



Massachusetts Department of  
ELEMENTARY & SECONDARY  
EDUCATION

# **Massachusetts Model System for Educator Evaluation**

## **Part I: District-Level Planning and Implementation Guide**

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January 2012

**Massachusetts Department of Elementary and Secondary Education**  
75 Pleasant Street, Malden, MA 02148-4906  
Phone 781-338-3000 TTY: N.E.T. Relay 800-439-2370  
[www.doe.mass.edu](http://www.doe.mass.edu)



This document was prepared by the  
Massachusetts Department of Elementary and Secondary Education  
Mitchell D. Chester, Ed.D.  
Commissioner

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## A Letter from the Commissioner

# Massachusetts Department of Elementary and Secondary Education

75 Pleasant Street, Malden, Massachusetts 02148-4906

Telephone: (781) 338-3000

TTY: N.E.T. Relay 1-800-439-2370

Mitchell D. Chester, Ed.D.  
Commissioner

January 10, 2012

Dear Educators and other interested Stakeholders,

I am pleased to present Part II of the Massachusetts Model System for Educator Evaluation. Since late June, when the Board of Elementary and Secondary Education adopted regulations to improve student learning by overhauling educator evaluation in the Commonwealth, staff here at the Department has been working closely with stakeholders to develop the Model System called for in the regulations. With the help of thoughtful suggestions and candid feedback from a wide range of stakeholders, we developed the first six components of the Model System:

- District-Level Planning and Implementation Guide
- School-Level Planning and Implementation Guide
- Guide to Rubrics and Model Rubrics for Superintendent, Administrator and Teacher
- Model Collective Bargaining Contract Language
- Implementation Guide for Principal Evaluation
- Implementation Guide for Superintendent Evaluation

I am excited by the promise of Massachusetts' new regulations. Thoughtfully and strategically implemented, they will improve student learning by supporting analytical conversation about teaching and leading that will strengthen professional practice. At the same time, the new regulations provide the opportunity for educators to take charge of their own growth and development by setting individual and group goals related to student learning.

The Members of the State Board and I know that improvement in the quality and effectiveness of educator evaluation will happen only if the Department does the hard work ahead "with the field", not "to the field". To that end, we at the Department need to learn with the field. We will continue to revise and improve the Model System including the Implementation Guides based on what we learn with the field over the next few years. To help us do that, please do not hesitate to send your comments, questions and suggestions to us at [EducatorEvaluation@doe.mass.edu](mailto:EducatorEvaluation@doe.mass.edu). Please also visit the Educator Evaluation webpage at [www.doe.mass.edu/edeval/](http://www.doe.mass.edu/edeval/). We will be updating the page regularly.

Please know that you can count on the Department to be an active, engaged partner in the challenging, but critical work ahead.

Sincerely,

Mitchell D. Chester, Ed.D.  
Commissioner of Elementary and Secondary Education

# The Massachusetts Model System for Educator Evaluation

The Model System is a comprehensive educator evaluation system designed by the Department of Elementary and Secondary Education (ESE), pursuant to the new educator evaluation regulations, 603 CMR 35.00. The following eight-part series was developed to support effective implementation of the regulations by districts and schools across the Commonwealth.

## **Part I: District-Level Planning and Implementation Guide**

This Guide takes district leaders – school committees, superintendents and union leaders - through factors to consider as they decide whether to adopt or adapt the Model System or revise their own evaluation systems to meet the new educator evaluation regulation. The Guide describes the rubrics, tools, resources and model contract language ESE has developed, and describes the system of support ESE is offering. It outlines reporting requirements, as well as the process ESE will use to review district evaluation systems for superintendents, principals, teachers and other licensed staff. Finally, the Guide identifies ways in which district leaders can support effective educator evaluation implementation in the schools.

## **Part II: School-Level Planning and Implementation Guide**

This Guide is designed to support administrators and teachers as they implement teacher evaluations at the school level. The Guide introduces and explains the requirements of the regulation and the principles and priorities that underlie them. It offers guidance, strategies, templates and examples that will support effective implementation of each of the five components of the evaluation cycle: self-assessment; goal setting and educator plan development; plan implementation and evidence collection; formative assessment/evaluation; and summative evaluation.

## **Part III: Guide to Rubrics and Model Rubrics for Superintendent, Administrator, and Teacher**

The Guide presents the Model Rubrics and explains their use. The Guide also outlines the process for adapting them.

## **Part IV: Model Collective Bargaining Contract Language**

This section contains the Model Contract that is consistent with the regulation, with model language for teacher evaluation. The Guide will contain model language for administrators represented through collective bargaining by March 15, 2012.

## **Part V: Implementation Guide for Principal Evaluation**

This section details the model process for principal evaluation and includes relevant documents and forms for recording goals, evidence and ratings. The Guide includes resources that principals and superintendents may find helpful, including a school visit protocol.

## **Part VI: Implementation Guide for Superintendent Evaluation**

This section details the model process for superintendent evaluation and includes relevant documents and a form for recording goals, evidence and ratings. The Guide includes resources that school committees and superintendents may find helpful, including a model for effective goal setting.

## **Part VII: Rating Educator Impact on Student Learning Using District-Determined Measures of Student Learning (July 2012)**

Part VII is scheduled for publication in July 2012. It will contain guidance for districts on identifying and using district determined measures of student learning, growth and achievement, and determining ratings of high, moderate or low for educator impact on student learning.

## **Part VIII: Using Staff and Student Feedback in the Evaluation Process (May 2013)**

Part VIII is scheduled for publication in May 2013. It will contain direction for districts on incorporating student and staff feedback into the educator evaluation process.

## Overview

### The Opportunity

On June 28, 2011 the Massachusetts Board of Elementary and Secondary Education adopted new regulations to guide the evaluation of all educators serving in positions requiring a license—teachers, principals, superintendents, and other administrators<sup>1</sup>. The regulations are designed first and foremost to promote leaders’ and teachers’ growth and development. They place student learning at the center of the process using multiple measures of student learning. By 2013-14, every district in the Commonwealth will be phasing in evaluation processes and procedures that are consistent with the new regulations.

To do so will require changes in culture and practice in many schools and districts. Members of the Task Force that crafted recommendations for the regulations found that in many schools in the Commonwealth—and nationwide—the educator evaluation process is ineffective.<sup>2</sup> Too often, they found, the process is divorced from student learning and is superficial, ritualistic and passive, experienced by many as something “done to them.” Fewer than half of teachers and administrators polled described their own experience of evaluation as a process that contributed to their professional growth and development. The new regulations well implemented are designed to change all this when well implemented. Each educator will take a leading role in shaping his/her professional growth and development.

- Every educator will assess his/her own performance and propose one or more challenging goals for improving his/her own practice. A formal process for reflection and self-assessment creates the foundation of a new opportunity for educators to chart their own course for professional growth and development.
- Every educator will be using a rubric that offers a detailed picture of practice at four levels of performance. District-wide rubrics set the stage for both deep reflection and the rich dialogue about practice that our profession seeks.
- Every educator will also consider their students’ needs using a wide range of ways to assess student growth and propose one or more challenging goals for improving student learning. They will be able to monitor progress carefully and analyze the impact of their hard work.
- Every educator will be expected to consider team goals, a clear indication of the value the new process places on both collaboration and accountability.
- Every educator will compile and present evidence and conclusions about their performance and progress on their goals, ensuring that the educator voice is critical to the process.

These and other features of the new educator evaluation system hold great promise for improving educator practice, school climate and student learning. To turn promise into reality, every educator—and the teams they work with—will need to be supported to do this new work effectively and efficiently.

The Task Force envisioned ESE playing an active role in that support, expecting ESE to develop a model to support districts to implement its “breakthrough framework.” The regulations therefore called on ESE to develop a “model system” which it defined as “the comprehensive educator evaluation system

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<sup>1</sup> For the full text of the regulations, see <http://www.doe.mass.edu/lawsregs/603cmr35.html>

<sup>2</sup> For the full report of the Task Force, see Building a Breakthrough Framework for Educator Evaluation in the Commonwealth, submitted by the Massachusetts Task Force on the Evaluation of Teachers and Administrators, March 2011 available at <http://www.doe.mass.edu/eval/breakthroughframework.doc>

designed and updated as needed by the Department as an exemplar for use by districts. The Model System shall include tools, guidance, rubrics, and contract language developed by the Department that satisfy the requirements of (this regulation).”<sup>3</sup> This guide and its companions are the first components of the Massachusetts Model System for Educator Evaluation (hereafter referred to as “the Model System”).

## The Purpose of this Guide

The District-Level Planning and Implementation Guide aims to support district leaders—school committee members, superintendents, union leaders, human resource directors, curriculum directors and others—as they work together to turn the promise of a breakthrough framework for educator evaluation into reality for every educator in the district. It is at the district level that most of the design work for educator evaluation will take place. This guide will support district leaders as they collaborate to design their district’s educator evaluation system. While most of the design work is in the hands of district leaders, most of the *implementation* work will be in the hands of school-level staff—teachers, principals and other school staff. Therefore, the guide is also intended to help district leaders plan from the start how to engage school-level educators in its design and develop thoughtful plans that will support effective implementation at the school and classroom level.

The guide provides information district leaders will need to help them decide whether to adopt the model system, adapt it their local context, or revise their existing system so that it conforms to the educator evaluation regulations. The guide first addresses practical requirements and considerations, including:

- What the educator evaluation framework requires
- What the timetable for implementation is
- What the Model System is and how to use it
- What is required if a district “adopts” the model, “adapts” the model, or decides to “revise” its own
- What is required for collective bargaining
- What technical assistance and professional development you can expect from ESE
- How to report educator ratings

With the practical requirements and considerations established, the guide turns to addressing key strategic opportunities and choices:

- Planning implementation in a way that supports coherence among district initiatives
- Addressing issues of feasibility and “do-ability”
- Supporting teachers and leaders at the school and classroom level

The guide includes several appendices that provide more detail on certain topics.

The regulations require that ESE update the model system as needed in future years. ESE looks forward to receiving feedback on this guide at [educatorevaluation@doe.mass.edu](mailto:educatorevaluation@doe.mass.edu).

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<sup>3</sup> See CMR 603 35.02 at <http://www.doe.mass.edu/lawsregs/603cmr35.html>

# Practical Requirements and Considerations

## Key Features of the New Educator Evaluation Framework

Most of the public discussion about the new framework and regulations has focused on teacher evaluation. That is unfortunate because an underlying assumption of the Task Force and the regulations has been this: **the new Framework applies to every educator**. Starting in fall 2012 school committees will begin applying the framework when they evaluate superintendents. Superintendents will apply the same framework when they evaluate assistant superintendents, principals and other district administrators. Principals, in turn, will apply the framework when they evaluate teachers, caseload educators<sup>4</sup> and school-level administrators. Everyone is “in this boat” together.

The framework calls for key features that apply to every educator:

- 1. Statewide Standards and Indicators for Effective Administrative Leadership and Teaching Practice.** The Task Force proposed a set of Standards and Indicators for both teachers and administrators that it intended to promote a statewide understanding about what effective teaching and administrative practice look like. The process included an extensive comparison of relevant state and national standards. Each of four Standards for teachers and for administrators is broken down into 3-6 core Indicators. Together, the Standards and Indicators serve as what the Task Force called the “spine” of the new evaluation framework, and “will do so in the evaluation systems that districts adopt”. The regulations define Standards and Indicators for Effective Teaching Practice and for Administrative Leadership Practice ([603 CMR 35.03](#) and [603 CMR 35.04](#)).

### Standards for Administrators

*Instructional Leadership*

*Management and Operations*

*Family and Community Engagement*

*Professional Culture*

### Standards for Teachers

*Curriculum, Planning and Assessment*

*Teaching All Students*

*Family and Community Engagement*

*Professional Culture*

- 2. Role-specific rubrics define the Standards and Indicators.** The regulations require that the Standards and Indicators be “translated” into rubrics that describe practice in detail at different levels of proficiency ([603 CMR 35.06](#)). Educators and evaluators will use the rubric most appropriate to the role of the educator as a foundation for self-assessment, formative assessment and summative evaluation. Rubrics give substance to the Standards and Indicators. Each Indicator is broken down into Elements that are in turn described at four levels. Rubrics are a tool for making explicit and specific the behaviors and actions present at each level of performance. They can foster constructive dialogue about those expectations and how to improve practice. The rubrics prompt careful analysis and discussion. Detailed information about rubrics can be found in the Model System Part III: Guide to Rubrics and Model Rubrics for Superintendent, Administrator, and Teacher.

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<sup>4</sup> Caseload educators are educators who teach or counsel individual or small groups of students through consultation with a classroom teacher, such as school nurses, guidance or adjustment counselors, speech and language pathologists, and some special education teachers.

**3. Three Categories of Evidence.** To assess educator performance on the Standards and Indicators, the Task Force called for three categories of evidence to be used in every district's educator evaluation system. The regulations describe:

- **Multiple measures of student learning, growth, and achievement**, including classroom assessments, district-determined measures comparable across grade or subject district-wide, and state-wide growth measures where available, including the MCAS Student Growth Percentile (SGP) and Massachusetts English Proficiency gain scores (MEPA);
- **Judgments based on observation and artifacts of professional practice**, including unannounced observations of practice of any duration; and,
- **Additional evidence relevant to one or more Performance Standards** ([603 CMR 35.07\(1\)](#)). Starting in 2013-14, student feedback will have to be used as a source of evidence when evaluating teachers and administrators, and staff feedback will have to be used when evaluating administrators.<sup>5</sup>

**4. A Statewide Performance Rating Scale.** The performance of every educator is rated against the Performance Standards described above. All educators earn one of four ratings: *Exemplary*, *Proficient*, *Needs Improvement*, or *Unsatisfactory*. Each rating has a specific meaning:

- *Proficient* performance is understood to be fully satisfactory. This is the rigorous expected level of performance; demanding, but attainable.
- *Exemplary* performance represents a level of performance that exceeds the already high standard of Proficient. A rating of Exemplary is reserved for performance on an Indicator or Standard that is of such a high level that it could serve as a model. Few educators are expected to earn Exemplary ratings on more than a handful of Indicators.
- *Needs Improvement* indicates performance that is below the requirements of a Standard but is not considered to be Unsatisfactory at the time. Improvement is necessary and expected. For new educators, Needs Improvement can be understood as “developing” in cases where the educator is “on track” to proficiency within three years.
- *Unsatisfactory* performance is merited when performance has not significantly improved following a rating of Needs Improvement, or performance is consistently below the requirements of a standard and is considered inadequate, or both.

The regulations also call for a higher bar for tenure: “Professional teacher status, pursuant to G.L. ch. 71, § 41, should be granted only to educators who have achieved ratings of Proficient or Exemplary on each Performance Standard and overall. A principal considering making an employment decision that would lead to professional teacher status for any educator who has not been rated proficient or exemplary on each Performance Standard and overall on the most recent evaluation shall confer with the superintendent of schools by May 1. The principal's decision is subject to review and approval by the superintendent.” (See [603 CMR 35.08\(6\)](#))

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<sup>5</sup> Starting in 2013-14, additional evidence relevant to one or more performance standards will include student feedback and, for administrators, staff feedback. The regulations call on ESE to provide direction for collecting and using student and staff feedback by July 1, 2013.

**5. Rating Educator Impact on Student Learning.** Every educator earns a second rating that reflects his/her impact on student learning. The Board added this more explicit focus on student learning by requiring that the impact on student learning of every educator be rated high, moderate or low based on trends and patterns in learning gains on state and district-determined measures of student learning, growth and achievement. Beginning in 2013-14, each district will identify “district-determined measures of student learning which must be comparable across grade or subject district-wide.” The rating of impact on student learning is distinct, however, from the use of multiple measures as a category of evidence to rate educator performance.

**6. Four Educator Plans.** The Task Force prioritized differentiating evaluation by both career stage and performance. The regulations define four differentiated Educator Plans. The following three plans apply only to “experienced” educators, defined as a teacher with Professional Teacher Status (PTS) or an administrator with more than three years in an administrative position in the district:

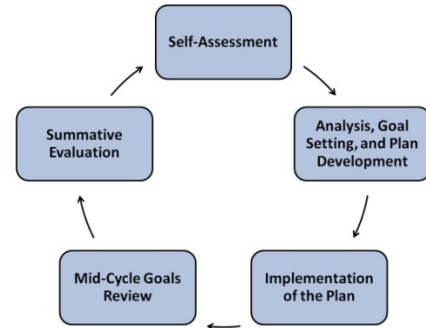
- The *Self-Directed Growth Plan* applies to educators rated Proficient or Exemplary and is developed by the educator. When the Rating of Impact on Student Learning is implemented (beginning in 2013-14), educators with a Moderate or High Rating of Impact will be on a two-year plan; educators with a Low Rating will be on a one-year plan.
- The *Directed Growth Plan* applies to educators rated Needs Improvement and is a plan of one school year or less developed by the educator and the evaluator.
- The *Improvement Plan* applies to educators rated Unsatisfactory and is a plan of no less than 30 calendar days and no longer than one school year, developed by the evaluator.

Few new educators are expected to be Proficient on every Indicator or even every Standard in their first years of practice. Therefore, the fourth plan applies to teachers without Professional Teacher Status, an administrator in their first three years in a district, or an educator in a new assignment (at the discretion of an evaluator):

- The *Developing Educator Plan* is developed by the educator and the evaluator and is for one school year or less.

## 7. Five-Step Evaluation Cycle with Goals for Student Learning and Professional Practice.

Every educator participates in a one- or two-year, five-step cycle of continuous improvement. The cycle is the centerpiece of the new regulations designed to have all educators play a more active, engaged role in their professional growth and development. For every educator, evaluation begins with self-assessment. The self-assessment leads to establishing at least two goals in the Educator's Plan for the year, one focusing on student learning and another focusing on improving the educator's own practice. The cycle concludes with the summative evaluation and the rating of the educator's impact on student learning. It also is a continuous improvement process in which evidence from the summative evaluation and rating of impact on learning become important sources of information for the educator's self-assessment and subsequent goal setting [603 CMR 35.06](#).



More details about the regulations appear in other components of the Model System, including the School-Level Planning and Implementation Guide (Part II) and the Model Collective Bargaining Contract Language (Part IV). For more information on the regulations, please see the Educator Evaluation webpage on the ESE website: <http://www.doe.mass.edu/edeval/>

## Implementation Timetable

The regulations call for districts to phase in components of the evaluation system over several years:

- **Phase I:** Rate every educator based on attainment of goals and performance against the four Standards defined in the educator evaluation regulations.
- **Phase II:** Rate every educator's impact on student learning gains based on trends and patterns on state and district-determined measures of student learning.
- **Phase III:** Use feedback from students and (for administrators) staff as evidence in the evaluation process. ESE will provide guidance by June 2013.

The Board's decision to phase in different components of the framework over a two year period permits ESE and districts to continue to learn from early adopters, practitioners and researchers both here in Massachusetts and in other states. For example, recent national research is confirming that survey data measuring students' perception of what happens in classrooms in terms of student relationships, teacher expectations, and academic press is significantly correlated with student achievement gains.<sup>6</sup> ESE's direction on student surveying, required by June 2013, can be informed by that research and continued dialogue with practitioners in the field. Just as importantly, having eighteen additional months will give the Department time to identify and secure tools that can make it easier and less costly for schools to collect and use this important source of information.

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<sup>6</sup> See, for example: T. Crow, The View from the Seats, Student input provides a clearer picture of what works in schools, [Journal of Staff Development](#) 32 (6), December 2011.

Below is the schedule for key ESE and district action over the next eighteen months.

**January 2012:** ESE publishes first components of model system

**Winter/Spring 2012:** Race to the Top (RTTT) districts begin collective bargaining

**June 2012:** ESE provides guidance on rating educator impact on student learning based on state and district-determined measures

**Summer 2012:** RTTT districts begin training for evaluators and develop plans for a process to identify, develop and/or adopt district-determined measures

**By September 2012:** RTTT districts submit their proposed educator evaluation systems to ESE for review, including collective bargaining agreements for teachers and administrators represented by bargaining units (Phase I)

**September 2012:** RTTT districts begin implementation of educator evaluation for superintendents, principals, teachers and other administrators

**By January 2013:** All remaining districts begin collective bargaining

**By June 2013:** ESE issues direction on collecting and using student and staff feedback

**By September 2013:** All districts submit to ESE plans for district-determined measures and their proposed processes for rating educator impact on student learning (Phase II) and using student and staff feedback (Phase III)

**September 2013:** All districts are implementing the educator evaluation framework in ways consistent with the educator evaluation regulations

## The Model System

### *Purpose, Components and Development*

ESE has developed the Model System for Educator Evaluation to support effective state-wide implementation of the new educator evaluation framework. The model is fully aligned with the regulations and includes:

- A process and procedure for evaluating **superintendents** with directions, a rubric, a form and resources;<sup>7</sup>
- A process and procedure for evaluating **principals** with directions, a rubric, forms and resources;<sup>8</sup>
- A process and procedure for evaluating **teachers** and **caseload educators** with directions, rubrics, contract language, suggested forms, and an extensive implementation guide with resources.<sup>9</sup>

The processes, procedures and resources developed for principals, teachers and caseload educators can be adapted for evaluating **district- and school-level administrators**, subject to local collective bargaining agreements and the role of the administrator.

To develop the model system, ESE worked with 11 early adopter districts,<sup>10</sup> 10 districts implementing the framework in their Level 4 schools,<sup>11</sup> and 4 education collaboratives chosen as pilot sites for early implementation.<sup>12</sup> ESE engaged a wide range of stakeholders from state associations, as well.<sup>13</sup> They have provided invaluable advice and counsel. The model is not finished. The regulations anticipate learning from the field and from research. Therefore, they require ESE to update the model “regularly”. ESE will issue supplements to the Model Evaluation System for Phase II and Phase III. In addition, ESE expects to supplement the Model over the next year and thereafter as best practices emerge and lessons

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<sup>7</sup> See Part VI of the Model System for Educator Evaluation, *Implementation Guide for Superintendent Evaluation*

<sup>8</sup> See Part V of the Model System for Educator Evaluation, *Implementation Guide for Principal Evaluation*. Model contract language for administrators represented by local bargaining units will be published by March 15, 2012 and added to Part IV of the Model System, *Model Collective Bargaining Contract Language*. See also Part III, *Guide to Rubrics and Model Rubrics for Superintendents, Administrators and Teachers*.

<sup>9</sup> See Part II of the Model System, *School-Level Planning and Implementation Guide*, Part III, *Guide to Rubrics and Model Rubrics for Superintendents, Administrators and Teachers*, and Part IV, *Model Collective Bargaining Contract Language*. A rubric for caseload educator will be developed and published as a supplement to the *Guide to Rubrics* by March 15, 2012.

<sup>10</sup> Ashland, Attleboro, Everett, Franklin, Greater Lawrence Regional Vocational Technical High School, Mashpee, Reading, Revere, Wachusett, Wareham and Whitman-Hansen

<sup>11</sup> Boston, Chelsea, Fall River, Holyoke, Lawrence, Lowell, Lynn, New Bedford, Springfield and Worcester

<sup>12</sup> BiCounty, Collaborative for Educational Services, Lower Pioneer Valley, and South Coast

<sup>13</sup> State associations whose representatives worked with ESE staff include, in alphabetical order: American Federation of Teachers, Massachusetts (AFT-MA), Massachusetts Association of School Committees (MASC), Massachusetts School Counselors Association (MASCA), Massachusetts Association of Supervision and Curriculum Development (MASCD), Massachusetts Association of School Personnel Association (MASPA), Massachusetts Association of School Superintendents (MASS), Massachusetts Association of Vocational Administrators (MAVA), Massachusetts Elementary School Principals Association (MESPA), Massachusetts School Nurses Organization (MSNO), Massachusetts Secondary School Administrators Association (MSSAA), Massachusetts Teachers Association (MTA), Massachusetts Association of Vocational Administrators (MAVA).

are learned from the field. In addition, contract language and an implementation guide for peer assistance review (PAR) will be added to the model system within the year.

### **Superintendent Evaluation**

The model applies the new regulations to superintendent evaluation, adapting them to meet the requirements of the open meeting and public records laws. The requirement in the framework for every educator to propose at least one goal related to student learning and one to professional practice is expanded for superintendents to include proposing 3-5 district improvement goals, thereby making setting and meeting ambitious goals a more central aspect of superintendent evaluation. Including districtwide goals is also designed to help school committees and superintendents collaborate to establish a coordinated plan for addressing high priority district needs. The guide provides guidance for effective goal setting and examples of professional practice, student learning, and district improvement goals, expanding on work M.A.S.C. had begun with its members on SMART goal setting.<sup>14</sup> The guide also suggests adaptations of the process for new superintendents.

The regulations anticipated that the Standards and Indicators for Effective Administrative Practice might have to be adapted for superintendents because those standards and their indicators have a school-level focus. The model makes modest changes to the indicators, capturing the districtwide focus of the superintendent's work. With minor revisions, the rubric for superintendents should be able to serve as the rubric for assistant superintendents and, subject to local collective bargaining, other district administrators.

The model was developed by M.A.S.C. and MASS representatives with feedback from the two state principal associations, MESPA and MSSAA, and from leaders with the MTA's Center for Educator Policy and Practice. Both M.A.S.C. and M.A.S.S. are committed to supporting effective implementation of the model starting in the 2012-13 school year. Leaders of both organizations see it as an opportunity to model implementation of the new framework "from the top". MASC, MASS and ESE are collaborating through the *District Governance Project* to use Race to the Top funding to develop a training module and coaching support to help school committees and superintendents implement the superintendent evaluation model effectively. For more information on the District Governance Project, see <http://www.masc.org>.

### **Principal Evaluation**

Like the model for superintendent evaluation, the model for principal evaluation places a greater emphasis on goals. It calls on principals, in collaboration with superintendents, to develop 3-5 school improvement goals to complement student learning and professional practice goals required in the framework. The rubric is based entirely on the Standards and Indicators detailed in the regulation. The 20 indicators are broken down into 42 elements, each with descriptors of practice at four levels of proficiency. With few, if any, modifications, the rubric can be applied to other school-level administrators, again, consistent with local collective bargaining. The guide also details a protocol for the superintendent's observation of the principal's practice at the school site.

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<sup>14</sup> The S.M.A.R.T. goal concept was introduced in 1981 by G.T. Doran, A. Miller and J. Cunningham in *There's a S.M.A.R.T. way to write management's goals and objectives*, Management Review 70 (11), AMA Forum, pp. 35-36.

The Implementation Guide to Principal Evaluation was developed in close collaboration with representatives from MESPA and MSSAA. Representatives of MASS and leaders from MTA's Center for Educator Policy and Practice offered feedback as well. ESE plans to work closely with MASS, MESPA and MSSAA to support training and professional development on goal setting and site visitation. The three organizations see strengthening principal evaluation as an opportunity for superintendents and principals to model the culture and practices of collaboration and accountability that are at the heart of the new framework.

## ***Teacher and Caseload Educator Evaluation***

Staff members in early adopter districts, Level 4 schools and early adopter collaboratives offered valuable insights into the opportunities and challenges of implementing the framework at the school level. So, too, have staff from the MTA and AFT-MA. These early lessons and practitioner insights have been captured in the Model System Part II: School-Level Planning and Implementation Guide, a rich resource for practical tools and thoughtful strategies designed to make teacher evaluation deliver on the promise of educator growth and development. Model contract language is available, as well, in part IV, developed by ESE legal staff with the help of candid advice and feedback from the state associations representing school committees, superintendents, human resource administrators, and teachers: MASC, MASS, MASPA, MTA, and AFT-MA.

The longest component of the model to date, the school-level guide will help district leaders develop a realistic understanding of what will be required at the school level to make the system work in ways that will support educator growth and development. In addition to giving practical guidance about implementing each step in the Five-Step Cycle of Evaluation, the guide addresses a number of topics of interest at the district level, including:

- Key Components to Establishing and Sustaining Effective Teams
- Suggestions for Refining Goals and Developing Educator Plans
- Evaluating Educators Serving in Multiple Roles<sup>15</sup>
- Aligning Educator Plans and Individual Professional Development Plans<sup>16</sup>
- Strategies and Suggestions for Observations
- Changing the Educator Plan after a Formative Assessment or Evaluation

Appendix A of the school-level guide also includes 10 forms that are fully aligned with the regulations and the model contract and can support consistent, thoughtful implementation of each step of the educator evaluation cycle.

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<sup>15</sup> See Appendix A in this guide

<sup>16</sup> See Appendix B in this guide

## **Evaluation of Other School-Level Administrators and “Non-Unit A” Educators**

While the school-level guide focuses attention on evaluation of teachers and caseload educators, it also offers examples and practical tools for school-level administrators who will be evaluated using the new framework. As mentioned above, the rubric developed to describe the Standards and Indicators for Effective Administrative Leadership Practice is well-matched to the responsibilities of most school-level administrators, and the evaluation process and forms detailed in the guide are also applicable. Model contract language for school- and district-level administrators and other “non-Unit A” educators will be available by March 15, 2012.

## **District Options: Adopt the Model, Adapt it, or Revise Existing Systems**

No district is compelled to adopt the model system. School committees and school districts can adopt the model system, adapt the model system, or revise their existing evaluation systems to align with the framework. That said, the Board established a critical role for ESE:

*All evaluation systems and changes to evaluation systems shall be subject to the Department’s review to ensure the systems are consistent with the Board’s Principles of Evaluation. A District may continue to use its existing evaluation systems until the District has fully implemented its new system.<sup>17</sup>*

In the case of rubrics, the regulations require that ESE assure that any alternatives to the model rubrics are “comparably rigorous and comprehensive.” In addition, the Board established that “the model system developed by the Department need not be submitted for review...if the district implements it as written”<sup>18</sup>.

The educator evaluation regulations apply to four educators or groups of educators:

1. Superintendents and other district administrators serving under employment contracts;
2. Principals;
3. Teachers/caseload educators; and,
4. Other administrators represented through collective bargaining.

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<sup>17</sup> See CMR 603 35.11(2)

<sup>18</sup> See CMR 603 35.1 (3).

For each group of educators, a district has three options:

- **Adopt** – A district that adopts the model system for one or more groups of educators will be using the rubrics and protocol created by ESE without making any changes. When ESE updates the rubrics or protocol, the district will follow the implementation timeline detailed by ESE for transitioning to the new components of the model.
- **Adapt** – A district that adapts the model system for one or more groups of educators will be using the model rubrics and protocol as its starting point, but has decided to alter them in some way(s).
- **Revise** – A district with an existing system for one or more groups of educators that it considers stronger than the model may choose to revise that system to ensure alignment with all of the principles of educator evaluation detailed in the regulations.

### ***ESE's Review Process***

Districts that adopt the rubrics and protocols that are in the model system will simply notify ESE of its decision to adopt the model and submit a short Educator Evaluation Review Questionnaire.

Districts that decide to adapt the model or revise their existing system for one or more groups of educators will need to complete the Educator Evaluation Review Questionnaire for each group for which it is adapting the model or revising its existing system. In both cases, the district will need to complete a separate Educator Evaluation Review Questionnaire for the group(s) of educators for which it is adapting the model, and submit its proposed protocol and rubric(s), including any relevant contract language for review.

The more components of the model a district adapts, the more extensive its response to the questionnaire will need to be. For example, a district that adopts the model contract for teachers with a few changes will be responding to fewer questions than one that makes many changes. Similarly, a district that adopts the model process for evaluating its principals but wants to keep its existing rubric will have fewer questions to respond to than a district that maintains both its protocol and its rubric.

To facilitate local district decision-making, ESE is piloting a review process with early adopter districts that are anticipating adapting the model or revising one or more of their own systems. ESE is reviewing their rubric(s) for “rigor and comprehensiveness” and their protocols for consistency with the regulations. Through this pilot, ESE is developing the criteria and questionnaire process it will use to assess whether an adaptation to the model or a revision to existing system meets the regulatory requirements. ESE will make available final details of the rubric review criteria and process no later than March 31, 2012. Districts participating in Race to the Top will submit their plans to ESE by September 2012. Other districts will submit their plans by September 2013. ESE will report its review findings to the district and the Board of Elementary and Secondary Education as soon after a district submits its plans as is feasible. For a sample of questions likely to appear in the Educator Evaluation Review Questionnaire, please see Appendix C.

## Collective Bargaining

The procedures for conducting educator evaluation are a mandatory subject of collective bargaining in Massachusetts.<sup>19</sup> As such, all districts will be engaged in collective bargaining in order to implement the framework for teachers, caseload educators and administrators represented by bargaining agents. Many of the early adopter districts see the new framework as a welcome opportunity for labor and management to engage deeply and constructively in the conversation, collaboration and negotiation required to establish a sound foundation for implementing new practices. They understand that formal negotiations are only one step in a much longer process of collaboration that will be needed to build, monitor, update, and revise an educator evaluation process that is fair, transparent, credible, and leads to educator growth and development.

Districts have approached educator evaluation differently. Some have included every detail of the evaluation process in their collective bargaining agreements. Others have included some aspects of the process in the contract and others in side letters or other documents. Still other districts have bargained more general procedures and some of the details lie outside of formal agreements. The Model Collective Bargaining Contract Language developed by ESE (Part IV of the Model System for Educator Evaluation) contains very specific language. A district that chooses to adopt the model will adopt the contract language in its entirety. Districts may choose to adapt it to local conditions by adding, deleting and/or revising language. Still others may choose not to use the model language as a starting point. They may choose to revise their existing contract language to make sure it conforms with the new state regulations. As with other components of the model system, districts that choose to adapt the model or revise their existing system will need to complete the Educator Evaluation Questionnaire described earlier. The Questionnaire serves as both a self-assessment to help districts know ahead of time if the evaluation process they are planning conforms to the regulations, and as the vehicle for presenting its process for ESE review.

Whatever choice a district makes, it is important to pay attention to the unusual circumstances surrounding these evaluation regulations. Unlike the regulations promulgated in 1995, these educator evaluation regulations explicitly envision modification. For example, by September 2013, districts will be expected decide how to assign a rating for an educator's impact on student learning on the basis of state and district-determined measures of student learning. ESE is required to provide guidance on this topic by July 2012. Similarly, by September 2013, districts are also expected to collect and use student and staff feedback in educator evaluation, once again based on ESE direction due to be available in spring 2013. Other topics are likely to be considered after the completion of bargaining for phase 1 of the regulations, including, possibly:

- peer assistance and review
- digital recording of lessons
- evaluator training
- rewarding exemplary performance

Districts are encouraged to conduct bargaining in a way that permits the parties to return to educator evaluation periodically over the next several years. Districts may want to consider the use of side letters, memorandum of understanding, "re-opener clauses" and other mechanisms for facilitating the work that lies ahead.

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<sup>19</sup> M.G.L. c 71 s 38. See Appendix D

## Technical Assistance and Professional Development

The Task Force and Board assigned to ESE substantial responsibility for supporting effective implementation of the framework in the districts and schools of the Commonwealth. ESE takes that responsibility seriously and has worked closely with Level 4 schools and early adopters to learn what support is most needed. ESE has established a network of organizations that are partnering with ESE to support implementation efforts in the urban districts with Level 4 schools, and intends to expand that network so that coordinated support can be made available regionally to other districts at modest cost.

Over the next years, educators can expect to see a number of other tangible supports for their work. In the short run, later this winter ESE will publish seven free training modules with facilitator guides to help get district and school teams get started on all of the key components of the Five-Step Cycle required in Phase I:

- Getting Started at the School Level
- Unpacking the Rubric
- Self-Assessment and Goal Setting
- Educator Plan Development and Implementation
- Gathering Evidence through Artifacts
- Gathering Evidence through Observation
- Rating Educator Performance

This spring ESE will release guidance on training evaluators, an aspect of implementation support critical to success of this work. ESE intends to identify proven providers and work with them to provide cost-effective training opportunities, including hybrid on-line/face-to-face training. ESE will also support the development of regional and role-specific “networks of practice” to enhance sharing and effective implementation.

Early adopters have asked that ESE help ensure that their educational collaboratives are well-informed about the educator evaluation framework and are looked to as potential providers of professional development and support for their member districts. We are engaging collaboratives. Similarly, districts are asking for assistance with technology tools to help with the process. We are exploring ways that ESE can be helpful in this area, as well.

We have learned from our work with Level 4 schools and early adopters that candid feedback is critical to ensure that ESE resources are relevant. To that end, ESE is using RTTT funding to support on-going evaluation by an independent third party organization that will give ESE candid information its own and others’ efforts to support effective implementation. For more on the Department’s plans to support district- and school-level implementation, see Appendix E.

## Reporting Requirements and Educator Confidentiality

The regulations require districts to provide ESE with individual educator evaluation data for each educator. The regulations are explicit that educator evaluation data for each educator will not be made public. The single exception is the superintendent whose evaluation must be conducted in public and whose summative evaluation is a public document, consistent with state open meeting and public records laws. For all other educators, the regulations guarantee that any information concerning an educator's formative assessment, formative evaluation or summative evaluation is considered personnel information and is not subject to disclosure under the public records law. However, aggregate data that do not identify individual educators may be made public. ESE will also produce detailed collection guidance for the ongoing school year implementations. Appendix F details district reporting requirements beginning for some districts at the close of the 2011-12 school year, and for most districts at the close of the 2012-13 school year.

## Strategic Choices and Opportunities

### Coherence Among District Initiatives

Implementing the educator evaluation framework can be seized as an opportunity to establish coherence among district initiatives rather than as “one more district initiative.” The framework is built on a foundation of high leverage strategies for growth and development including self-assessment, data analysis, goal setting, observation with feedback, examination of artifacts, and rubrics. One way to build coherence among district initiatives is to link these strategies to critical work already underway. Each offers opportunities to link district initiatives in ways that create synergy, support and coherence.

For example, strong vertical alignment between individual, team, school and district goals will accelerate improvement. All schools and districts are transitioning to the new MA Frameworks in Mathematics and English Language Arts. Team goal setting in the evaluation cycle can be used to advance this work: teacher teams can share the common professional practice goal of learning “backwards design” principles and applying them to design together units that align with the new Frameworks. Department, grade level and/or faculty meetings can provide opportunity to share and critique models. Similarly, principals across the district can share the same professional practice goal of learning to observe classroom instruction more consistently and provide more useful, targeted feedback. Districts hard at work to incorporate global skills into their curriculum can establish district-wide professional practice and student learning goals related to more effective and extensive use of appropriate technologies.

“Unpacking” rubrics will help educators develop a deep, shared understanding of what proficient leadership or teaching practice looks like. Working together with rubrics offers a rare opportunity for teams of administrators and teachers to learn together and sets the stage for individual and collective growth as educators see more clearly what will be involved to develop their practice to the next level and identify colleagues who can help get them there. A key to having the rubrics contribute to coherence rather than fragmentation will be in the choice of what indicators and elements to focus on first. Linking that choice to other district priorities is important. Similarly, analyzing student learning data together at administrative teams will sharpen each member’s insights and can lead to decisions to refine the action steps for district-wide learning goals. Creating time and space for these conversations at district administrator meetings is an important way to create synergy and coherence for they will help create the shared vision of effective practice that is the critical ingredient for nearly every strong and improving district and school.

Coherence will come, too, through thoughtful collaboration and conversation.

## Collaboration: Not Always Easy or Comfortable, but Essential

Ever since the formation of the Task Force, ESE has been challenged to work in new ways to engage stakeholders. We have reached out to leaders of many state associations, including, but certainly not limited, to these (in alphabetical order):

- American Federation of Teachers-Massachusetts (AFT-MA)
- Massachusetts Association of School Committees (MASC)
- Massachusetts Association of School Superintendents (MASS)
- Massachusetts Elementary School Principals Association (MESPA)
- Massachusetts Secondary School Principals Association (MSSAA)
- Massachusetts Teachers Association (MTA)

These have not always been easy conversations. We have worked to make time and space for candid conversation and invited stakeholders to challenge long-held assumptions of their own, of others and of ours at ESE. We have worked to place BOTH student learning AND educator growth and development at the center of our conversations. We have worked hard to bring traditional adversaries “to the table” to seek common ground. We have not always reached agreement, but we have always learned. These first components of the model system are far more promising tools and resources because of the challenging questions posed, suggestions made, and assumptions challenged. We believe the same will be true at the local level: the conversations will not always be easy; but they are essential.

## Addressing Feasibility

*Task Force Member, in a meeting: “Whatever model for evaluation is adopted, it needs to be practical. We need to have the conversation – is this doable?”*

*Task Force Member, in reply: “I would slightly change the question from ‘Is it doable?’ to ‘How can we make it doable? What will it take to make it possible?’”*

A singular strength of the Framework is that it relies on practices that hold great promise for enhancing educator growth and development. At the same time, many of these same practices help make the framework “doable” and desirable from the perspectives of both the educator and evaluator.

- **Rubrics** describe administrative and teaching practice in detail across different levels of performance. For educators, rubrics help describe what skillful practice looks like and what steps the educator needs to take to move further along the continuum of practice toward exemplary performance. For both educators and evaluators, rubrics help make explicit and transparent the next steps the educator needs to take. For the evaluator, rubrics mean that s/he no longer has to write from a blank page to describe details of practice, so the time spent crafting useful, specific feedback is reduced.
- **Educator Self-Assessment** gives the educator the initial opportunity to use the rubric and data about student learning to assess their own strengths and impact on student learning, thereby taking more control of their own growth and development. For the evaluator, an educator’s thoughtful self-assessment paves the way for a clear focus for observation and feedback.
- **Educator-Proposed Goals** again give the educator the opportunity to take charge of identifying how s/he wants to grow as a professional. When well-crafted, goals give both the educator and the evaluator a straightforward way to assess progress.
- **Team Goals** give educators the opportunity to learn with and from colleagues as they tackle challenging problems of practice together. For evaluators team goals are an efficient way to organize school improvement and give specific, focused evaluation feedback to educators.
- **Brief, Unannounced Classroom Observations with Brief Feedback** are encouraged by the regulations which require “unannounced observations of varied duration”. Brief unannounced observations followed by focus and brief feedback give educators the opportunity to receive frequent, focused feedback based on an authentic understanding of their classroom practice. For evaluators, short observations followed by brief feedback are a realistic and efficient way to gain knowledge of an educator’s practice and provide meaningful feedback. Brief unannounced visits fit the hectic schedule of a school administrator. Experts have estimated that an evaluator can make as many as eight 10-15 minute, unannounced observations and provide useful feedback for each in the time it could have taken him/her to do a single traditional full-period announced observation with scheduled pre- and post-conferences and lesson write up.
- **Educator Collection of Evidence** means that the educator and evaluator share responsibility for assembling the evidence that will be used to assess progress. Once again, the educator—working individually and with a team—can examine evidence and assess his/her own growth and development. At the same time, the evaluator can make efficient use of the evidence presented by the individual and the team to draw conclusions about the educator’s performance and progress in achieving goals.

- **Two-year Self-Directed Growth Plan** is the plan that will be used by most experienced educators. Ratings for the mid-cycle formative evaluation - at the end of the first year - are assumed to be the same as the ratings from the previous year unless there has been a significant change in performance. For educators, the two-year plan brings the opportunity to work with their teams and on their own to pursue extended goals. For evaluators, two-year plans for most of their educators with professional teacher status mean that they can concentrate their attention on new and struggling educators.
- **Distributed Leadership** is contemplated in the regulations which invite districts to establish peer assistance and review systems (PAR) in which highly skilled teachers assume leadership roles as observers, mentors and coaches for peers. For educators, PAR means opportunities for recognition, growth and leadership. For evaluators, PAR means assistance in the observing and supporting teachers.

The framework pays attention to issues of feasibility. Well-implemented, the features above hold promise as realistic alternatives to current practice in many districts. Those practices have led many administrators and teachers to describe evaluation as passive, superficial, ritualistic and missing the mark. These features take direct aim at those weaknesses.

## Supporting Teachers and Leaders at the School and Classroom Level

Translating the new framework into practice at the school and classroom level will require district leaders to work together to support teachers and school-level administrators in their work. That support will be most effective when union leaders and district administrators work to make this a joint effort and connect it to other district priorities. Making the framework come alive in classrooms will require far more than negotiating changes to the current collective bargaining agreements—though that must be done.

Given the active, engaged role envisioned for every educator in the new framework, the voice of every educator needs to have a place in the conversation. District leaders will want to devise a strategy for bringing teachers, principals and department heads together to help in the design and refinement work ahead. No teacher, principal or department head wants the educator evaluation framework done “to them.” Instead, they want it done “with them.”

### Moving forward

Moving forward, district leaders can count on ESE to continue its efforts to work with the field. These first components of the Model System for Educator Evaluation are the first installment on that promise. We are confident it will not be our last.



## **Appendices: Resources to Support Effective Implementation**

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## Appendix A. Evaluating Educators in Multiple Roles

Districts may elect, subject to their bargaining obligations, how they will choose to evaluate educators who serve in multiple roles. However, simplicity and commonsense are useful guideposts when creating sustainable evaluation systems. In many instances it would be a burden to both the educator and the district to conduct separate evaluations for each role that an educator might have in a school or district. Rather than attempt to do so, ESE suggests that the District and the Association/Union agree on the educator's primary role based on a review of the educator's course load and other assignments. Where a primary role is not suggested by such an analysis, the parties could designate a primary role, subject to confirmation by the evaluator's supervisor. Notwithstanding, districts may evaluate educators for each of their multiple roles if they so choose, subject to their collective bargaining agreements.

Whichever approach the district adopts, the role-appropriate standards, indicators, rubrics, and student performance measures to be used in evaluating the educator should be discussed as part of the goal-setting and plan development component in the educator evaluation cycle, so expectations are clear and agreed upon before evaluation begins.

### Example

A large high school has an educator serving in the supervisor/director role as chair of a math department of five teachers. As part of her workload, the educator also teaches two sections of math. The evaluator and educator determine her evaluation will focus on her supervisory, professional development, and team development responsibilities, and designate her department chair duties as her primary role for the purpose of evaluation. Conversely, an educator serving in the supervisor/director role in a small high school with just two math teachers (including the educator) might have a more extensive teaching load. The evaluator and educator conclude that her evaluation will focus on her teaching responsibilities, not her supervisory duties.

Alternately, subject to the requirements of the evaluation system the district adopts, the parties may determine that it is more appropriate to evaluate the educator in both her roles (supervisory and teaching). However, as noted above, this will likely create an added burden for both the evaluator and educator, given the need for multiple ratings on practice and impact on student learning when implemented in 2013-14.

The parties could create a hybrid rubric including Standards, Indicators, Elements, and/or descriptors from both the teacher rubric and the administrator rubric appropriate to the responsibilities of the educator. Should this approach be taken, the parties are advised not to increase the number of elements, but rather to select those indicators and elements that best apply to the educators role and responsibilities.

## Appendix B. Aligning Educator Plans and the Individual Professional Development Plan

How can the professional development activities in an Educator Plan count toward an Educator's Individual Professional Development Plan (IPDP)?

Though governed by two different statutes both plans must be consistent with the educational needs of the school and district, be approved by the educator's supervisor, strengthen the educator's knowledge and skills, and enhance the educator's ability to promote student learning. The Educator Plan specifies the kinds of professional development activities educators will pursue to improve their performance and promote student learning.

Not all of the professional development undertaken pursuant to an Educator Plan under 603 CMR 35 (evaluation) may meet the requirements of 603 CMR 44 (recertification). However, in many instances the educator's professional development activities will meet these requirements so that successful completion of the professional development activities undertaken pursuant to the Educator's Plan may contribute to the satisfaction of the educator's PDP requirements under recertification.

ESE recommends Educators and Evaluators:

- Use a goal setting and plan development conference at the beginning of the evaluation cycle<sup>1</sup> to review and approve Individual Professional Development Plans and to conduct the bi-annual check-in and end of renewal cycle endorsement that are required under [604 CMR 44](#) during the Evaluation Cycle, if practicable.
- Maintain a running record (by the educator) of the professional development activities undertaken pursuant to their Educator Plan under [603 CMR 35](#) to identify activities that meet the PDP requirements for recertification under [604 CMR 44](#) and its accompanying [guidelines](#).

## Appendix C. Educator Evaluation Review Questionnaire

The Educator Evaluation Review Questionnaire asks district leaders to answer a series of questions regarding their evaluation system to ensure that the educator evaluation system complies with the regulations described in 603 CMR 35.00. All districts will have to complete the online survey tool. The questionnaire will be very short for districts adopting the model since those districts will not have to provide details on how each aspect of their evaluation system is aligned with the regulations. The Questionnaire is designed to help districts know the likely outcome of the Department's review well in advance.

The survey asks primarily "yes" and "no" questions. For each question, a district answers "yes" or "no" and cites the relevant section(s) from the contract, protocol, side letter, or Memorandum of Agreement (MOA) as applicable. **Except where noted with an asterisk\*, questions must be answered "yes" for ESE to conclude that the evaluation system is consistent with the regulations.** In addition, for questions requiring explanations, ESE will review each explanation. The relevant portion(s) of the contract, protocol, side letter, or MOA will be used as evidence to determine if the evaluation system is consistent with ESE regulation.

Below are **sample questions** for the teacher/caseload educator evaluation system:

What option is the district choosing (check one):

- 1a: Adopt ESE Model System for Teacher/Caseload Educator Evaluation without modification.  
*Submit overview page with signature of Superintendent and Union President*
- 1b: Adopt ESE Model System for Teacher Evaluation with different rubric(s)  
*Complete survey questions on RUBRICS*  
*Submit with signature of Superintendent and Union President*
- 2: Adapt ESE Model System for Teacher Evaluation to local context  
*Complete all survey questions*  
*Attach the evaluation contract, protocol and rubric(s)*  
*Submit with signature of Superintendent and Union President*
- 3: Revise the existing educator evaluation system  
*Complete all survey questions*  
*Attach the evaluation protocol and rubric(s)*  
*Submit with signature of Superintendent and Union President*

**QUESTION #2: FIVE STEP CYCLE**

2a. Is every educator required to participate in an evaluation process encompassing at least a Five-step Cycle that includes:

1. Self-assessment;
2. Goal setting and educator plan development;
3. Educator plan implementation and collection of evidence;
4. Formative assessment/evaluation; and
5. Summative evaluation?

- Yes
- No

...

**QUESTION #5: ANALYSIS, GOAL SETTING AND PLAN DEVELOPMENT**

5a. Is every educator required to have an Educator Plan?

- Yes
- No

5a (1) Are the Educator Plans differentiated by career stage and performance?

- Yes
- No

5a (2)a Are there 4 Educator Plans, as follows:

- Developing Educator Plan (one year, for teachers without professional teaching status, administrators in their first 3 years in a position in the district, and, at the discretion of the evaluator, educators in new assignments)
- Self-Directed Growth Plan (up to two years, for educators rated Proficient or Exemplary)
- Directed Growth Plan (up to one year, for educators rated Needs Improvement)
- Improvement Plan (30 days to one year, for educators rated Unsatisfactory)

- Yes
- No

5a (2)c If educators on a Directed Growth Plan do not earn at least a Proficient rating in the Summative Evaluation, are they rated Unsatisfactory and placed on an Improvement Plan?

- Yes
- No

5a (3) Are the Plans required to, at a minimum:

5a (3)(a) include one goal to improve the educator's practice tied to one or more Performance Standards?

- Yes
- No

5a(3)(b) include one goal to improve the learning, growth and achievement of the students under the educator's responsibility?

- Yes
- No

5a(3)(c) outline the actions the educator must take to attain these goals, including but not limited to specified professional development activities, self-study, and coursework, as well as other supports that may be suggested by the evaluator or provided by the school or district?

- Yes
- No

5a(3)(d) be aligned to statewide Standards and Indicators and any local Performance Standards?

- Yes
- No

5a(3)(e) be consistent with school and district and state goals?

- Yes
- No

5b. Does the evaluator have final authority over the content of the Educator Plan, including goals?

- Yes
- No

## Appendix D. Educator Evaluation and Collective Bargaining

### Excerpts from M G.L. c. 71, § 38.

The superintendent, by means of comprehensive evaluation, shall cause the performance of all teachers, principals, and administrators within the school district to be evaluated using any principles of evaluation established by the board of education pursuant to section one B of chapter sixty-nine and by such consistent, supplemental performance standards as the school committee may require, including the extent to which students assigned to such teachers and administrators satisfy student academic standards or, in the case of a special education student, the individual education plan, and the successful implementation of professional development plans required under section thirty-eight Q; provided, however, that such principles and standards be consistent with the anti-discrimination requirements of chapter one hundred and fifty-two B. The superintendent shall require the evaluation of administrators and of teachers without professional teacher status every year and shall require the evaluation of teachers with professional teacher status at least once every two years. The procedures for conducting such evaluations, but not the requirement for such evaluations, shall be subject to the collective bargaining provisions of chapter one hundred and fifty E.

Performance standards for teachers and other school district employees shall be established by the school committee upon the recommendation of the superintendent, provided that where teachers are represented for collective bargaining purposes, all teacher performance standards shall be determined as follows: The school committee and the collective bargaining representative shall undertake for a reasonable period of time to agree on teacher performance standards. Prior to said reasonable period of time, the school district shall seek a public hearing to comment on such standards. In the absence of an agreement, after such reasonable period, teacher performance standards shall be determined by binding interest arbitration. Either the school district or the teachers' collective bargaining representative may file a petition seeking arbitration with the commissioner of education. The commissioner shall forward to the parties a list of three arbitrators provided by the American Arbitration Association. The school committee and the collective bargaining representative within three days of receipt of the list from the commissioner of education shall have the right to strike one of the three arbitrators' names if they are unable to agree upon a single arbitrator from among the three. The arbitration shall be conducted in accordance with the rules of the American Arbitration Association to be consistent with the provisions of this section. In reaching a decision, the arbitrator shall seek to advance the goals of encouraging innovation in teaching and of holding teachers accountable for improving student performance. The arbitrator shall consider the particular socioeconomic conditions of the student population of the school district. Both the parties and the arbitrator may adopt performance standards established by state or national organizations. The performance standards shall be incorporated into the applicable collective bargaining agreement; provided, however, that any subsequent modification of the performance standards shall be made pursuant to the procedures set forth in this section.

## Appendix E. ESE Technical Assistance and Professional Development

Based on feedback from early adopters and recommendations from state leaders and national experts, ESE is planning to make available the resources below to support district implementation efforts. ESE will:

### January – February 2012

- Host RTTT district teams at six regional “*Getting Started*” workshops to help districts begin to plan for and implement the educator evaluation framework; recommended team participants: *school committee chair, superintendent, union president, human resources administrator, principal*
- Publish list of ESE-approved consultants/organizations who are available to offer technical assistance and training

### February 2012

Release the first seven free training modules with facilitator guides to RTTT Districts and identify “train-the-trainer” opportunities and consultants/organizations that ESE will support to offer regional training for district and school teams:

1. Getting Started at the School Level
2. Unpacking the Rubric
3. Self-Assessment and Goal-Setting
4. Educator Plan Development and Implementation
5. Gathering Evidence through Artifacts
6. Gathering Evidence through Observation
7. Rating Educator Performance

### Spring 2012

- Support the development of regional and role-specific “Networks of Practice” to enhance sharing and effective implementation
- Release review process questions and criteria
- Release review process online tool
- Release guidance on training and support for evaluators in the new educator evaluation framework
- Identify ESE-subsidized resources for training and support of evaluators

## July 2012

- Release two additional free training modules with facilitator guides to RTTT districts and approved consultants/organizations:
- *District-determined Measures of Student Learning*
- *Rating Impact on Student Learning*
- Approve consultants to begin providing online and hybrid face-to-face/online professional development to support effective implementation

## Spring 2013

- Release guidance and free training module with facilitator guide on using staff feedback in Administrator Evaluation
- Release direction and free training module with facilitator guide on Using student feedback in Educator Evaluation.

## Appendix F. Reporting Requirements and Educator Confidentiality

The regulations require districts to provide ESE with individual educator evaluation data for each educator. The regulations are explicit that educator evaluation data for each educator will not be made public. The single exception is the superintendent whose evaluation must be conducted in public and whose summative evaluation is a public document, consistent with state open meeting and public records laws. For all other educators, the regulations guarantee that any information concerning an educator's formative assessment, formative evaluation or summative evaluation is considered personnel information and is not subject to disclosure under the public records law. However, aggregate data that do not identify individual educators may be made public. ESE will also produce detailed collection guidance for the ongoing school year implementations.

The Massachusetts Education Personnel Identifier (MEPID) is used to uniquely identify an educator. ESE will require the following seven (7) data elements for each educator MEPID:

Required Data	Data Element
<b>District Level Educator's Professional Teacher Status</b> Educator's professional teacher status as of the end of the school year for which evaluation ratings are being reported.	Yes, No
<b>Overall Annual Summative Evaluation or Formative Evaluation Rating</b> Educator's current school year overall summative evaluation rating or formative evaluation rating.	Unsatisfactory, Needs Improvement, Proficient, Exemplary
<b>Standard (1) Evaluation Rating</b> Educator's current school year evaluation rating on Standard (1).	Unsatisfactory, Needs Improvement, Proficient, Exemplary
<b>Standard (2) Evaluation Rating</b> Educator's current school year evaluation rating on Standard (2).	Unsatisfactory, Needs Improvement, Proficient, Exemplary
<b>Standard (3) Evaluation Rating</b> Educator's current school year evaluation rating on Standard (3).	Unsatisfactory, Needs Improvement, Proficient, Exemplary
<b>Standard (4) Evaluation Rating</b> Educator's current school year evaluation rating on Standard (4).	Unsatisfactory, Needs Improvement, Proficient, Exemplary
<b>Impact on Student Learning Growth Rating *</b> Educator's current school year rating on impact on student learning growth.	Low, Moderate, High

\* see below

Level 4 Schools: Districts with Level 4 Schools identified in spring 2010 will be required to report for their Level 4 School educators the first 6 elements tied to each educator's MEPID at the end of the 2011-2012 school year. ESE will release the data collection standards for the 2011-2012 collection for Level 4 schools in February 2012.

Teacher Incentive Fund (TIF) Schools in Boston and Springfield: Schools participating in the Teacher Incentive Fund (TIF) program have additional federal reporting requirements and will be required to report Impact on Student Learning data starting in 2011-2012. For 2011-12, the impact rating will be based on the current district defined measures and will migrate to the 603 CMR 35.00 District Determined Measures during the 2013-2014 school year.

Race to the Top Districts: Districts receiving Race to the Top funds need to be prepared to report the first 6 elements tied to an educators MEPID at the end of the 2012-2013 school year. ESE will release data collection guidance in conjunction with current data collection initiatives in a timely manner.

All other Districts: All districts will be required to report at minimum the first 6 elements tied to an educator's MEPID at the end of the 2013-2014 school year.

\*Reporting Impact on Student Learning Ratings of High, Moderate and Low: With the exception noted above for Teacher Incentive Fund (TIF) schools in Boston and Springfield, no district is expected to report an Impact on Student Learning Rating until after its District Determined Measures have been identified and reviewed by ESE (by September 2013). Since, the regulations require these ratings to be based on trends and patterns of data (at least two years); many educators will not have ratings until 2014-15.

All educators should receive an Impact on Student Learning rating by the 2014-15 school year if trends and patterns of data are available.