and secure cooperation from key stakeholders in planning and implementing change
- 4.4** working collaboratively with individuals and groups inside and outside the system, striving for an atmosphere of trust and respect but never compromising in prioritizing the needs of students
- 4.5** demonstrating awareness of the public and political nature of the school district leader position, and deftly engaging the public in addressing controversial issues

### Standard 5: Culture of Achievement

**School district leaders develop a districtwide culture of achievement aligned to the district's vision of success for every student, including:**

- 5.1** empowering building leaders, teachers, and staff to set high and demanding academic and behavior expectations for every student, and ensuring that students are consistently learning
- 5.2** establishing rigorous academic goals and priorities that are accepted as fixed and immovable
- 5.3** orchestrating high-quality team collaboration to analyze interim assessment results and formulate action plans for immediate implementation
- 5.4** implementing systems to promote and enforce individual accountability for results
- 5.5** ensuring all students full and equitable access to educational programs, curricula, and available supports
- 5.6** ensuring the use of positive and equitable behavior management systems and the consistent implementation of rules and routines
- 5.7** guiding building-level staff to build productive and respectful relationships with parents/guardians and engage them in their children's learning
- 5.8** developing family and community partnerships that increase access to resources (e.g., classroom volunteers, funds, equipment), as long as they clearly align with and do not distract from the district's goals for student growth and achievement



### **School Leader–District Level Educator Standards**

#### **Standard 6: Organizational, Operational, and Resource Management**

School district leaders leverage organizational, operational, and resource management skills to support district improvement and achieve desired educational outcomes, including:

- 6.1** using data to identify needs and priorities within the organization and to address organizational barriers to attaining student achievement goals
- 6.2** using technological tools and systems to facilitate communication and collaboration, manage information, and support effective management of the organization
- 6.3** overseeing the use of practices for the safe, efficient, and effective operation of the district's physical plant, equipment, and auxiliary services (e.g., food services, student transportation)
- 6.4** planning, managing, and monitoring district budgets aligned to district improvement goals, and creatively seeking new resources to support district programs and/or reallocating resources from programs identified as ineffective or redundant
- 6.5** managing and supervising compliance with laws and regulations, such as those governing building management and reporting; human resource management; financial management; school safety and emergency preparedness; student safety and welfare; and the rights and responsibilities of students, families, and school staff

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**Alignment of Educator Standards  
with State and National Standards**

<b>Indiana Educator Standards for School Leader—District Level</b>	<b>Indiana Department of Education Principal Effectiveness Rubric (Draft)</b>	<b>CCSSO ISLLC Educational Leadership Policy Standards</b>	<b>NPBEA Standards for Advanced Programs in Educational Leadership</b>	<b>ISTE National Educational Technology Standards</b>
<b><u>Standard 1: Human Capital Management</u></b> School district leaders use their role as human capital manager to drive improvements in building leader effectiveness and student achievement.	2.1.1 2.1.2 2.1.3 2.1.4 2.1.5 2.1.6	1.D 2.F 3.B, D 5.D	2.3.a, b 2.4.a, b 3.1.b, c 3.3.a, b	
<b><u>Standard 2: Instructional Leadership</u></b> School district leaders are acutely focused on effective teaching and learning, possess a deep and comprehensive understanding of best instructional practices, and continuously promote activities that contribute to the academic success of all students.	2.2.1 2.2.2 2.2.3	1.A, B, C, D, E 2.A, B, D, E, F, G, I 3.E 5.E	1.3.a, b 1.4.b 2.2.a, b 2.3.a, b, c, d 2.4.a, b 3.1.a, c, d	
<b><u>Standard 3: Personal Behavior</u></b> School district leaders model personal behavior that sets the tone for all student and adult relationships in the district.	3.1.1 3.1.2 3.1.3 3.1.4	5.B, D	1.5.a 2.4.c 3.1.c 4.1.a 5.1.a 5.2.a 5.3.a	

**Alignment of Educator Standards  
with State and National Standards**

<b>Indiana Educator Standards for School Leader--District Level</b>	<b>Indiana Department of Education Principal Effectiveness Rubric (Draft)</b>	<b>CCSSO ISLLC Educational Leadership Policy Standards</b>	<b>NPBEA Standards for Advanced Programs in Educational Leadership</b>	<b>ISTE National Educational Technology Standards</b>
<b>Standard 4: Building Relationships</b> School district leaders build relationships to ensure that all key stakeholders work effectively with each other to achieve transformative results.	3.2.1 3.2.2 3.2.3	1.A 2.A 4.C, D 6.B	1.2.c 1.3.a 1.5.a 3.2.a, b 4.1.b, c, e, g, h 4.2.b 6.2.c	
<b>Standard 5: Culture of Achievement</b> School district leaders develop a districtwide culture of achievement aligned to the district's vision of success for every student.	3.3.1 3.3.2 3.3.3	1.B, C, D, E 2.A, B, E, I 4.B, C, D 5.A, C, E	1.3.a, b 1.5.a 2.1.a 2.2.b 3.1.b, d, e 3.2.d 4.1.a, b, c, d, h 4.3.a 6.3.b	
<b>Standard 6: Organizational, Operational, and Resource Management</b> School district leaders leverage organizational, operational, and resource management skills to support district improvement and achieve desired educational outcomes.		1.B 3.A, B, C 4.A 5.D	1.4.b 2.2.b, d 3.1.a, b, c, d, e 3.2.b 3.3.a, b, d 4.3.c 5.1.a 5.3.a 6.1.a, c, f	3c, 4e

## APPENDIX B

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
<b>1.0 Human Capital Manager – The superintendent uses the role of human capital manager to drive improvements in building leader effectiveness and student achievement.</b>				
1.1	<p><b>The superintendent effectively recruits, hires, assigns, and retains school leaders.</b></p>	<p>The superintendent consistently considers an administrator's effectiveness as the primary factor when recruiting, hiring, assigning, or retaining the leader and monitors the effectiveness of the personnel process utilized throughout the school corporation.</p> <p>The superintendent consistently considers school or corporation goals when making personnel decisions.</p>	<p>The superintendent consistently considers an administrator's effectiveness as the primary factor when recruiting, hiring, assigning, or retaining the leader.</p> <p>The superintendent consistently considers school or corporation goals when making personnel decisions.</p>	<p>The superintendent occasionally considers an administrator's effectiveness as the primary factor when recruiting, hiring, assigning, or retaining the leader.</p> <p>The superintendent occasionally considers school or corporation goals when making personnel decisions.</p> <p>The superintendent rarely considers an administrator's effectiveness when recruiting, hiring, assigning, or retaining the leader.</p> <p>The superintendent does not consider school or corporation goals when making personnel decisions.</p>
1.2	<p><b>The superintendent creates a professional development system for school leaders based on proficiencies and needs.</b></p>	<p>The superintendent has developed a system of job-embedded professional development that differentiates training and implementation based on individual administrator needs.</p> <p>The superintendent uses data from performance evaluations to assess proficiencies and identify priority needs to support and retain effective administrators.</p>	<p>Some effort has been made to differentiate and embed professional development to meet the needs of individual administrators.</p>	<p>The superintendent is aware of the differentiated needs of administrators, but professional development is only embedded in meetings at this time, rather than incorporating the use of collaboration, study teams, etc.</p> <p>Professional development is typically "one size fits all," and there is little or no evidence of recognition of individual administrator needs.</p>
1.3	<p><b>The superintendent identifies and mentors emerging leaders to assume key leadership responsibilities.</b></p>	<p>The superintendent has identified and mentored multiple administrators or instructional personnel who have assumed administrative positions and/or administrative responsibilities.</p>	<p>The superintendent has identified and mentored at least one emerging leader to assume leadership responsibility in an instructional leadership role or at an administrative level, with positive results.</p>	<p>The superintendent has provided some training to an emerging school leader or administrator, who has the potential to independently assume a leadership role.</p> <p>There is no evidence of effort to develop any leadership skills in others.</p> <p>Persons under the superintendent's direction are unable or unwilling to assume added responsibilities.</p>

	Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
1.4	<b>The superintendent provides evidence of delegation and trust in subordinate leaders.</b>	<p>Employees throughout the corporation are empowered in formal and informal ways.</p> <p>Instructional personnel participate in the facilitation of meetings and exercise leadership in committees and task forces; other employees, including noncertified, exercise appropriate authority and assume leadership roles where appropriate.</p> <p>The climate of trust and delegation in the school corporation contributes directly to the identification and empowerment of the next generation of leadership.</p>	<p>There is a clear pattern of delegated decisions, with authority to match responsibility at every level in the school corporation.</p> <p>The relationship of authority and responsibility and delegation of authority is clear in personnel documents, such as evaluations, and also in the daily conduct of meetings and corporation business.</p>	<p>The superintendent sometimes delegates, but also maintains decision-making authority that could be delegated to others.</p>	<p>The superintendent does not afford subordinates the opportunity or support to develop or to exercise independent judgment.</p>
1.5	<b>The superintendent provides formal and informal feedback to the administrative team with the exclusive purpose of improving individual and organizational performance.</b>	<p>The superintendent uses a variety of creative ways to provide positive and corrective feedback to the administrative team.</p> <p>The entire corporation reflects the superintendent's focus on accurate, timely, and specific recognition.</p> <p>The superintendent balances individual recognition with team and corporation-wide recognition.</p> <p>Corrective and positive feedback is linked to corporation goals and both the superintendent and administrative team can cite examples of where feedback is used to improve individual and corporation performance.</p>	<p>The superintendent provides formal feedback to the administrative team that is consistent with the corporation's personnel policies, and provides informal feedback to reinforce effective/highly effective performance and highlight the strengths of the administrative team.</p>	<p>The superintendent adheres to the corporation's personnel policies in providing formal feedback to the administrative team, although the feedback is just beginning to provide details that improve corporation performance.</p>	<p>Formal feedback to the administrative team is nonspecific.</p> <p>Informal feedback to the administrative team is rare, nonspecific, and not constructive.</p>

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
<b>2.0 Instructional Leadership – The superintendent acutely focuses on effective teaching and learning, possesses a deep and comprehensive understanding of best instructional practices, and continuously promotes activities that contribute to the academic success of all students.</b>				
<b>2.1</b>	<p><b>The superintendent demonstrates the use of student achievement data to make instructional leadership decisions.</b></p> <p>The superintendent can specifically document examples of decisions in teaching, assignment, curriculum, assessment, and intervention that have been made on the basis of data analysis.</p> <p>The superintendent has coached school administrators to improve their data analysis skills.</p>	<p>The superintendent uses multiple data sources, including state, corporation, school, and classroom assessments, and has at least three years of data.</p> <p>The superintendent systematically examines data at the subscale level to find strengths and challenges.</p> <p>The superintendent empowers teaching and administrative staff to determine priorities from data.</p> <p>Data insights are regularly the subject of faculty meetings and professional development sessions.</p>	<p>The superintendent is aware of state, corporation, and school results and has discussed those results with staff, but has not linked specific decisions to the data.</p>	<p>The superintendent is unaware of or indifferent to the data.</p>
<b>2.2</b>	<p><b>The superintendent demonstrates evidence of student improvement through student achievement results.</b></p> <p>A consistent record of improved student achievement exists on multiple indicators of student success.</p> <p>Student success occurs not only on the overall averages, but in each group of historically disadvantaged students.</p> <p>Explicit use of previous data indicates that the superintendent has focused on improving performance. In areas of previous success, the superintendent aggressively identifies new challenges, moving proficient performance to the exemplary level.</p> <p>Where new challenges emerge, the superintendent highlights the need, creates effective interventions, and reports improved results.</p>	<p>The superintendent reaches the targeted performance goals for student achievement.</p> <p>The average of the student population improves, as does the achievement of each group of students that has previously been identified as needing improvement.</p>	<p>Some evidence of improvement exists, but there is insufficient evidence of changes in leadership, teaching, and curriculum that will create the improvements necessary to achieve student performance goals.</p>	<p>Indifferent to the data, the superintendent blames students, families, and external characteristics.</p> <p>The superintendent does not believe that student achievement can improve.</p> <p>The superintendent has not taken decisive action to change time, teacher assignment, curriculum, leadership practices, or other variables in order to improve student achievement.</p>

	Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
2.3	<b>The superintendent actively solicits and uses feedback and help from all key stakeholders in order to drive student achievement.</b>	<p>The superintendent has a very open and support seeking attitude towards all stakeholders in the school corporation in regards to matters related to the improvement in student achievement.</p> <p>The superintendent regularly surveys staff and other school community groups in this area regarding their views.</p>	The superintendent frequently seeks input from various stakeholders in matters related to the improvement in student achievement.	The superintendent rarely seeks and solicits feedback in matters related to the improvement in student achievement.	The superintendent is perceived by stakeholders as being top-down oriented in all decisions related to the improvement in student achievement.



Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	
<b>3.0 Personal Behavior – The superintendent models personal behaviors that set the tone for all student and adult relationships in the school corporation.</b>					
3.1	<b>The superintendent models professional, ethical, and respectful behavior at all times and expects the same behavior from others.</b>	The superintendent is an exemplary model of appropriate professional behavior to all and encourages a positive and professional response from all members of the school community.	On a regular basis the superintendent has displayed appropriate and professional responses to members of the school community.	Occasionally the superintendent has not responded to school community members with acceptable levels of professionalism.	The superintendent does not display and use common courtesy regularly and respectful professional responses when dealing with members of the school community.
3.2	<b>The superintendent organizes time and projects for effective leadership.</b>	Personal organization allows the superintendent to consider innovations and be available to engage in leadership activities and collaborate with people at all levels.  The superintendent applies project management to systems thinking throughout the organization.	The use of organizational development tools is evident by supporting documentation provided by the superintendent.  Project/task accomplishments are publicly celebrated and project challenges are open for input from a wide variety of sources.	Projects are managed using lists of milestones and deadlines, but are infrequently updated.  The impact of changes is rarely documented.	Project management is haphazard or absent.  There is little or no evidence of lists of milestones and deadlines.

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
4.0 Building Relationships –The superintendent builds relationships to ensure that all key stakeholders work effectively with each other to achieve transformative results.				
4.1	<p><b>The superintendent demonstrates effective communication with parents and community.</b></p> <p>There is clear evidence of parent-centered and community-centered communication, including open forums, focus groups, surveys, personal visits, and effective use of technology.</p> <p>Survey data suggests that parents and community members feel empowered and supportive of educational objectives.</p> <p>The superintendent uses relationships and school/community partnerships to affect community-wide change that improves both the community and work of the school corporation.</p> <p>The superintendent manages an ever broadening portfolio of partnerships and collaborations that support and help to advance the strategic plan of the school corporation.</p>	<p>The superintendent assumes leadership roles in important local organizations (e.g., serving on boards of directors, chairing important committees or task forces, leading new community initiatives).</p> <p>The superintendent actively and effectively develops community trust in the school corporation through individual parent contact, speaking engagements, town hall meetings, public forums, media outlets, events, and other approaches.</p> <p>The superintendent seeks out and creates new opportunities for meaningful partnerships or collaborative endeavors.</p>	<p>The superintendent occasionally participates in local organizations but does not assume a leadership role in furthering communications.</p> <p>Initiative for communication more regularly comes from outside entities and not from the superintendent.</p>	<p>The superintendent does not identify groups and potential partners within the community.</p> <p>The superintendent fails to ensure that all parental and community involvement activities honor the cultures and traditions of the local community.</p> <p>The superintendent fails to interact with parents and community groups that have a critical role in developing support for the school corporation.</p>
4.2	<p><b>The superintendent forges consensus for change and improvement throughout the school corporation.</b></p> <p>The superintendent uses effective strategies to achieve a consensus for change and improvement.</p> <p>Guides others through change and addresses resistance to that change.</p> <p>Systemically monitors, implements and sustains the success of strategies for change.</p>	<p>The superintendent uses effective strategies to work toward a consensus for change and improvement.</p> <p>Directs change and improvement processes by identifying and securing the systems and allies necessary to support the process.</p> <p>Secures cooperation from key stakeholders in planning and implementing change and driving improvement.</p>	<p>The superintendent occasionally identifies areas where consensus is necessary.</p> <p>Has identified areas in which consensus is needed but has yet to implement a process for change and/or improvement.</p> <p>Asks for feedback from stakeholders but is not yet successful in securing cooperation.</p>	<p>The superintendent fails to forge consensus for change.</p> <p>Fails to identify areas in which agreement and/or consensus is necessary.</p> <p>Rarely or never directs or develops a process for change and/or improvement.</p> <p>Rarely or never seeks feedback or secures cooperation and makes unilateral decisions.</p>

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
<p>4.3 The superintendent understands the role of the superintendent in engaging the public in controversial issues.</p>	<p>The superintendent consistently employs a variety of strategies to resolve conflicts and forge consensus within the school corporation community in a constructive and respectful manner.</p> <p>The superintendent consistently encourages open dialogue, considers diverse points of view, and empowers and supports administrators in utilizing these conflict resolution strategies.</p>	<p>The superintendent employs a non-confrontational approach to resolve conflicts and forge consensus within the school corporation community in a constructive and respectful manner.</p> <p>The superintendent frequently encourages open dialogue, considers diverse points of view, and often empowers and supports administrators in utilizing these conflict resolution strategies.</p>	<p>The superintendent employs a limited number of strategies to resolve conflicts and forge consensus within the school corporation community with varying degrees of success.</p>	<p>The superintendent does not respond to conflict in a solution-oriented and/or respectful manner and attempts at consensus building around critical decisions are unsuccessful.</p>
<p>4.4 The superintendent keeps the school board informed on issues, needs, and the overall operations of the school corporation.</p>	<p>The superintendent communicates with all school members routinely, using a variety of mechanisms, such as weekly notes, up-dates, and telephone calls.</p>	<p>The superintendent communicates with all school board members periodically.</p>	<p>The superintendent communicates with selected school board members when needed.</p>	<p>The superintendent has little communication with the school board outside of meetings.</p>
<p>4.5 The superintendent encourages open communication and dialogue with school board members.</p>	<p>The superintendent has created an environment where input feedback and from all school board members is both sought and encouraged.</p> <p>The superintendent engages in open discussion with the school board on a consistent basis.</p>	<p>The superintendent seeks input and feedback from all school board members on a frequent basis.</p>	<p>The superintendent seeks input and feedback from only a few school board members and usually to garner support for decisions made by the superintendent.</p>	<p>The superintendent rarely seeks input from the school board and tends to make unilateral decisions.</p>
<p>4.6 The superintendent provides the school board with a written agenda and background material before each board meeting.</p>	<p>The superintendent creates an agenda that prioritizes items related to student achievement and provides complete and thorough background material so that the board can make an informed decision.</p>	<p>The superintendent creates an agenda that routinely focuses on student achievement issues and provides enough background material to allow the board to make an informed decision.</p>	<p>The superintendent creates an agenda that occasionally includes items related to student achievement and provides limited background material.</p>	<p>The superintendent creates an agenda that focuses only on operational matters and provides insufficient background material.</p>

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
<b>5.0 Culture of Achievement – The superintendent develops a corporation-wide culture of achievement aligned to the school corporation's vision of success for every student.</b>				
<b>5.1 The superintendent empowers building leaders to set high and demanding academic and behavior expectations for every student and ensures that students are consistently learning.</b>	<p>The superintendent leads and involves the administrative team in a comprehensive annual analysis of school and corporation performance.</p> <p>Multiple data sources are utilized to analyze corporation and schools' strengths and weaknesses and a collaborative process is used to develop focused and results-oriented goals.</p> <p>Clear expectations are established and administrators and educators are provided differentiated resources and support to disaggregate data and to assist in identifying and meeting each student's academic, social, emotional, and behavioral needs.</p>	<p>The superintendent guides the administrative team in an annual analysis of school and corporation performance.</p> <p>Data sources are utilized to analyze the corporation and schools' strengths and weaknesses and a collaborative process is used to develop measurable goals.</p> <p>Clear expectations are established and administrators and educators are provided differentiated resources and support to disaggregate data and to assist in identifying and meeting each student's academic, social, emotional, and behavioral needs.</p>	<p>The superintendent requests that the administrative team utilize data sources to analyze corporation and school strengths and weaknesses.</p> <p>Goals are established that may not be focused or measurable.</p> <p>General expectations are established and limited resources and occasional supports are provided to support the disaggregation of data and to assist in identifying and meeting each student's academic, social, emotional, and behavioral needs.</p>	<p>The superintendent does not work with the administrative team to gather and utilize data sources to analyze corporation and school strengths and weaknesses.</p> <p>Limited data is available and a lack of goal-setting is evident throughout the corporation.</p> <p>The superintendent does not establish clear expectations or provide the necessary support for the disaggregation of data and to assist in identifying and meeting each student's academic, social, emotional, and behavioral needs.</p>
<b>5.2 The superintendent establishes rigorous academic goals and priorities that are systematically monitored for continuous improvement.</b>	<p>The superintendent regularly reports on the progress of rigorous academic goals and corporation academic priorities that have been established by the superintendent and approved by the school board.</p> <p>The monitoring of goals and regular revising and updating of such plans is an ongoing process conducted by the superintendent and the board.</p>	<p>The superintendent has presented goals for board approval that clearly articulate the academic rigor and academic priorities of the corporations program.</p> <p>Approved goals are shared and available for the entire community.</p>	<p>The superintendent has occasionally made some reference to academic goals and school improvement priorities, but there are no established written goals or formats for academic rigor or improvement approved by the board.</p>	<p>The employees of the school corporation and the school community are unaware of the school corporation academic goals and priorities and there is no apparent and definitive academic direction established by the superintendent.</p>

Indicator		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
5.3	<b>The superintendent ensures that all students have full and equitable access to educational programs, curricula, and available supports.</b>	The superintendent establishes clear expectations and provides resources that enable administrators and teachers to identify each student's academic, social, emotional, and behavioral needs.	The superintendent establishes clear expectations and provides resources that enable administrators and teachers to identify a majority of students' academic, social, emotional, and behavioral needs.	The superintendent establishes general expectations and resources are limited to students who are struggling academically or behaviorally.	The superintendent does not set expectations and resources are not allocated on the basis of any identified needs of students.
5.4	<b>The superintendent guides building-level staff to build productive and respectful relationships with parents/guardians and engage them in their children's learning.</b>	The superintendent sets clear expectations and provides resources to support administrators to consistently and regularly engage all families in supporting their children's learning at school and home.	The Superintendent sets clear expectations and provides support for administrators to regularly engage families in supporting their children's learning at school and home.	The superintendent sets general expectations and provides occasional support for administrators to engage families in supporting their children's learning at school and home.	The superintendent does not set expectations or provide support for administrators to regularly communicate with families on ways to support their children's learning at school and home.

Indicator		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
<b>6.0 Organizational, Operational, and Resource Management – The superintendent leverages organizational, operational, and resource management skills to support school corporation improvement and achieve desired educational outcomes.</b>					
6.1	<b>The superintendent employs factual basis for decisions, including specific reference to internal and external data on student achievement and objective data on curriculum, teaching practices, and leadership practices.</b>	<p>Decision making is neither by consensus nor by leadership mandate, but is consistently based on the data.</p> <p>Data is reflected in all decisions, ranging from course and classroom assignments to the discontinuance of programs.</p> <p>The superintendent can cite specific examples of practices that have been changed, discontinued, and/or initiated based on data analysis.</p> <p>A variety of data sources, including qualitative and quantitative, are used.</p> <p>Data sources include state, corporation, school, and classroom assessments.</p> <p>Inferences from data are shared widely outside the school community to identify and replicate the most effective practices.</p>	The pattern of decision-making reflects a clear reliance on state and corporation student achievement data as well as on curriculum, instruction, and leadership practices data.	Some decisions are based on data, but others are the result of personal preference and tradition.	<p>Data is rarely used for decisions.</p> <p>The predominant decision making methodology is mandated from the superintendent or based on what is popular.</p>
6.2	<b>The superintendent demonstrates personal proficiency in technology implementation and utilization.</b>	<p>The superintendent creates new opportunities for technological learning and empowers the administrative team to use new technology initiatives.</p> <p>The superintendent serves as a model for technology implementation.</p>	<p>The superintendent personally uses email, word processing, spreadsheets, presentation software, and other software such as student data management systems.</p> <p>The superintendent utilizes technology within his/her daily responsibilities.</p>	<p>The superintendent has mastered some, but not all, software required for proficient performance.</p> <p>The superintendent takes the initiative to learn new technology but rarely becomes proficient in its use.</p>	<p>The superintendent has limited literacy with technology.</p> <p>There is little or no evidence of the superintendent taking a personal initiative to learn new technology.</p>

	Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
6.3	<b>The superintendent oversees the use of practices for the safe, efficient, and effective operation of the school corporation's physical plant, equipment, and auxiliary services (e.g., food services, student transportation).</b>	<p>The superintendent ensures there are procedures in place to address the safety of students and staff in the event of a disaster.</p> <p>Staff members have a working knowledge of procedures.</p> <p>The superintendent ensures staff is properly trained and competent to carry out their duties with respect to the corporation's physical plant, equipment, and auxiliary services.</p> <p>Monitoring steps are in place to measure operation efficiencies.</p>	<p>The superintendent ensures there are procedures in place to address the safety of students and staff in the event of a disaster.</p> <p>Periodic review of these procedures is in place.</p> <p>The superintendent provides opportunities for staff training in order to carry out their duties with respect to the corporation's physical plant, equipment, and auxiliary services.</p>	<p>The superintendent has procedures in place to address the safety of students and staff in the event of a disaster.</p> <p>The superintendent attempts to provide a safe and efficient operation of the corporation's physical plant, equipment, and auxiliary services.</p>	<p>The superintendent has limited or no procedures in place to address the safety of students and staff in the event of a disaster.</p> <p>The superintendent pays little or no attention to the oversight of the safe and efficient operation of the corporation.</p>
6.4	<b>The superintendent provides responsible fiscal stewardship.</b>	<p>The superintendent regularly saves fiscal resources for the corporation and reallocates those resources to help the corporation achieve its strategic priorities.</p> <p>Results indicate the positive impact of reallocated resources in achieving strategic priorities.</p> <p>The superintendent has established processes to increase fiscal resources, e.g., grants, donations, and community resources.</p>	<p>The superintendent leverages knowledge of the budgeting process, categories, and funding sources to maximize all available dollars to achieve strategic priorities.</p>	<p>The superintendent lacks proficiency in using budget to focus resources on strategic priorities.</p>	<p>The superintendent has little proficiency in sound budgetary practices.</p>
6.5	<b>The superintendent demonstrates compliance with legal requirements.</b>	<p>The superintendent demonstrates an understanding of the legal standards and board policy requirements of the corporation, and consistently adheres to those standards and requirements.</p>	<p>The superintendent demonstrates an awareness of the legal standards and board policy requirements of the school corporation and adheres to those standards and requirements.</p>	<p>The superintendent is not respectful of legal standards and/or board policy requirements.</p>	<p>The superintendent is unaware of the legal standards and board policy requirements.</p>

## APPENDIX C

### IC 20-28-11.5-4

#### School corporation plan; plan components

Sec. 4. (a) Each school corporation shall develop a plan for annual performance evaluations for each certificated employee (as defined in IC 20-29-2-4). A school corporation shall implement the plan beginning with the 2012-2013 school year.

(b) Instead of developing its own staff performance evaluation plan under subsection (a), a school corporation may adopt a staff performance evaluation plan that meets the requirements set forth in this chapter or any of the following models:

(1) A plan using master teachers or contracting with an outside vendor to provide master teachers.

(2) The System for Teacher and Student Advancement (TAP).

(3) The Peer Assistance and Review Teacher Evaluation System (PAR).

(c) A plan must include the following components:

(1) Performance evaluations for all certificated employees, conducted at least annually.

(2) Objective measures of student achievement and growth to significantly inform the evaluation. The objective measures must include:

(A) student assessment results from statewide assessments for certificated employees whose responsibilities include instruction in subjects measured in statewide assessments;

(B) methods for assessing student growth for certificated employees who do not teach in areas measured by statewide assessments; and

(C) student assessment results from locally developed assessments and other test measures for certificated employees whose responsibilities may or may not include instruction in subjects and areas measured by statewide assessments.

(3) Rigorous measures of effectiveness, including observations and other performance indicators.

(4) An annual designation of each certificated employee in one (1) of the following rating categories:

(A) Highly effective.

(B) Effective.

(C) Improvement necessary.

(D) Ineffective.

(5) An explanation of the evaluator's recommendations for improvement, and the time in which improvement is expected.

(6) A provision that a teacher who negatively affects student achievement and growth cannot receive a rating of highly effective or effective.

(d) The evaluator shall discuss the evaluation with the certificated employee.

*As added by P.L.90-2011, SEC.39.*



## APPENDIX D

**1.0 Human Capital Manager – School district superintendents use their role as human capital manager to drive improvements in building leader effectiveness and student achievement.**

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	
1.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Score					

**2.0 Instructional Leadership – School district superintendents acutely focused on effective teaching and learning, possess a deep and comprehensive understanding of best instructional practices, and continuously promote activities that contribute to the academic success of all students.**

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
2.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**3.0 Personal Behavior – School district superintendents model personal behaviors that set the tone for all student and adult relationships in the district.**

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
3.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Score					

**4.0 Building Relationships – School district superintendents build relationships to ensure that all key stakeholders work effectively with each other to achieve transformative results.**

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
4.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Score					

**5.0 Culture of Achievement – School district superintendents develop a district wide culture of achievement aligned to the district's vision of success for every student.**

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
5.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Score					

**6.0 Organizational, Operational, and Resource Management – School district superintendents leverage organizational, operational, and resource management skills to support district improvement and achieve desired educational outcomes.**

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
6.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Total					

**Superintendents Goals/Objectives**

Goal / Objective	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

## References

- Massachusetts Department of Elementary and Secondary Education. (2012). Massachusetts Model System for Educator Evaluation Retrieved May 18, 2012, from <http://www.doe.mass.edu/cdeval/model/PartIII.pdf>
- North Carolina State Board of Education. (2010). North Carolina Superintendent Evaluation Process Retrieved May 18, 2012, from <http://www.ncpublicschools.org/docs/profdev/training/superintendent/eval-manual.pdf>
- Reeves, D. (2011). Reeves' Leadership Performance Matrix. Retrieved May 18, 2012, from The Leadership and Learning Center [http://usny.nysed.gov/rttt/teachers-leaders/practicerubrics/Docs/HoughtonMifflin\\_PrincipalRubric.pdf](http://usny.nysed.gov/rttt/teachers-leaders/practicerubrics/Docs/HoughtonMifflin_PrincipalRubric.pdf)

General Data			
School Corporation Name:	Tippecanoe Valley School Corporation		
Superintendent's Name:	Brett R. Boggs		
School Year:	2012-2013	Evaluation Date:	
Number of Board Members:	5		

Mileage Performance	
	2012-2013
Date Established	10/8/2012
Assessment Instrument	75%
Corporation Accountability Grade	5%
Goals/Objectives	20%
Total	100%



School/Corporation: **Tippecanoe Valley School Corporation**

Number of Goals / Objectives: **2**

Exceeds all goals **HF 4**  
 Meets all goals, may exceed in some **HF 3**  
 Meets half of goals **HF 2**  
 Meets less than half of goals **HF 1**

Goal	1	2	3	4	5	6	7	8	9	10	11	12	Board Consensus Rating
1													
2													
3													
4													
5													
6													

Goals/Objectives Score:

# Corporation Accountability Grade

School Corporation: ppecanoe Valley School Corporati

Date

Grade Points

Accountability Grade =

## A-F Grade Scoring Criteria

A EE = 4

B E = 3

C I = 2

D or F IN = 1

Superintendent Evaluation Metrics Summary			
		School Year	2012-2013
Superintendent			
Brett R. Boggs		Date:	
	Raw Score	Weight	Final Score
Leadership Outcomes (Rubric Score)		75%	
Corporation Accountability A-F Grade		5%	
Superintendent Goals/Objectives Rating		20%	#VALUE!
		TOTAL	#VALUE!
Annual Evaluation Rank	#VALUE!		
Comprehensive Effectiveness Rating			
School Board			

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 President

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 Vice-President

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 Secretary

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 Member

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 Member

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 Member

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 Member

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 Member

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 Member



### Timeline for Superintendent Evaluation

#### Superintendent Evaluation for 2012-2013

August 2012	The superintendent and school board conduct a public work session in which the superintendent introduces the school board to the new Indiana Superintendent Evaluation Process as developed by the Indiana School Boards Association and The Indiana Association of Public School Superintendents.
October 2012	The school board and superintendent meet to establish the evaluation metrics percentages for the evaluation instrument, the corporation accountability letter grade, and the superintendent's goals and/or objectives. The board president or his designee enters the percentages into the <i>Metrics Percentages</i> worksheet.
October 2012	The superintendent and school board establish mutually agreed upon goals and/or objectives.
June 2013	The superintendent and school board review the 25-question Evaluation Rubric to develop a common understanding of the expectations of each category.
June 2013	The board president or his designee provides each member with a rubric score sheet for him or her to complete and bring to the July board meeting.
July 2013	The board president or his designee inputs the information into the <i>General Data and Supt. Goals and Objectives</i> worksheets.
August 2013	The board president or his designee inputs the school corporation's accountability letter grade into the <i>Accountability Grade</i> worksheet.
August 2013	The board president or his designee prints the <i>Auto Metrics Summary</i> worksheet. All members sign the completed assessment.
August 2013	The school board and superintendent meet in executive session to review the superintendent's performance evaluation as completed by the school board.
August 2013	A copy of the evaluation is placed in the superintendent's personnel file.

**2012-2013 Goals for Superintendent Evaluation**

Brett R. Boggs  
Superintendent  
Tippecanoe Valley School Corporation

1. Increase Internet access for our public/community by communicating existing and establishing additional "hot spots" throughout the Tippecanoe Valley attendance area.
2. Develop and implement a marketing plan to assist the Tippecanoe Valley School Corporation at retaining current students and attracting new students.

SUPERINTENDENT GOALS 2012-2013