



The Massachusetts Model System for Educator Evaluation

Part V: Implementation Guide for Principal Evaluation

January 2012

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

January 10, 2012

A Letter from the Commissioner

Massachusetts Department of Elementary and Secondary Education

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Dear Educators and other interested Stakeholders,

I am pleased to present Part I 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. Please also visit the Educator Evaluation webpage at 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.¹ 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.² Every district in the Commonwealth will be phasing in evaluation processes and procedures that are consistent with the new regulations. Most will begin in 2012–13.

To do so will require changes in culture and practice in many schools and districts. The Massachusetts Task Force on the Evaluation of Teachers and Administrators that crafted recommendations for the regulations found that in many schools in the Commonwealth (and nationwide), the educator evaluation process is ineffective—for principals and teachers alike. 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 administrators and teachers polled described their own experience of evaluation as a process that contributed to their professional growth and development.

The new regulations are designed to change all this. Educators will take a leading role in shaping their professional growth and development.

- All educators will assess their own performance. A formal process for reflection and self-assessment offers a new opportunity for educators to chart their own course for professional growth and development.
- All educators will use a rubric that offers a detailed picture of practice at four levels of performance. Districtwide rubrics set the stage for both deep reflection and the rich dialogue about practice that our profession seeks.
- All educators will propose one or more challenging goals for improving their own practice, another opportunity for educators to take the lead in their own development.
- All educators will propose one or more challenging goals for improving student learning. As a result, educators will have an opportunity to consider their students' needs and a wide range of ways to assess student growth. They will be able to monitor progress carefully and engage in careful analysis of the impact of their hard work on student growth.
- All educators will be expected to consider team goals, a clear indication of the value the new process places on both collaboration and accountability.
- All educators will collect evidence and present data and conclusions about their performance; progress on goals; and impact on student learning, growth, and achievement.

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

² The regulations establish two purposes for evaluation: (1) promote student learning, growth, and achievement by providing administrators with feedback for improvement, enhanced opportunities for professional growth, and clear structures for accountability and (2) provide a record of facts and assessments for personnel. The evaluation process for administrators does not supersede the employment contract of the administrator. Section 35.05 of the regulations makes explicit: “Nothing in these regulations shall abridge the authority of a school or district to dismiss or non-renew an educator consistent with applicable law.”

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 with which they work—will need to be supported to do this new work effectively and efficiently. This Implementation Guide aims to provide support for superintendents and principals as they apply the regulations to the principal evaluation process.

Massachusetts Model System for Educator Evaluation

To assist districts, the Department of Elementary and Secondary Education (ESE) released on January 10, 2012, the first components of the comprehensive Model System for Educator Evaluation. Districts can adopt it, adapt it, or revise their existing systems. Districts that adopt the model will confirm with ESE that they have done so. Districts that decide to adapt the model or revise their existing processes and procedures will submit their evaluation systems to ESE for review to determine whether they are consistent with the regulations. ESE will report its review findings to the district and the Board of Elementary and Secondary Education. (For more information on the review process for districts that decide to adapt the model or revise their own evaluation processes, see Part 1 of the Model System, District-Level Implementation Guide.)

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

- **Phase I.** Summative ratings based on attainment of goals and performance against the four Standards defined in the educator evaluation regulations. (On January 10, 2012, ESE released models and guidance for superintendent, principal, and teacher evaluation.)
- **Phase II.** Rating of educator impact on student learning gains based on trends and patterns for multiple measures of student learning gains. (ESE will provide guidance by June 2012.)
- **Phase III.** Use feedback from students and (for administrators) staff as evidence in the evaluation process. (ESE will provide guidance by June 2013.)

ESE will issue supplements to the Model Evaluation System for Phase II and Phase III based on ESE direction and guidance. In addition, ESE expects to supplement the model over the next year. One or more additional role-specific rubrics and models for peer assistance and review are anticipated.

Development of the Model System for Principal Evaluation

The Model Evaluation System for principal evaluation has been developed in consultation with a representative group of principals designated by the two state associations, the Massachusetts Elementary Principals' Association (MESPA) and the Massachusetts Secondary Schools Administrators' Association (MSSAA). The group of principals met in person and "virtually" throughout fall 2011 to review the rubrics and drafts of this Implementation Guide. A representative group of superintendents designated by the Massachusetts Association of School Superintendents (MASS) also reviewed a draft of the rubrics and this guide.³ ESE received constructive feedback from staff from the Massachusetts Teachers Association (MTA) and teachers affiliated with Teach Plus. The thoughtful counsel ESE received has helped make this Implementation Guide more comprehensive and useful.

The guide describes the model and includes suggested forms for recording goals, evidence, and ratings. In addition, it offers resources that principals and superintendents may find helpful, including effective guidance for goal setting and a school visit protocol.

The regulations require that ESE update its Model System as needed in future years. ESE looks forward to receiving feedback on this Implementation Guide at educatorevaluation@doe.mass.edu.

Resources to Support Effective Implementation

MESPA, MSSAA, and MASS are committed to supporting principals to implement the Model System. All three organizations see strengthening principal evaluation as an opportunity for modeling best practice in evaluating school leaders. By doing so, principals and superintendents can lead the way in modeling the culture and practices of collaboration and accountability that are at the heart of the new regulations.

ESE will continue to collaborate with MESPA, MSSAA, MASS, and districts across the Commonwealth to provide technical assistance, resources, and tools to support the effective implementation of the practices detailed in this guide. Effective implementation will help district and school leaders strengthen their focus on improving student learning.

ESE plans to continue its work with the MTA and AFT-MA to secure information from educators in schools about their experiences with the new regulations, including promising practices. This information will help ESE play an informed role in supporting effective district implementation statewide.

³ For MESPA: Sue Driscoll (Falmouth), Denise Fronius (Nauset), Thomas LaValley (Salem), and Marie Pratt (Longmeadow)

For MSSAA: Dana Brown (Malden), Tony Cicciariello (Somerville), Sharon Hansen (Avon), Greg Myers (Quaboag Regional), Daniel Richards (Melrose), and David Thomson (Bridgewater-Raynham)

For MASS: Melinda Boone (Worcester), Mary Cjakowski (Barnstable), Midge Frieswyck (Avon), Bill Lupini (Brookline), Chris McGrath (MASS), and Isabelina Rodriguez (Granby)

For ESE: Claudia Bach, Preeya Pandya, and Karla Baehr

The Model Evaluation Process for Principals

Standards, Indicators, Rubric and Ratings

Standards and Indicators. Educators will be assessed on four Standards established by state regulation. The four Standards are: Instructional Leadership, Management and Operations, Family and Community Engagement, and Professional Culture. One of the four Standards, Instructional Leadership, is accorded primary status: no administrator can be considered to be Proficient overall unless his or her rating on Instructional Leadership is Proficient. The regulations identify twenty Indicators that describe the Standards in more detail.

Rubric. As required by the regulations, the performance Standards and Indicators have been incorporated into a rubric that specifies the elements of each Indicator and then describes the elements at four levels of performance.⁴

A rubric is a critical component of the regulations that is required for every educator. Rubrics are tools for making explicit and specific the behaviors and actions present at each level of performance. They can foster constructive feedback and dialogue about those expectations and how to improve practice. The rubrics prompt careful analysis and discussion. For example, the elements in a small school may look different than in larger schools where other administrators may be directly responsible for some functions that in smaller schools are done directly by the principal. These and other differences in local context can be explored in the discussion of elements in the rubric. Similarly, a principal can use this rubric as the starting point for developing expectations for other administrators because many of the Indicators and elements appropriate for principals are also appropriate expectations for other administrators. Of course, collective bargaining is required to establish the evaluation process and procedures for all administrators other than those employed under individual employment contracts. More guidance on rubrics can be found in the Model System Part III: Guide to Rubrics and Rubrics for Teacher, Administrator, and Superintendent.

Ratings. The new system calls for four ratings: *Unsatisfactory*, *Needs Improvement*, *Proficient*, and *Exemplary*. Many educators are accustomed to getting the highest overall rating available in their current two- or three-step rating system. In the new evaluation system, Proficient performance is the rigorous expected level of performance for most experienced educators. It is a demanding, but attainable level of performance.

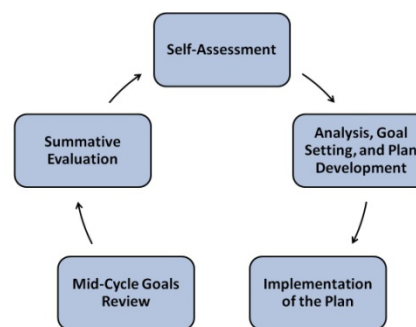
⁴ See Appendix A

Annual Five-Step Cycle of Continuous Improvement

This Implementation Guide is organized around the Five-Step Cycle of Continuous Improvement required for all educators, a centerpiece of the new regulations designed to have educators play a more active, engaged role in their professional growth and development.⁵

Under the regulations, evaluation is an annual process beginning with self-assessment and concluding with summative evaluation and rating of impact on student learning. It is also a continuous improvement process in which evidence from the summative evaluation and rating of impact on learning become important sources of information for the principal's self-assessment and the school's subsequent goal setting.

For principal evaluation, the annual cycle includes the following:



- **Cycle Step 1: Self-Assessment.** In consultation with the school's leadership team, the principal conducts a self-assessment using the performance Standards and rubric, data about student learning, past progress on school goals (when available), the prior year's evaluation and rating (when available), and other relevant evidence. Based on that assessment, the principal identifies three types of goals to propose to the superintendent: professional practice, student learning, and school improvement.
- **Cycle Step 2: Analysis, Goal Setting, and Plan Development.** The principal meets individually with the superintendent to discuss the results of the self-assessment, including the proposed professional practice, student learning, and school improvement goals. The principal and superintendent develop the Educator Plan. The plan includes the goals, key strategies, benchmarks of progress, and timelines. It also outlines the evidence that will be used to complete the evaluation process and determine the principal's performance ratings on each standard and overall, as well as the rating of educator impact on student learning.
- **Cycle Step 3: Plan Implementation and Collection of Evidence.** The principal implements the plan. Both the principal and superintendent collect the evidence described in the plan and other relevant data, including feedback from students and staff. Unannounced observation of practice is an essential category of evidence to be used. Superintendents are expected to visit the school at least three times for the purpose of collecting and analyzing evidence.
- **Cycle Step 4: Mid-Cycle Goals Review.** At mid-cycle, the principal synthesizes information obtained to date in order to prepare the Mid-Cycle Goals Progress Report, an assessment of progress on the goals detailed in the Educator Plan. The principal and superintendent review the evidence. The superintendent completes a Mid-Cycle Formative Assessment Report and shares it with the principal.

⁵ The regulations permit a two-year evaluation cycle for experienced educators whose performance is rated *Proficient* or *exemplary* and whose impact on student learning is rated as *moderate* or *high* (CMR 35.06(3)(d)(4) and (5)(b)). At the end of the first year, the educator receives a formative evaluation. Given the centrality of the principal's role, the Model System for Principals calls for a one-year evaluation cycle for all administrators, with a formative assessment at mid-cycle.

- **Cycle Step 5: End-of-Cycle Summative Evaluation.** The principal prepares the End-of-Cycle Progress Report, an assessment of progress on the goals, performance on each of the Standards, and impact on student learning. The principal and superintendent review the report and other relevant evidence, and the superintendent completes the End-of-Cycle Summative Evaluation Report and shares it with the principal.

Goals for Student Learning, Professional Practice, and School Improvement

Throughout the cycle, the evaluation process focuses on three types of goals:

- At least one student learning goal
- At least one professional practice goal
- Two to four other school improvement goals

As with all educators, goal setting focuses both on improving student achievement and developing professional practice. School improvement goals in principal evaluation are designed to foster coherence and alignment between the high-priority school improvement work for which the principal can be expected to be held accountable and the student learning and professional practice goals required in the new evaluation process.

Rating the Principal's Impact on Student Learning

Under the regulations, all educators will eventually earn a rating of *low*, *moderate*, or *high* for their impact on student learning growth based on trends and patterns in at least two districtwide measures of student learning gains, including MCAS Student Growth Percentile (SGP) and Massachusetts English Proficiency Assessment (MEPA) data. Understanding how the MCAS SGP differs from the Composite Proficiency Index (CPI) is essential to ensuring fair use of student learning measures in educator evaluation. More information about the SGP can be found at www.doe.mass.edu/mcas/growth.

The regulations require ESE to develop and disseminate by June 2012 guidance for districts about how to select or develop appropriate districtwide measures, and how to analyze these and the required state assessment data to determine an appropriate rating. When that guidance is available, ESE will publish a supplement to the Model System.

Guidance for Conducting the Evaluation Process

The following guidelines are designed to help superintendents and principals implement the Model System for Principal Evaluation.⁶

Planning and Orientation

1. The superintendent decides when to start the cycle.

Superintendents can determine when the cycle starts. For example, many will want their principals to start the self-assessment process in the summer so that Step 2 in the cycle can begin at a summer or early fall meeting. Others may want to set goals in the spring, so they may want Step 1 of the cycle to begin in the late winter.

This is a typical cycle:

Late Spring/Summer	Cycle Step 1: Principal's Self-Assessment
Summer	Cycle Step 2: Analysis, Goal Setting, and Educator Plan Development
Throughout School Year	Cycle Step 3: Plan Implementation and Collection of Evidence
Mid-year	Cycle Step 4: Mid-Cycle Goals Review
Late Spring/Summer	Cycle Step 5: End-of-Cycle Summative Evaluation

2. The superintendent and principals meet to establish expectations and consider team goals.

In the first year and each spring or summer thereafter, the superintendent meets with all principals together. The principals receive a complete set of materials outlining the evaluation process. The superintendent and principals review the evaluation process and discuss district expectations related to such aspects of the process as goals, school visits, and collection of evidence. Because, the regulations require educators to consider team goals, this meeting can be a good time to consider team goals across levels or the district as a whole. For example, it may make sense for all elementary and middle school principals to identify a common goal related to transition to middle school or implementation of a tiered system of support for students. It could be that all principals might focus a professional practice goal on improving the frequency of classroom visits and feedback for educators.

⁶ For a summary of superintendent and principal responsibilities in the principal evaluation process, see Appendix K for superintendents and Appendix L for principals

3. The superintendent and principals review the rubric.⁷

The superintendent and principals together review the rubric that describes the Standards and Indicators for effective administrative leadership practice at four levels of performance. Typically, the focus of the rubric review is on the elements within each indicator. Its purpose is to develop and deepen shared understanding of the meaning in practice of key elements. The rubric review also is an opportunity to identify Indicators and/or elements that will be the focus for their attention that year.

Step 1 of the Cycle: Principal's Self-Assessment

1. The principal completes the self-assessment.

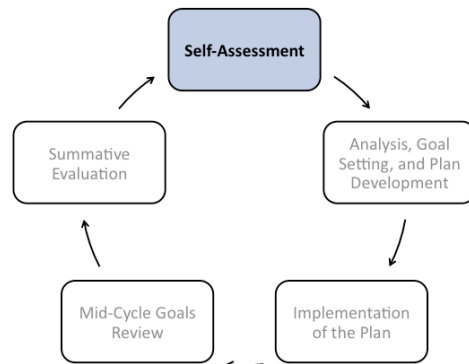
Using the rubric that describes four levels of performance, the principal assesses his/her practice in relation to the four Standards and Indicators. The principal examines a wide range of evidence and is encouraged to consult with the school's leadership team.

2. The principal proposes goals.⁸

The principal uses the self-assessment to propose goals:

- At least one related to improving student learning
- At least one related to improving the principal's own professional practice
- Two to four goals related directly to school improvement priorities for the year and aligned with district priorities

For each goal, the principal identifies key actions, timelines, and benchmarks that will be used to assess progress in achieving the goal.



⁷ See Appendix A for the complete rubric

⁸ See Appendix C for guidance on developing "SMART" Goals, Appendix D for sample school-level goals, and Appendix E for suggested goals for principals new to a school

Step 2 of the Cycle: Analysis, Goal Setting, and Plan Development

1. The principal presents the proposed goals and plan.

The principal presents to the superintendent proposed goals and the evidence from each of three categories that the principal proposes to be used to evaluate his or her work.⁹

2. The principal and superintendent review the rubric.

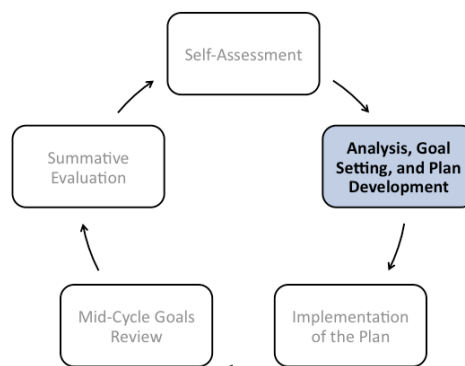
The principal and superintendent review the rubric to address questions, such as:

- Are there any assumptions about specific elements that need to be shared because of the local school context?
- Are there any elements for which Proficient performance will depend on factors beyond the control of the principals? If so, how will those dependencies be accounted for in the evaluation process?
- Are there any Standards, Indicators, or elements that will be weighted more heavily than others by the superintendent in rating the principal's performance at the end of the year?
- Are there any Indicators or elements that will be a focus for part or all of the year?

3. The superintendent decides on the plan.

Following discussion of the principal's proposed goals and the rubrics, the superintendent determines the following:

- The goals to be included in the plan
- The evidence that will be used to determine the principal's summative rating on each standard and overall
- The measures that will be used to rate the principal's overall impact on student learning gains as *low*, *moderate*, or *high*.¹⁰



⁹ See Appendix J for details of the evidence that the regulations require be used in educator evaluation. Student and staff feedback is not required to be used as part of the educator evaluation process until 2013–14; ESE will provide guidance and direction by June 2013.

¹⁰ By June 2012, ESE will issue guidance for districts in determining the districtwide measures that are to be used in rating each educator's impact on student learning as well as guidance on determining whether the impact is *low*, *moderate*, or *high*.

Step 3 of the Cycle: Plan Implementation and Collection of Evidence

1. The principal implements the plan.

The principal, with the support of the superintendent, implements the plan.

2. The principal and superintendent collect evidence.

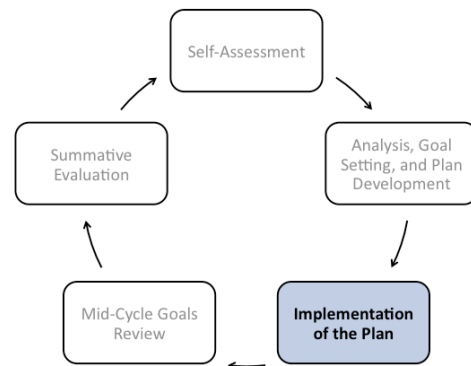
Principal. The principal collects evidence described in the plan and other relevant data, including evidence related to professional responsibilities and growth, contributions to the school community and professional culture, and evidence of active outreach to and ongoing engagement with families.

Superintendent. The superintendent also collects and reviews evidence described in the plan and other relevant evidence from the three categories described previously.

Examples of evidence that may be most useful for principals and/or superintendents to collect are included in the end-of-cycle report forms in Appendix H and I. For example, evidence may include the following:

- Staff meeting agendas, materials, and minutes
- Observations of the principal “in action” in the cafeteria, at meetings and at school events
- Budget presentations and reports
- Samples of materials from school leadership team meetings
- School improvement plans
- Staffing and enrollment analyses
- NEASC and other external reviews
- Analyses of samples of educator practice and student learning goals
- A range of reports about student and staff performance

Unannounced observation of practice is a requirement of the regulations. Periodic purposeful school visits offer critical opportunities for superintendents to observe, collect evidence, and analyze the work of school leaders. At a minimum, fall, winter, and spring visits to the school leader’s work site will provide invaluable insight into the school leader’s performance. Appendix B describes the recommended school visit protocol.



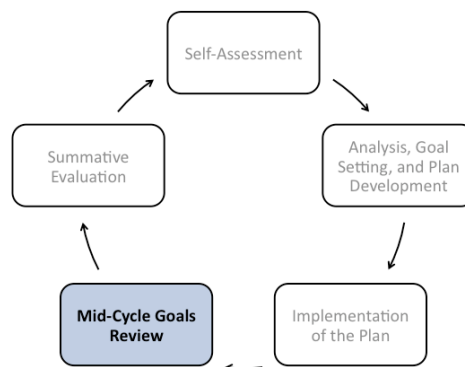
Step 4 of the Cycle: Mid-Cycle Goals Review

1. The principal prepares mid-cycle goals progress report.

At mid-cycle, the principal analyzes the data and evidence collected to date and prepares the Mid-cycle Goals Progress Report,¹¹ an assessment of progress on the goals detailed in the Educator Plan.

2. The principal and superintendent review progress and the superintendent prepares the formative assessment report.

The principal and superintendent review and discuss the report and evidence. Their purpose is to develop a shared understanding of the progress being made on each goal and standard and to achieve agreement on what, if any, mid-course adjustments may be needed. The superintendent completes the Mid-Cycle Formative Assessment Report¹² and shares it with the principal.



Step 5 of the Cycle: End-of-Cycle Summative Evaluation

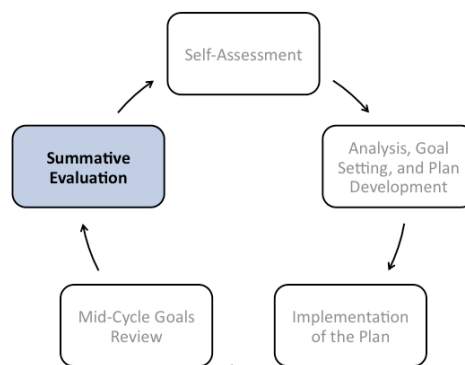
1. The principal submits report.

The principal prepares and submits to the superintendent an End-of-Cycle Progress Report,¹³ an assessment of progress on the goals, performance on each of the Standards, and impact on student learning with evidence supporting the assessment.

2. The principal and superintendent review report.

The principal and the superintendent review the evidence and the report. The superintendent also reviews any other relevant evidence for the purpose of arriving at:

- An assessment of attainment of goals
- A rating of the principal's performance on each of the Standards
- An overall rating of the principal's performance based on the above
- A rating of the principal's impact on student learning gains¹⁴



¹¹ See Appendix F

¹² See Appendix G

¹³ See Appendix H

¹⁴ As noted in the overview, a rating of *low*, *moderate*, or *high* will be based on trends and patterns in student learning gains based on state and districtwide measures of student learning. ESE will provide guidance by June 2012 about how to do this part of the evaluation rating.

Assessing Attainment of Goals. The superintendent reviews progress on goals in the plan and rates each as:

- Did not meet goal
- Some progress
- Significant Progress
- Met goal
- Exceeded goal

Rating Performance on Each Standard. The superintendent renders a judgment about the principal's performance against each Standard. To reach a judgment on each Standard, the superintendent reviews each Indicator, taking into account the progress on the goals most directly related to each Indicator. The rating is one of four: *Unsatisfactory*, *Needs Improvement*, *Proficient*, or *Exemplary*.

As outlined previously, it is understood that *Proficient* represents fully satisfactory performance. It is the rigorous standard expected for most experienced educators. *Exemplary* ratings are reserved for performance that significantly exceeds *Proficient* and could serve as a model for leaders districtwide or even statewide. Few educators—principals included—are expected to demonstrate Exemplary performance on more than a small number of Indicators or Standards. Similarly, a rating of *Needs Improvement* means that performance is below the requirements of a Standard, but is not considered *Unsatisfactory* at the time. Improvement is necessary and expected. For new principals, performance rated *Needs Improvement* is on track to achieve proficiency within three years and can be considered “developing”.

Overall Summative Rating. The superintendent renders a judgment of the principal's overall performance based on each of the four Standards and attainment of the goals detailed in the principal's Educator Plan. The rating is one of four: *Unsatisfactory*, *Needs Improvement*, *Proficient*, and *Exemplary*. Again, the high standard for a rating of *Proficient* and the even higher Standard for a rating of *Exemplary* prevail. *Note:* In order to receive an overall rating of *Proficient* or above, an principal must be rated *Proficient* or above in Standard 1: Instructional Leadership.

Rating of Impact on Student Learning. The superintendent renders a judgment of the principal's impact on student learning gains based on the evidence presented by the principal and other relevant data. Guidance on the evidence to be used and how to distinguish among *low*, *moderate*, and *high* impact will be forthcoming from ESE and incorporated in a supplement to the Model System.

3. The superintendent completes the End-of-Cycle Summative Evaluation Report.¹⁵

The superintendent completes the End-of-Cycle Summative Evaluation Report, shares it with the principal, and adds it to the principal's personnel file with any written comments attached that the principal requests to be added within two weeks of receipt of the report.

¹⁵ See Appendix I

Cycle of Continuous Improvement

The five-step evaluation cycle is a continuous improvement process. The end of the annual cycle is the start of the next annual cycle. The End-of-Cycle Progress Report that the principal has prepared for Step 5 is the core of the self-assessment required for Step 1. Together with the superintendent's End-of-Cycle Summative Evaluation Report and the discussion that led to its preparation, the principal has critical feedback needed to begin to consider the goals he or she will propose to the superintendent for Step 2 of the evaluation cycle. Of course, the principal will want to consider additional feedback as well. For example, reviewing the evidence about school goals with the school leadership team, colleagues, the faculty and parents groups will yield valuable information. So, too, will thoughtful reflection about his/her own performance against the key Indicators in the rubric. That said, a carefully prepared principal's report and thoughtfully developed superintendent's report are keys to ensuring that the promise of continuous improvement becomes a reality.



Appendices: Resources to Support Effective Implementation



Appendix A. Standards and Indicators of Effective Administrator Leadership Practice Rubric

Part III: Guide to Rubrics and Model Rubrics for Superintendent, Administrator, and Teacher <http://www.doe.mass.edu/eval/model/>

Appendix B. Protocol for Superintendent's School Visits

Periodic purposeful school visits offer critical opportunities for superintendents to understand the work of the school leader as it relates to instructional leadership, school culture, and other leadership practices. Superintendents use these visits as opportunities to observe, collect evidence, and analyze the work of school leaders. To do so, they visit classrooms together, but the visits are not for the superintendent to evaluate teachers; instead the superintendent is evaluating the principal's skills and knowledge as an instructional leader.

Visits to schools should be ongoing and, at times, unannounced as required by the regulations. At a minimum, though, fall, winter, and spring visits to the school leader's work site can provide invaluable insight into the school leader's performance over the course of the year. The value of the insights depends on the superintendent and principal engaging together in three specific activities each time:¹

- Discuss progress and challenges.
- Examine artifacts.
- Observe teaching practice and share analyses.

1. The superintendent and principal discuss progress and challenges in areas such as the following:

- a. Goals
 - i. Professional Practice
 - ii. Student Learning
 - iii. School Improvement
- b. Outreach to parents
- c. School climate and culture
- d. Professional development
- e. Challenging supervisory cases

2. The superintendent and principal examine artifacts together such as the following:

- a. Classroom observation schedule and a sample of the feedback provided
- b. Meeting plans
- c. Newsletters
- d. Interim assessment results

¹ Superintendents often find that they learn the most when they share their general school visit protocol ahead of time with principals so that principals know the purposes of the superintendent's visits.

3. The superintendent and principal observe classroom and other practice and share their analyses.

- a. 10–15 minute observations in two to four classrooms²
- b. Other activities to observe might include:
 - i. Leadership team meetings
 - ii. Faculty meetings
 - iii. Grade-level, team and department meetings
 - iv. Lunch and recess
 - v. Transitions (entry, dismissal, between class)

² Some superintendents visit classrooms with the principal and discuss what they see “along the way.” Other superintendents will discuss with the principal what classes they would like to visit and then visit on their own, meeting afterward with the principal to share perceptions and ask questions. Some do both in the same visit.

Appendix C. What Makes a Goal “SMART”?¹

Good goals help educators, schools, and districts improve. That is why the educator evaluation regulations require educators to develop goals that are specific, actionable, and measurable. They require, too, that goals be accompanied by action plans with benchmarks to assess progress.

This “SMART” Goal framework is a useful tool that individuals and teams can use to craft effective goals and action plans:

S	=	S pecific and S trategic
M	=	M easurable
A	=	A ction Oriented
R	=	R igorous, R ealistic, and R esults-Focused (the 3 Rs)
T	=	T imed and T racked

Goals with an action plan and benchmarks that have these characteristics are “SMART.”

A practical example some of us have experienced in our personal lives can make clear how this SMART goal framework can help turn hopes into actions that have results.

First, an example of *not* being “SMART” with goals: *I will lose weight and get in condition.*

Getting SMARTer: *Between March 15 and Memorial Day, I will lose 10 pounds and be able to run 1 mile nonstop.*

The **hope** is now a **goal**, that meets most of the SMART Framework criteria:

It’s S pecific and S trategic	= 10 pounds, 1 mile
It’s M easurable	= pounds, miles
It’s A ction-oriented	= lose, run
It’s got the 3 Rs	= weight loss and running distance
It’s T imed	= 10 weeks

SMART enough: To make the goal really “SMART,” though, we need to add an action plan and benchmarks. They make sure the goal meets that final criteria, “Tracked.” They also strengthen the other criteria, especially when the benchmarks include “process” benchmarks for tracking progress on the key actions and “outcome” benchmarks that track early evidence of change and/or progress toward the ultimate goal.

Key Actions

- Reduce my daily calorie intake to fewer than 1,200 calories for each of 10 weeks.
- Walk 15 minutes per day; increase my time by 5 minutes per week for the next 4 weeks.

¹ The SMART 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. This resource draws heavily from the work of Ed Costa, Superintendent of Schools in Lenox; John D’Auria, Teachers 21; and Mike Gilbert, Northeast Field Director for MASC.

- Starting in week 5, run and walk in intervals for 30 minutes, increasing the proportion of time spent running instead of walking until I can run a mile, non-stop, by the end of week 10.

Benchmarks:

- For Process, maintaining a daily record of calorie intake and exercise
- For Outcome, biweekly weight loss and running distance targets (e.g., After 2 wks: 2 lbs/0 miles; 4 wks: 4 lbs/0 miles; 6 wks: 6lbs/.2 mi; 8 wks: 8 lbs/.4 miles)

The remainder of this appendix offers more details on the characteristics of SMART goals with action plans and benchmarks as they apply in schools and districts.

S = Specific and Strategic

Goals need to be straightforward and clearly written, with sufficient specificity to determine whether or not they have been achieved. A goal is strategic when it serves an important purpose of the school or district as a whole and addresses something that is likely to have a big impact on our overall vision.

M = Measurable

If we can't measure it, we can't manage it. What measures of quantity, quality, and/or impact will we use to determine that we've achieved the goal? And how will we measure progress along the way? Progress toward achieving the goal is typically measured through "benchmarks." Some benchmarks focus on the process: are we doing what we said we were going to do? Other benchmarks focus on the outcome: are we seeing early signs of progress toward the results?

A = Action Oriented

Goals have active, not passive verbs. And the action steps attached to them tell us "who" is doing "what." Without clarity about what we're actually going to do to achieve the goal, a goal is only a hope with little chance of being achieved. Making clear the key actions required to achieve a goal helps everyone see how their part of the work is connected—to other parts of the work and to a larger purpose. Knowing that helps people stay focused and energized, rather than fragmented and uncertain.

R = Rigorous, Realistic, and Results-Focused (the 3 Rs)

A goal is not an activity: a goal makes clear what will be different as a result of achieving the goal. A goal needs to describe a realistic, yet ambitious result. It needs to stretch the educator, team, school, or district toward improvement but not be out of reach. The focus and effort required to achieve a rigorous but realistic goal should be challenging but not exhausting. Goals set too high will discourage us, whereas goals set too low will leave us feeling "empty" when it is accomplished and won't serve our students well.

T = Timed

A goal needs to have a deadline. Deadlines help all of us take action. For a goal to be accomplished, definite times need to be established when key actions will be completed and benchmarks achieved. Tracking the progress we're making on our action steps (process benchmarks) is essential: if we fall behind on doing something we said we were going to do, we'll need to accelerate the pace on something else. But tracking progress on process outcomes isn't enough. Our outcome benchmarks help us know whether we're on track to achieve our goal and/or whether we've reached our goal. Benchmarks give us a way to see our progress and celebrate it. They also give us information we need to make mid-course corrections.

Appendixes D and E offer examples of goals that have been strengthened by use of the SMART goals framework.

Appendix D. Sample School-Level SMART Goals

Note: These goals are not yet “SMART” because they do not yet have key actions and benchmarks attached to them that will make clear how they will be accomplished and measured. For three completed examples of SMART Goals, see Appendix E.

School Improvement Goals

Goal 1: Professional Learning Communities. By June 2014, at least half of our teachers will be working in a professional learning community that is focused on improving student learning and is supporting them to improve their practice.

Goal 2: Fair Teacher Evaluation. By June 2013, all members of the leadership team, including teacher leaders, will be able to describe and assess teaching practice they observe consistently, using the district’s rubric of effective teaching practice.

Goal 3: Curriculum Frameworks Alignment. Starting in September 2013, every student will be taught curriculum that is fully aligned with the revised MA Curriculum Frameworks for Mathematics and English Language Arts.

Goal 4: College & Career Readiness. By June 2013, the percentage of students who graduate having completed the MassCORE graduation requirements will increase by 5 percent.

Goal 5: Goal Setting. By December 1, 2012, all principals and department heads will be pursuing a challenging yet realistic team goal to improve professional practice.

Student Learning

Goal 1: Achievement Gap (Mathematics). By September 2013, our achievement gap in mathematics, as measured by the percentage of students taking and passing algebra in grade 8 will be reduced by ___ percent.

Goal 2: College Readiness. By June 2013, the percentage of students taking Advanced Placement tests will grow by at least ___ percent, and the percentage earning scores of 3 or higher on Advanced Placement tests will increase by ___ percent.

Goal 3: Student Growth (ELA). The median MCAS Student Growth Percentile (SGP) score for ELA will increase by ___ percent in all grade levels.

Goal 4: English Language Proficiency. By June 2013, 2/3 of our English language learners will make progress toward English language proficiency by advancing at least one level on the Massachusetts English Proficiency Assessment (MEPA).

Educator's Professional Practice

Goal 1: Meeting Leadership. I will develop more effective ways to address basic administrative tasks so that leadership team meetings can focus more on instructional improvement—75 percent of my leadership team meetings will have an academic focus lasting at least 30 minutes that engages members of the team in a discussion and/or activity that results in improved understanding of high-quality supervision and evaluation.

Goal 2: Classroom Observation. I will manage my time more effectively in order to increase the frequency and impact of classroom observations by learning how to do 10-minute observations and conducting eight visits with feedback per week, on average.

Appendix E. Ratings and Goals for Principals New to a School

The evaluation process for principals who are new to the school or who have been promoted from within need not be substantially different from the process used for principals who have served more than one year in the district or role. There are two modifications to the process worthy of consideration.

The first difference lies in the rating system as it applies to principals new to the role of principal. As described previously (page 3), ratings of *Exemplary* performance will not be commonplace. They are reserved for performance on Standards or Indicators that exceeds *Proficient* and is worthy of serving as a model for others. *Proficient* performance represents performance that is fully satisfactory. It, too, is meant to represent a high standard. Few new educators—be they principals or teachers—are expected to be *Proficient* on every indicator or even every standard in their first years of practice. For that reason, the *Needs Improvement* level of performance can have a particular meaning for educators new to the role of teacher, principal, or superintendent. In these cases, *Needs Improvement* can have the meaning of *Developing*. It means that the educator's practice on a Standard or Indicator is not yet *Proficient*, but the educator appears to be on track to achieve proficiency within three years.

The second modification applies to both principals new to the role and those who are new to a school. It has to do with the substance of the goals established for the principal in the first year.

New principals will need time and support to develop high-functioning leadership teams and serve as effective instructional leaders in their new assignment. They need support to spend a considerable portion of the first year working with key stakeholders—including, of course, the superintendent—to examine school needs and develop a coherent, widely understood strategy and goals for addressing them. The goals established for the principal's first year need to take into account the time needed to accomplish them, and, at the same time, ensure forward momentum on important ongoing improvement efforts at the school.

To that end, the following three goals can serve as starting points for the principal and superintendent as they collaborate to develop the goals to be included in the Educator Plan for the first year. The first two are school improvement goals. The third is a goal related to the principal's own professional practice. They are inter-related, and each reinforces the other.

Goal 1: Effective Entry and Direction Setting. By January, the school will have broad agreement from key stakeholders about (1) the school's most critical needs, (2) the strategies and goals that will address them most effectively, and (3) the measures that will be used to assess progress.

Key Actions¹

1. By mid-August, present to the superintendent a written entry plan, including (a) types of evidence to be analyzed; (b) stakeholders to be interviewed; (c) methods for assessing instructional practice, and (d) methods for assessing school "systems of support" including transportation, safety, food services, and student services.

¹ This timetable applies to principals who begin July 1; it will need to be adapted for those starting at other times.

2. By November, complete and present a report of entry findings that (a) synthesizes evidence collected, (b) identifies strengths of the school and the most critical areas for improvement that require further inquiry, and (c) identifies next steps for study.
3. By January, propose key strategies to improve student learning and other school systems of support.
4. By February, collaborate with the leadership team and others to identify three to five student learning and school improvement goals that will drive school improvement efforts going forward.
5. Secure stakeholder feedback about engagement, awareness, and commitment to the strategies and goals.

Benchmarks

1. Presentations completed on schedule. (process)
2. Goals adopted. (process)
3. Results of spring survey of key stakeholder groups demonstrating engagement (85 percent), awareness (75 percent), and agreement (60 percent). (outcomes)

Goal 2: Maintaining Momentum during the Transition. Keep the school moving forward during this year's transition in leadership by working with members of the school leadership team and others to ensure that meaningful progress is made on critical school goals.

Key Actions

1. By October 1, complete with all members of the leadership team and all educator teams Steps 1 and 2 of the new Five-Step Cycle of Continuous Improvement (i.e., Self-Assessment; Analysis, Goal Setting, and Educator Plan Development).
2. By the end of February, complete formative assessment conferences with each member of the leadership team and all educator teams to assess progress on goals.
3. By late spring, conduct at least five brief, unannounced visits to each classroom and provide feedback about classroom practice.²
4. By June 30, complete End-of-Cycle Summative Evaluation Reports for those educators on one-year Educator Plans and analyze goal attainment.

Benchmarks

1. Educator Plans completed. (process)
2. Log demonstrates at least five, 10-minute (or longer) observations per classroom. (process)
3. Analysis of End-of-Cycle Summative Evaluation Reports demonstrates *meets* or *exceeds* rating on 75 percent of goals. (outcome)

² In districts with more than 20 classrooms, responsibility for completing five, 10-minute unannounced classroom observations per classroom may need to be shared with one or more administrators or teacher leaders.

Goal 3: Teacher Evaluation. By June, this principal's ratings of classroom instruction will be comparable to those of other principals and district administrators, reflecting a shared understanding among administrators districtwide of what classroom instruction looks like when it is being done at the Proficient level.

Key Actions

1. Participate in all district leadership team meetings to “unpack” the rubric, view teaching videos, and share conclusions about the level of practice observed.
2. Study the district’s rubric for effective teaching practice with the school leadership team.
3. Observe at least five classrooms with a colleague and discuss perceptions of practice.

Benchmark

When rating selected video of classroom instruction at the end-of-year administrator workshop, the principal’s ratings of teaching practice are comparable to those of his or her peers. (outcome)

This third goal is a suggested professional practice goal for the principal. Pursuing this goal accomplishes four distinct purposes: (1) it will help a principal implement the new educator evaluation system; (2) the principal will build skills at classroom observation; (3) the principal will be supported to become an engaged member of the district leadership team and forge relationships with colleagues that will support his or her entry and continued professional growth; and (4) it will help ensure that the new evaluation system is implemented throughout the district in ways that teachers and other educators will see as fair and transparent.

Appendix F. Mid-Cycle Goals Progress Report

Mid-Cycle Goals Progress Report



Administrator:

Name

Signature

Date

Overall Analysis (See next page for assessment of progress on each goal.):

Mid-Cycle Goals Progress Report

Goal(s)	Description	Comments	On Target	Off Target	Not Started
Professional Practice					
1			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Student Learning					
2			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
School Improvement					
3			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other Goals (if any)					
6			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Appendix G. Mid-Cycle Formative Assessment Report

Mid-Cycle Formative Assessment Report

Attach administrator's Mid-Cycle Goals Progress Report on Goals.

Evaluator:	_____	_____	_____
Administrator:	_____	_____	_____
	Name	Signature	Date

Overall Assessment and Comments (See next page for assessment of progress on each goal.):

Mid-Cycle Formative Assessment Report

Check one box for each goal.

Goal(s)	Description	Superintendent's Comments	On Target	Off Target	Not Started
Professional Practice					
1			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Student Learning					
2			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
School Improvement					
3			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other Goals (if any)					
6			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Appendix H. End-of-Cycle Progress Report

End-of-Cycle Progress Report



Administrator: _____
Name
Signature
Date

Goal(s)	Description	Did Not Meet	Some Progress	Significant Progress	Met	Exceeded
Professional Practice						
1		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Student Learning						
2		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
School Improvement						
3		<input type="checkbox"/>	<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"/>	<input type="checkbox"/>
5		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Progress Report on Standard I: Instructional Leadership



Refer to the Rubric for details on the Indicators.

Standard I	The education leader promotes the learning and growth of all students and the success of all staff by cultivating a shared vision that makes powerful teaching and learning the central focus of schooling.
-------------------	---

Overall Analysis

Indicator	Comments
I-A. Curriculum	
I-B. Instruction	
I-C. Assessment	
I-D. Evaluation	
I-E. Data-Informed Decision Making	

Evidence:

- | | | |
|---|---|--|
| <input type="checkbox"/> Mid-cycle goals progress report
<input type="checkbox"/> Analysis of classroom walk-through data
<input type="checkbox"/> Analysis of school assessment data
<input type="checkbox"/> Sample of school improvement plans and progress reports | <input type="checkbox"/> Analysis of staff evaluation data
<input type="checkbox"/> Report on staff educator practice and student learning goals
<input type="checkbox"/> Analysis of student achievement data
<input type="checkbox"/> Student feedback
<input type="checkbox"/> Student work examples | <input type="checkbox"/> Staff feedback
<input type="checkbox"/> Relevant staff meeting agendas/materials
<input type="checkbox"/> Analysis of leadership team(s) agendas and/or feedback
<input type="checkbox"/> Other: _____ |
|---|---|--|

Progress Report on Standard II: Management and Operations



Refer to the Rubric for details on the indicators.

Standard II	The education leader promotes the learning and growth of all students and the success of all staff by ensuring a safe, efficient, and effective learning environment, using resources to implement appropriate curriculum, staffing, and scheduling.
--------------------	--

Overall analysis

Indicator	Comments and Analysis
II-A. Environment	
II-B. Human Resources Management and Development	
II-C. Scheduling and Management Information Systems	
II-D. Law, Ethics, and Policies	
II-E. Fiscal Systems	

Evidence:

- | | | |
|---|--|---|
| <input type="checkbox"/> Goals progress report
<input type="checkbox"/> Budget analyses and monitoring reports
<input type="checkbox"/> Budget presentations and related materials
<input type="checkbox"/> External reviews and audits
<input type="checkbox"/> Staff attendance, hiring, retention, and other HR data | <input type="checkbox"/> Analysis of student feedback
<input type="checkbox"/> Analysis of staff feedback
<input type="checkbox"/> Analysis of safety and crisis plan elements and/or incidence reports
<input type="checkbox"/> Relevant staff meeting agendas/minutes/materials | <input type="checkbox"/> Master school schedule
<input type="checkbox"/> Analysis and/or samples of leadership team(s) schedule/agendas/materials
<input type="checkbox"/> Other: _____ |
|---|--|---|

Progress Report on Standard III: Family and Community Engagement



Refer to the Rubric for details on the indicators.

Standard III	The education leader promotes the learning and growth of all students and the success of all staff through effective partnerships with families, community organizations, and other stakeholders that support the mission of the school and district.
---------------------	---

Overall analysis:

Indicator	Comments and Analysis
III-A. Engagement	
III-B. Sharing Responsibility	
III-C. Communication	
III-D. Family Concerns	

Evidence:

- | | |
|--|--|
| <ul style="list-style-type: none"> <input type="checkbox"/> Goals progress report <input type="checkbox"/> Participation rates and other data about school family engagement activities <input type="checkbox"/> Evidence of community support and/or engagement <input type="checkbox"/> Sample school newsletters and/or other communications <input type="checkbox"/> Analysis of school improvement goals/reports | <ul style="list-style-type: none"> <input type="checkbox"/> Community organization membership/participation/ contributions <input type="checkbox"/> Analysis of survey results from parent and/or community stakeholders <input type="checkbox"/> Relevant staff meeting presentations and minutes <input type="checkbox"/> Other: _____ |
|--|--|

Progress Report on Standard IV: Professional Culture



Refer to the Rubric for details on the indicators.

Standard IV	The education leader promotes the learning and growth of all students and the success of all staff by nurturing and sustaining a schoolwide culture of reflective practice, high expectations, and continuous learning for staff.
--------------------	---

Overall Analysis:

Indicator	Comments and Analysis
IV-A. Commitment to High Standards	
IV-B. Cultural Proficiency	
IV-C. Communication	
IV-D. Continuous Learning	
IV-E. Shared Vision	
IV-F. Managing Conflict	

- Evidence:**
- | | | |
|--|---|--|
| <input type="checkbox"/> Goals progress report
<input type="checkbox"/> School improvement plans and reports
<input type="checkbox"/> School vision, mission, and core values statements
<input type="checkbox"/> Staff attendance and other data
<input type="checkbox"/> Memos/newsletters to staff and other stakeholders | <input type="checkbox"/> Classroom visit protocol and sample follow-up reports
<input type="checkbox"/> Presentations/materials for community/parent meetings
<input type="checkbox"/> Staff survey feedback
<input type="checkbox"/> Samples of educator practice goals
<input type="checkbox"/> Staff and/or leadership meeting agendas/materials | <input type="checkbox"/> Evidence of shared decision making and distributed leadership
<input type="checkbox"/> Existence of working professional learning communities
<input type="checkbox"/> Other: _____ |
|--|---|--|

Assessment of Impact on Student Learning

Impact on Student Learning (*Check one.*)

Low <input type="checkbox"/>	Moderate <input type="checkbox"/>	High <input type="checkbox"/>
---------------------------------	--------------------------------------	----------------------------------

Evidence and analysis:

Appendix I. End-of-Cycle Summative Evaluation Report

End-of-Cycle Summative Evaluation Report: Principal



Principal: _____

Evaluator: _____

Name

Signature

Date

Step 1: Assess Performance on Goals (See page 3; circle one for each set of goal[s].)

Professional Practice Goal(s)	Did Not Meet	Some Progress	Significant Progress	Met	Exceeded
Student Learning Goal(s)	Did Not Meet	Some Progress	Significant Progress	Met	Exceeded
School Improvement Goal(s)	Did Not Meet	Some Progress	Significant Progress	Met	Exceeded

Step 2: Assess Performance on Standards (See pages 4–7; check one box for each standard.)

Indicators

Unsatisfactory = Performance on a standard or overall has not significantly improved following a rating of *needs improvement*, or performance is consistently below the requirements of a standard or overall and is considered inadequate, or both.

Needs Improvement = Performance on a standard or overall is below the requirements of a standard or overall but is not considered to be unsatisfactory at the time. Improvement is necessary and expected. *For new principals, performance is on track to achieve proficiency within three years.*

Proficient = *Proficient* practice is understood to be fully satisfactory. **This is the rigorous expected level of performance.**

Exemplary = A rating of *exemplary* indicates that practice significantly exceeds proficient and could serve as a model of practice districtwide..

	Unsatisfactory	Needs Improvement	Proficient	Exemplary
Standard I: Instructional Leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Standard II: Management and Operations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Standard III: Family and Community Engagement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Standard IV: Professional Culture	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

End-of-Cycle Summative Evaluation Report: Principal



Step 3: Rate Overall Summative Performance (Based on Step 1 and Step 2 ratings; circle one.)

Unsatisfactory

Needs Improvement

Proficient

Exemplary

Step 4: Rate Impact on Student Learning (Check only one.)

Low <input type="checkbox"/>	Moderate <input type="checkbox"/>	High <input type="checkbox"/>
---------------------------------	--------------------------------------	----------------------------------

Step 5: Add Evaluator Comments

Comments and analysis are recommended for any rating but are required for an overall summative rating of *needs improvement* or *unsatisfactory* or Impact on Student Learning rating of *low*.

Comments:

Step 6: Add Principal Comments

Comments can be added by an educator being evaluated.

Comments:

Principal's Performance Goals



Goals should be SMART and include at least one goal for each category: professional practice, student learning, and school improvement.

Check one box for each goal.

Goal(s)	Description	Did Not Meet	Some Progress	Significant Progress	Met	Exceeded
Professional Practice						
1		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Student Learning						
2		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
School Improvement						
3		<input type="checkbox"/>	<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"/>	<input type="checkbox"/>
5		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other Goals (if any)						
6		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Principal's Performance Rating for Standard I: Instructional Leadership



Refer to the Principal's Rubric for details on the Indicators.

Overall Rating for Standard I (Circle one.)	The education leader promotes the learning and growth of all students and the success of all staff by cultivating a shared vision that makes powerful teaching and learning the central focus of schooling.
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Unsatisfactory

Needs Improvement

Proficient

Exemplary

Comments and analysis (recommended for any overall rating; required for overall rating of *needs improvement* or *unsatisfactory*):

Indicator	Indicator Rating	Comments and Analysis
I-A. Curriculum		
I-B. Instruction		
I-C. Assessment		
I-D. Evaluation		
I-E. Data-Informed Decision Making		

Examples of evidence superintendent might provide:

- | | | |
|--|---|---|
| <input type="checkbox"/> Mid-cycle goals progress report | <input type="checkbox"/> Analysis of staff evaluation data | <input type="checkbox"/> Staff feedback |
| <input type="checkbox"/> Analysis of classroom walk-through data | <input type="checkbox"/> Report on staff educator practice and student learning goals | <input type="checkbox"/> Relevant staff meeting agendas/materials |
| <input type="checkbox"/> Analysis of school assessment data | <input type="checkbox"/> Analysis of student achievement data | <input type="checkbox"/> Analysis of leadership team(s) agendas and/or feedback |
| <input type="checkbox"/> Sample of school improvement plans and progress reports | <input type="checkbox"/> Student feedback | <input type="checkbox"/> Other: _____ |
| | <input type="checkbox"/> Student work examples | |

Principal's Performance Rating for Standard II: Management and Operations



Refer to the Administrative Leadership Practice Rubric for details on the indicators.

Overall Rating for Standard II <i>(Circle one.)</i>	The education leader promotes the learning and growth of all students and the success of all staff by ensuring a safe, efficient, and effective learning environment, using resources to implement appropriate curriculum, staffing, and scheduling.
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Unsatisfactory

Needs Improvement

Proficient

Exemplary

Comments and analysis (recommended for any overall rating; required for overall rating of *needs improvement* or *unsatisfactory*):

Indicator	Indicator Rating	Comments and Analysis
II-A. Environment		
II-B. Human Resources Management and Development		
II-C. Scheduling and Management Information Systems		
II-D. Law, Ethics, and Policies		
II-E. Fiscal Systems		

Examples of evidence superintendent might provide:

- | | | |
|---|---|---|
| <input type="checkbox"/> Goals progress report | <input type="checkbox"/> Analysis of student feedback | <input type="checkbox"/> Master school schedule |
| <input type="checkbox"/> Budget analyses and monitoring reports | <input type="checkbox"/> Analysis of staff feedback | <input type="checkbox"/> Analysis and/or samples of leadership team(s) schedule/agendas/materials |
| <input type="checkbox"/> Budget presentations and related materials | <input type="checkbox"/> Analysis of safety and crisis plan elements and/or incidence reports | <input type="checkbox"/> Other: _____ |
| <input type="checkbox"/> External reviews and audits | <input type="checkbox"/> Relevant staff meeting agendas/minutes/materials | |
| <input type="checkbox"/> Staff attendance, hiring, retention, and other HR data | | |

Principal's Performance Rating for Standard III: Family and Community Engagement



Refer to the Administrative Leadership Practice Rubric for details on the indicators.

Overall Rating for Standard III <i>(Circle one.)</i>	The education leader promotes the learning and growth of all students and the success of all staff through effective partnerships with families, community organizations, and other stakeholders that support the mission of the school and district.
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Unsatisfactory

Needs Improvement

Proficient

Exemplary

Comments and analysis (recommended for any overall rating; required for overall rating of *needs improvement* or *unsatisfactory*):

Indicator	Indicator Rating	Comments and Analysis
III-A. Engagement		
III-B. Sharing Responsibility		
III-C. Communication		
III-D. Family Concerns		

Examples of evidence superintendent might provide:

- | | | |
|---|--|---|
| <input type="checkbox"/> Goals progress report | <input type="checkbox"/> Sample school newsletters and/or other communications | <input type="checkbox"/> Analysis of survey results from parent and/or community stakeholders |
| <input type="checkbox"/> Participation rates and other data about school family engagement activities | <input type="checkbox"/> Analysis of school improvement goals/reports | <input type="checkbox"/> Relevant staff meeting presentations and minutes |
| <input type="checkbox"/> Evidence of community support and/or engagement | <input type="checkbox"/> Community organization membership/participation/contributions | <input type="checkbox"/> Other: _____ |

Principal's Performance Rating for Standard IV: Professional Culture



Refer to the Administrative Leadership Practice Rubric for details on the indicators.

Overall Rating for Standard IV <i>(Circle one.)</i>	The education leader promotes the learning and growth of all students and the success of all staff by nurturing and sustaining a schoolwide culture of reflective practice, high expectations, and continuous learning for staff.
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Unsatisfactory

Needs Improvement

Proficient

Exemplary

Comments and analysis (recommended for any overall rating; required for overall rating of *needs improvement* or *unsatisfactory*):

Indicator	Indicator Rating	Comments and Analysis
IV-A. Commitment to High Standards		
IV-B. Cultural Proficiency		
IV-C. Communication		
IV-D. Continuous Learning		
IV-E. Shared Vision		
IV-F. Managing Conflict		

Examples of evidence superintendent might provide:

- | | | |
|---|--|--|
| <input type="checkbox"/> Goals progress report | <input type="checkbox"/> Classroom visit protocol and sample follow-up reports | <input type="checkbox"/> Staff and/or leadership meeting agendas/materials |
| <input type="checkbox"/> School improvement plans and reports | <input type="checkbox"/> Presentations/materials for community/parent meetings | <input type="checkbox"/> Evidence of shared decision making and distributed leadership |
| <input type="checkbox"/> School vision, mission, and core values statements | <input type="checkbox"/> Staff survey feedback | <input type="checkbox"/> Existence of working professional learning communities |
| <input type="checkbox"/> Staff attendance and other data | <input type="checkbox"/> Samples of educator practice goals | <input type="checkbox"/> Other: _____ |
| <input type="checkbox"/> Memos/newsletters to staff and other stakeholders | | |

Appendix J. Evidence Used in Educator Evaluation

CMR 35.07

- (1) The following categories of evidence shall be used in evaluating each educator:
 - (a) Multiple measures of student learning, achievement, and growth including:
 1. Measures of student progress on learning goals set between the educator and evaluator for the school year;
 2. Statewide growth measure(s) where available, including the MCAS Student Growth Percentile and the Massachusetts English Proficiency Assessment (MEPA); and
 3. District-determined measure(s) of student learning comparable across grade or subject districtwide; and,
 4. For educators whose primary role is not classroom teacher, the appropriate measures of the educator's contribution to student learning, growth, and achievement set by the district.
 - (b) Judgments based on observations and artifacts of professional practice, including unannounced observations of practice of any duration;
 - (c) Additional evidence relevant to one or more performance Standards, including, but not limited to:
 1. Evidence compiled and presented by the educator including:
 - a. Evidence of fulfillment of professional responsibilities and growth, such as self-assessments; peer collaboration; professional development linked to goals and/or Educator Plans; contributions to the school community and professional culture;
 - b. Evidence of active outreach to and ongoing engagement with families.
 2. Student feedback collected by the district, starting in the 2013–14 school year. On or before July 2013, the Department shall identify one or more instruments for collecting student feedback and shall publish protocols for administering the instrument(s), protecting student confidentiality, and analyzing student feedback. In the 2011–2012 and 2012–2013 school years, districts are encouraged to pilot new systems and to continue using and refining existing systems for collecting and analyzing student feedback as part of educator evaluation.
 3. Staff feedback (with respect to administrators) collected by the district, starting in the 2013–2014 school year. On or before July 1, 2013, the Department shall identify one or more instruments for collecting staff feedback and shall publish protocols for administering the instrument(s), protect staff confidentiality and analyzing staff feedback. In the 2011–2012 and 2012–2013 school years, districts are encouraged to pilot new systems and to continue using and refining existing systems for collecting and analyzing staff feedback as part of the administrator evaluation.
 4. The Department shall research the feasibility and possible methods for districts to collect and analyze parent feedback as part of educator evaluation and shall issue a report and recommendation on or before July 1, 2013.
 5. Any other relevant evidence from any source that the evaluator shares with the educator.
- (2) Evidence and professional judgment shall inform:
 - (a) The evaluator's ratings of Performance Standards and overall educator performance; and
 - (b) The evaluator's assessment of the educator's impact on the learning, growth, and achievement of the students under the educator's responsibility.

Appendix K. Superintendent Responsibilities

1. Know and understand the Massachusetts Standards of Effective Administrative Practice.
2. Understand the Massachusetts principal evaluation process and participate in training to strengthen capacity to implement the Massachusetts Model System for Educator Evaluation effectively and with integrity.
3. Ensure that all steps in the process are conducted according to the agreed upon process.
4. Identify the principal's strengths and areas for improvement and make recommendations for improvement.
5. Ensure that the goals and actions detailed in the Educator Plan are:
 - a. Measurable
 - b. Challenging
 - c. Focused on high-priority needs of students
6. Make at least three unannounced visits to the principal's worksite to observe the principal in action.

Observation at the school may also include faculty and leadership team meetings; event planning; "back-to-school" nights, and other school events. (See Appendix B for details).
7. Review the principal's analysis of student, staff, and/or parent feedback (starting 2013–14).
8. Prepare for the Mid-Cycle Goals Review and Summative Evaluation Conferences.
9. Prepare the Mid-Cycle Goals Review Report.
10. Prepare the End-of-Cycle Summative Evaluation Report.

Appendix L. Principal Responsibilities

1. Know and understand the Standards of Effective Administrative Leadership Practice.
2. Understand the Massachusetts principal evaluation process and participate in training to strengthen capacity to implement the Massachusetts Model System for Educator Evaluation effectively and with integrity.
3. Prepare for the Goal Setting and Plan Development Conference with the superintendent:
 - a. Complete a self-assessment of practice using the rubric.
 - b. Analyze data on student learning, growth and achievement.
 - c. Analyze student and staff data, where available²¹.
 - d. Assess school progress, strengths, and areas in need of improvement.
 - e. Examine district goals.
 - f. Propose SMART goals for professional practice, student learning, and school improvement with key strategies, timelines, benchmarks to assess progress, and resources or supports needed to achieve them (See Appendixes C and D for further guidance).
4. Collaborate with the superintendent in the development of the final goals and the plan.
5. Implement the plan and gather data, artifacts, and other evidence that demonstrates performance in relation to the Standards, progress in attaining goals, and impact on student learning.
6. Host announced and unannounced school visits by the superintendent (see Appendix B for further guidance).
7. Use staff and student feedback to inform practice (not required until 2013–2014).
8. At mid-cycle, present to the superintendent analysis of progress toward goals.
9. At end-of-cycle, complete and present to the superintendent the End-of-Cycle Principal Report analyzing performance, progress on goals, and impact on student learning.

²¹ While student and staff feedback will be required, the Board has not yet determined whether parent feedback will be. By June 2013, ESE must report to the Board on its research concerning the “feasibility and possible methods for districts to collect and analyze parent feedback as part of educator evaluation”