



Massachusetts Department of  
ELEMENTARY & SECONDARY  
EDUCATION

# **The Massachusetts Model System for Educator Evaluation**

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

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January 2012



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

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Mitchell D. Chester, Ed.D.  
Commissioner

## A Letter from the Commissioner

# Massachusetts Department of Elementary and Secondary Education

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January 10, 2012

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](mailto:EducatorEvaluation@doe.mass.edu). Please also visit the Educator Evaluation webpage at [www.doe.mass.edu/eval/](http://www.doe.mass.edu/eval/). 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 Overview

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—superintendents, principals and other administrators, and teachers.<sup>1</sup> The regulations are designed primarily to promote leaders' and teachers' growth and development, while placing improved student learning at the center of every educator's work.<sup>2</sup> Starting in 2012–2013, every district in the Commonwealth will be phasing in evaluation systems that are consistent with the new regulations.

To do so will require changes in culture and practice in many schools and districts because the new regulations assume that all educators will take a leading role in shaping their professional growth and development. The process calls for all educators to assess their own performance and propose challenging goals. All educators will collect evidence and present conclusions about their performance, progress on their goals, and their impact on student learning, growth, and achievement. The new regulations place high value on both collaboration and accountability. As a result, all educators—and the teams they work with—will need to be supported to do this work effectively and efficiently. This Implementation Guide aims to provide support for school committees and superintendents as they apply the regulations to the superintendent evaluation process.

### Massachusetts Model System for Educator Evaluation

The regulations call for the Department of Elementary and Secondary Education (ESE) to provide models for evaluating all educators. On January 10, 2012, ESE released the first components of the comprehensive Model System for Educator Evaluation that districts may choose to adopt or adapt. Rather than adopt or adapt the model, districts may choose to revise their existing evaluation systems so that they meet the requirements of the regulations. 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 systems will complete a detailed questionnaire and submit their systems to ESE for review. (For more information on the review process for districts that decide to adapt the model or revise their own evaluation processes, see Part I of the Model System, District-Level Implementation Guide.) Districts participating in Race to the Top will submit their evaluation systems to ESE by September 2012. Other districts will submit theirs by September 2013. ESE will report its review findings to the district and the Board of Elementary and Secondary Education.

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

The regulations call for districts to phase in components of the evaluation system as follows:

- **Phase I.** The first phase of all evaluation systems calls for summative ratings based on attainment of goals and performance against the four Standards defined in the educator evaluation regulations.
- **Phase II.** The second phase adds a rating of educator impact on student learning gains based on trends and patterns for multiple measures of student learning gains. (ESE will provide direction and guidance by June 2012.)
- **Phase III.** A third phase adds using feedback from students and (for administrators) staff. (ESE will provide direction and guidance by June 2013.)

In addition, under the regulations, “districts may develop and implement Peer Assistance and Review Programs (PAR) through the collective bargaining process” (CMR 603 35.10). ESE expects to supplement the Model with guidance on peer assistance and review systems.

## Development of the Model Evaluation System for Superintendents

The Model Evaluation System for superintendents has been developed by a representative group of school committee members and superintendents selected by the executive directors of the Massachusetts Association of School Committees (MASC) and the Massachusetts Association of School Superintendents (MASS) in collaboration with staff from ESE.<sup>3</sup> In addition, representatives from the Massachusetts Elementary Principals Association (MESPA) and Massachusetts Secondary School Administrators Association (MSSAA) offered suggestions and commented on features of the process as it was being developed. The MASC and MASS representatives met with ESE staff members throughout fall 2011 to reach consensus on a model process that is consistent with the new regulations and that all three organizations will recommend. They developed this Implementation Guide to provide school committees and superintendents with guidance on implementing the model.

This Implementation Guide describes the model and includes relevant documents including a report form on which school committees and superintendents can record goals, evidence, and ratings. The guide includes resources that school committees and superintendents may find helpful. These include resources to support effective goal setting, suggestions for how to modify the process for superintendents in their first year, and suggestions for superintendents serving in supervisory unions in which more than one school committee shares responsibility for their evaluation. Under Massachusetts Public Records and Open Meeting laws, the superintendent evaluation process is a public process. Appendix J details how these laws affect the process for evaluating the superintendent.

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](mailto:educatorevaluation@doe.mass.edu).

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<sup>3</sup> For MASC: Mike Gilbert (MASC field director, former Holliston and Whittier school committees), Jim Hardy (MASC field director and former East Bridgewater), Dorothy Presser (MASC president, Lynnfield), Rebecca Stone (Brookline), and Geoff Swett (Wareham).

For MASS: Melinda Boone (Worcester), Mary Czajkowski (MASS vice president, Barnstable), Midge Frieswyk (Avon), Bill Lupini (Brookline), Chris McGrath (MASS and former Tewksbury), and Isabelina Rodriguez (Granby).

For ESE: Claudia Bach and Karla Baehr.

## Resources to Support Effective Implementation

MASC, MASS, and ESE are committed to supporting school committees and superintendents to implement the Model System. All three organizations see strengthening superintendent evaluation as an opportunity for school committees and superintendents to take the lead in modeling for their staff members and stakeholders “best practice” in evaluating the district’s chief executive officer. By doing so, school committees and superintendents can lead the way in modeling the culture and practice of collaboration and accountability that are at the heart of the new regulations.

In addition to working together to produce this Implementation Guide, the three organizations are collaborating through the District Governance Project. Using Race to the Top funding, MASC, in consultation with MASS and ESE, is developing a training module and coaching support to help school committees and superintendents implement the model effectively and in ways that will help them strengthen their focus on improving student learning. In addition, MASC’s orientation workshop for new school committee members, Charting the Course, is being revised to incorporate information about using the Model Evaluation System for superintendents.<sup>4</sup>

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<sup>4</sup> For details on the District Governance Project and Charting the Course, see the MASC website (<http://www.masc.org>).

# The Model Evaluation Process for Superintendents

## Standards, Indicators, and Rubric

This Implementation Guide contains Standards and Indicators of effective superintendent practice that are based on the Standards and Indicators of effective administrative leadership practice detailed in the regulations.<sup>5</sup> As required by the regulations, the Standards and Indicators have been turned into a rubric that specifies the elements of each indicator and then describes the elements at four levels of performance: *Unsatisfactory*, *Needs Improvement*, *Proficient*, and *Exemplary*.

A rubric is a critical component of the regulations, required for every educator. 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 performance expectations and how to improve practice. Used well, the rubrics prompt careful analysis, thoughtful discussion and constructive feedback. They may need to be adapted to match the job responsibilities of superintendents in large districts in which other district administrators may be directly responsible for some functions that in smaller districts are performed directly by the superintendent. These and other differences in local context can be explored in the discussion of the rubric. It should be noted that the superintendent can use the rubric as the starting point for developing expectations for assistant superintendents and other district-level administrators since many of the Indicators and elements appropriate for superintendents also are appropriate expectations for other district administrators. Collective bargaining is required in the case of evaluation of administrators not employed under individual employment contracts, as are superintendents, principals and some district administrators.

## Annual Five-Step Cycle of Continuous Improvement

This Implementation Guide is organized around the five-step cycle required for all educators, a centerpiece of the new regulations designed to have all educators play a more active, engaged role in their professional growth and development.

Under the regulations, evaluation is an annual process beginning with self-assessment and concluding with summative evaluation and 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 superintendent's self-assessment and the district's subsequent goal setting.



<sup>5</sup> CMR 35.05 requires districts to have a system for evaluating superintendents that “reflects the purposes” in the regulation and “adapts the Standards and Indicators for Effective Administrative Leadership and the procedures” in the regulation to the role of superintendent.

For superintendent evaluation in the Model System, the annual cycle includes the following:

- **Cycle Step 1: Superintendent’s Self-Assessment.** The superintendent conducts a self-assessment using the performance Standards and rubric, data about student learning, past progress on district goals (when available), the prior year’s evaluation and rating, and other relevant evidence. Based on that assessment, the superintendent identifies at least two goals to propose to the school committee: one related to improving his or her own professional practice and one related to improving student learning.
- **Cycle Step 2: Analysis, Goal Setting, and Plan Development.** During a public meeting, the school committee and superintendent review the proposed goals, key strategies, and benchmarks of progress<sup>6</sup>. In consultation with the superintendent and with the objective of achieving mutual agreement, the committee revises, as needed, and adopts at least one professional practice and one student learning goal.

In addition, the superintendent and school committee develop two to four district improvement goals with key strategies and benchmarks. Once adopted, the professional practice, student learning, and district improvement goals—with their key strategies and benchmarks of progress—become the Superintendent’s Annual Plan. The plan serves as a basis for assessing the superintendent’s performance.<sup>7</sup>

- **Cycle Step 3: Superintendent Plan Implementation and Collection of Evidence.** The superintendent implements the Superintendent’s Plan, with assistance from the committee, as appropriate; school committee members and the superintendent individually collect evidence of progress on goals and performance against the Standards.
- **Cycle Step 4: Mid-Cycle Goals Review.** At a mid-cycle public meeting (or series of meetings), the superintendent reports on progress being made on the goals in the Superintendent’s Annual Plan. The school committee reviews the report, offers feedback, and discusses progress and possible mid-cycle adjustments with the superintendent.
- **Cycle Step 5: End-of-Cycle and Summative Evaluation Reports.** The superintendent prepares an End-of-Cycle Report on progress toward each goal and performance against the Standards. In a public meeting, the school committee completes a performance review and End-of-Cycle Summative Evaluation Report assessing attainment of the goals and the superintendent’s performance against the Standards (see Appendix E for step-by-step details of conducting the End-of-Cycle Summative Review).

Committees can determine when the annual cycle starts. For example, many will want the superintendent to start the self-assessment process in the summer so that Step 2 in the cycle can begin at a summer retreat or at a school committee meeting in the early fall. Others may want to be able to set district goals in the spring, so they may want Step 1 of the cycle to begin in the late winter.

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<sup>6</sup> Pursuant to the revised Open Meeting Law (c. 28, s. 18 2009), this component of the Superintendent evaluation and others, where noted, must take place in a public meeting. Further detail is provided in Appendix J of this Guide.

<sup>7</sup> The Superintendent’s Annual Plan is not the same as the District Improvement Plan described in MGL CMR 69 11. One or more of the district improvement goals that appear in the superintendent’s plan also may appear in the district plan, but the superintendent’s plan is not intended to include every goal the school committee has identified in its district plan. Instead, the superintendent’s plan identifies the three to six goals that will carry the most weight in assessing the superintendent’s performance in that year. That said, school committees and superintendents are encouraged to coordinate these two planning processes.

## Goals for Student Learning, Professional Practice, and District Improvement

Within the cycle, the Implementation Guide focuses attention on establishing three kinds of goals:

- Student learning goals
- Professional practice goals
- District improvement goals

As with all educators, goal setting focuses on both improving student achievement and developing professional practice. Including district improvement goals for the superintendent helps ensure that the superintendent evaluation process is closely coordinated with the overall district improvement planning process.

## Rating the Superintendent's Performance Against Standards

Under the new regulations, the performance of every educator is rated against the four performance Standards defined in the educator evaluation regulations. All educators earn one of four ratings: *Proficient*, *Exemplary*, *Needs Improvement* or *Unsatisfactory*. It is expected that most effective educators will be rated Proficient on a standard rather than Exemplary because Exemplary is reserved for educators – superintendents included – whose practice in a particular area is so strong that it can be a model for others. Each rating has a specific meaning:

- *Proficient* performance is understood to be fully satisfactory. For the superintendent, and all other administrators as well as teachers, this is the rigorous expected level of performance. It is a demanding, but attainable level of performance.
- *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 for leaders regionally or statewide. Few educators—superintendents included—are expected to earn Exemplary ratings on more than a handful of Indicators.
- A rating of *Needs Improvement* represents 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, performance is on track to achieve 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.

## Rating the Superintendent'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 based on trends and patterns of growth in at least two state and districtwide measures of student learning, including MCAS Student Growth Percentile (MCAS SGP) data. 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 them to determine an appropriate rating. When that guidance is available, ESE will publish a supplement to the Model System. In the meantime, understanding how the MCAS Student Growth Percentile (SGP) differs from the MCAS Composite Proficiency Index (CPI) is essential to ensuring fair use of student learning measures in educator evaluation.<sup>8</sup>

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<sup>8</sup> More information about SGP can be found at [www.doe.mass.edu/mcas/growth](http://www.doe.mass.edu/mcas/growth).

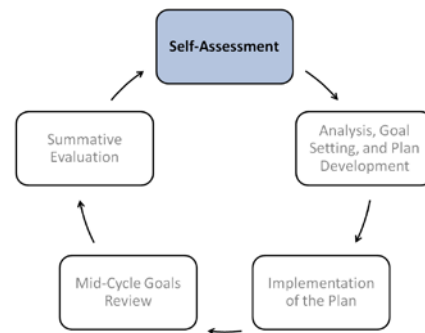
# Guidance for Conducting the Evaluation Process

School committees and superintendents should seriously consider an orientation process before launching Step 1 of the five-step evaluation cycle, especially in the first years of its use.<sup>9</sup> The chair and superintendent should ensure that every member receives a copy of the Implementation Guide including the End-of-Cycle Summative Evaluation Report and the rubric. All committee members and the superintendent need to have an opportunity to ask questions about the process and offer suggestions for how to make it as useful as possible for everyone involved.

## Step 1 of the Cycle: Superintendent's Self-Assessment

### 1. The superintendent completes the self-assessment.

Using the rubric that describes the four levels of performance, the superintendent assesses his or her practice in relation to the four Standards and Indicators. The superintendent examines a wide range of evidence and consults with the district's administrative leadership team of district administrators and principals and others.



### 2. The superintendent identifies professional practice and student learning goals.<sup>10</sup>

The superintendent uses the self-assessment to identify goals to propose to the school committee. At least one of the goals is related to improving student learning, and one is related to improving the superintendent's own professional practice. For each goal, the superintendent identifies key actions, timelines, and benchmarks that will be used to assess progress in achieving the goals.

### 3. The superintendent drafts two to four district improvement goals.

In consultation with others, the superintendent drafts two to four district improvement goals with key actions, timelines, and benchmarks that can be used to assess progress in achieving the goals. To help ensure effective collaboration, it is recommended that the superintendent seek out committee perceptions of district needs and priorities in advance of drafting district improvement goals.

### 4. The superintendent combines the goals into a draft Superintendent's Annual Plan to propose to the school committee.

<sup>9</sup> For a summary of superintendent and school committee responsibilities in the superintendent evaluation process, see Appendix C for school committees and Appendix D for superintendents.

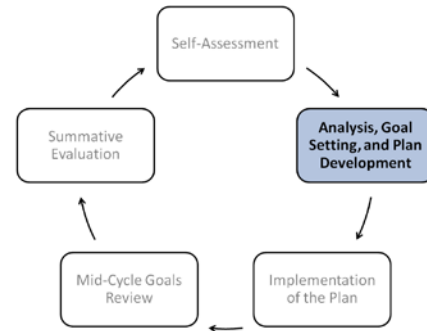
<sup>10</sup> Appendix F, "What Makes a Goal 'SMART'?", provides information on setting specific, measurable, and actionable goals.

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

Each of the following steps takes place at a public meeting.

### 1. The superintendent and school committee review the rubric.

The superintendent and school committee review the rubric that describes the Standards and Indicators for effective superintendent practice at four levels of performance. The purpose of this joint review is to help the superintendent and school committee members clarify roles, responsibilities, and expectations.<sup>11</sup>



The focus of the rubric review is on the elements within each indicator. In collaboration with the superintendent, the committee asks and answers the following questions:

- Are any revisions to the elements necessary to reflect the local district context?
- Are there any elements for which *Proficient* performance will depend on factors beyond the control of the superintendent? 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 committee in rating the superintendent's performance at the end of the year?

To ensure that the consensus reached during the rubric review is taken into account during the end-of-cycle performance review, the chair or superintendent should make appropriate annotations on the End-of-Cycle Summative Evaluation Report to reflect the decisions made.

### 2. The superintendent presents the proposed superintendent's plan to the school committee.

The superintendent meets with the school committee to present:

- Proposed professional practice and student learning goals
- Proposed district improvement goals
- Key actions, timelines, and benchmarks the superintendent proposes be gathered for the evaluation process

<sup>11</sup> Some committees may prefer to conduct the review of the rubric during a planning and orientation meeting.

### 3. The school committee decides on the Superintendent's Annual Plan.

Following discussion of the superintendent's proposed goals the school committee determines the professional practice and student learning goals and the evidence that will be used to complete the evaluation process and determine the superintendent's performance ratings on each standard and overall, as well as the rating of the superintendent's overall impact on student learning gains: *low*, *moderate*, or *high*.<sup>12</sup>

In addition, the school committee and superintendent discuss what district improvement goals will focus district work in the year ahead. The school committee adopts district improvement goals with key strategies, timelines, and benchmarks for assessing progress.

Once adopted, the district improvement, student learning, and professional practice goals—and their associated key strategies, timelines, and benchmarks of progress—become the Superintendent's Annual Plan.

The process of developing the Superintendent's Annual Plan is designed to ensure that the superintendent and school committee can achieve clarity on priorities for action. If attainment of some goals is considered more important than others, this is the time to make those expectations clear. Similarly, if performance on certain Standards and/or Indicators is considered significantly more important than others, this is also the time for committee members to offer feedback and make those expectations clear. The chair or superintendent should annotate the End-of-Cycle Summative Evaluation Report to reflect these priorities.

**A note on establishing priorities among Standards:** The regulations place a priority on Standard I, Instructional Leadership, for all administrators. No administrator can earn an overall rating of Proficient unless he or she has earned a rating of Proficient on Standard I.

**A note on multiyear goals:** School committees and superintendents often see benefit in pursuing multiyear goals. It is possible to establish multiyear goals in this annual process. As long as a multiyear goal has measurable annual benchmarks, it can be included in the Superintendent's Annual Plan.

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<sup>12</sup> The regulations require that by June 2012, ESE will issue guidance for districts for 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*. When that guidance is issued, ESE will update this Implementation Guide to apply that guidance to the evaluation of superintendents.

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

### 1. The superintendent implements the plan.

The superintendent, in collaboration with the school committee, implements the plan.

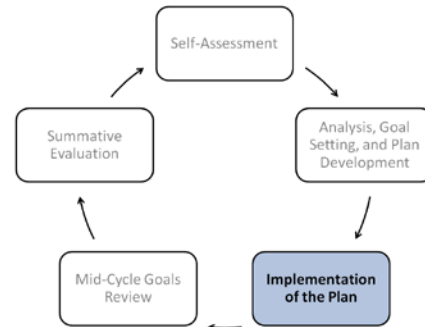
### 2. The superintendent and school committee members individually collect evidence.

**Superintendent.** The superintendent collects evidence described in the plan and other relevant evidence from three categories: (1) observations and artifacts of practice; (2) multiple measures of student learning, achievement, and growth; and (3) other relevant data, including (starting in 2013–14) student and staff survey data.<sup>13</sup>

**School committee.** The school committee reviews evidence described in the plan and other relevant evidence at a public meeting.

Examples of the evidence that may be most useful for superintendents and/or committee members to collect are included in the End-of-Cycle Summative Evaluation Report in Appendix B. For example, evidence may include:

- Mid-cycle and end-of-cycle reports on progress made on the goals
- School committee agendas, materials, and minutes
- Observations of the superintendent “in action” at school committee meetings, in forums with faculty, and in community events
- Budget presentations and reports
- Samples of newsletters, local media presentations, and other community awareness and outreach efforts
- District and school improvement plans
- Staffing and enrollment analyses
- External reviews and audits
- Superintendent’s analysis of educator practice and student learning goals
- Samples of leadership team agendas the superintendent selects
- Reports about student and staff performance

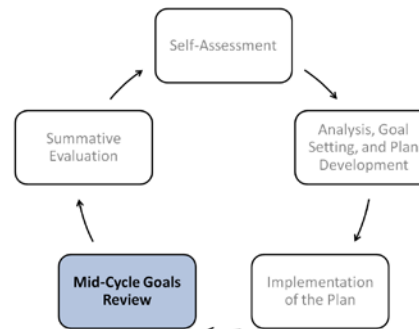


<sup>13</sup> As noted in an earlier footnote, student and staff feedback are not required to be used as part of the educator evaluation process until 2013–14; ESE will provide guidance and direction by June 2013.

## Step 4 of the Cycle: Mid-Cycle Goals Review Meeting

### 1. The superintendent prepares a progress report.

At mid-cycle, the superintendent synthesizes information obtained to date and prepares an assessment of progress on each of the goals detailed in the Superintendent's Annual Plan to present to the school committee for review. To enhance public understanding of the evaluation process, the superintendent typically presents the progress report on goals as an agenda item at a regularly scheduled meeting of the school committee.



### 2. The school committee and superintendent review the progress report at a public meeting:

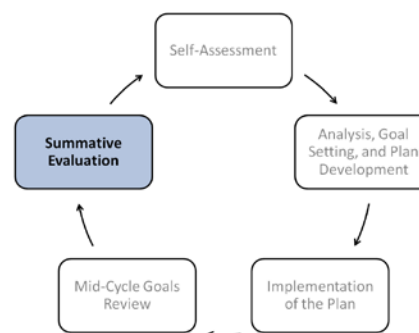
The superintendent and school committee review and discuss the report and evidence. Their purpose is to share relevant feedback, develop a clear understanding of the progress being made on each goal, and achieve agreement on what, if any, mid-course adjustments may be needed. To enhance public understanding of the evaluation process, it is recommended that the committee review the report and evidence at the same meeting at which the superintendent presents the report or at a subsequent regularly scheduled meeting of the school committee.

## Step 5 of the Cycle: End-of-Cycle and Summative Evaluation and Report<sup>14</sup>

### 1. The superintendent submits an End-of-Cycle Progress Report.

The superintendent prepares and submits to the school committee an assessment of:

- Progress on the goals
- Performance on each of the Standards
- Impact on student learning with data supporting the assessment



<sup>14</sup> Appendix E offers a detailed step-by-step guide to conducting the end-of-cycle performance review.

## **2. Each school committee member prepares an End-of-Cycle Summative Evaluation Report.**

Each committee member reviews the evidence and report prepared by the superintendent as well as any other relevant evidence for the purpose of arriving at:

- An assessment of progress on goals
- A rating of the superintendent's performance on each of the Standards
- An overall rating of the superintendent's performance
- A rating of the superintendent's impact on student learning gains<sup>15</sup>

## **3. The school committee chair drafts an End-of-Cycle Summative Evaluation Report.**

The school committee chair compiles the End-of-Cycle Evaluation Reports compiled by each member of the school committee and prepares a single summative evaluation based on the preponderance of individual ratings.

## **4. The school committee adopts a final End-of-Cycle Summative Evaluation Report.**

At a regular or special meeting of the school committee, the superintendent and school committee discuss the report. The school committee adopts an End-of-Cycle Summative Evaluation Report.

### **A Note on using the End-of-Cycle Summative Evaluation Report form:<sup>16</sup>**

The End-of-Cycle Summative Evaluation Report form is used at six points in the evaluation cycle:

- The superintendent and/or chair record the goals established in the Superintendent's Annual Plan and match each to one of the four Standards of performance.
- The superintendent and/or chair annotate the End-of-Cycle Summative Evaluation Report to reflect goals, Standards and/or Indicators which may be considered priorities by the School Committee.
- Individual committee members use it to complete their individual End-of-Cycle Summative Evaluation Reports.
- The school committee chair uses it to draft a composite End-of-Cycle Summative Evaluation Report
- The school committee chair or designee record the End-of-Cycle Summative Evaluation Report adopted by the school committee.
- In addition, the superintendent may use the report to record key components of his or her End-of-Cycle Progress Report.

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<sup>15</sup> 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 districtwide measures of student learning. ESE will be providing guidance by June 2012 about how to complete this part of the evaluation rating.

<sup>16</sup> The End-of-Cycle Report Form appears as Appendix B

## 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 Summative Evaluation Report that the superintendent prepares for Step 5 is the core of the self-assessment required for Step 1. Together with the school committee's End-of-Cycle Summative Evaluation Report and the discussion that led to its adoption, the superintendent has critical feedback needed to begin to consider the goals he or she will propose to the school committee for Step 2 of the evaluation process. Of course, it is not all of the information the superintendent will want to consider. For example, reviewing evidence about progress on school and district goals with district administrators, principals, teachers and others will yield essential information. So, too, will thoughtful reflection of his or her own performance against key Indicators in the rubric. That said, a carefully prepared End-of-Cycle Progress Report and thoughtful development of the school committee's End-of-Cycle Summative Evaluation Report are keys to ensuring that the dream of continuous improvement becomes a reality.



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

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# Appendix A. Standards and Indicators of Effective Superintendent Leadership Rubric

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

## **Appendix B. End-of-Cycle Summative Evaluation Report: Superintendent**

# End-of-Cycle Summative Evaluation Report: Superintendent



Superintendent: \_\_\_\_\_

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

Name

Signature

Date

## Step 1: Assess Progress Toward Goals (Complete page 3 first; 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
District Improvement Goal(s)	Did Not Meet	Some Progress	Significant Progress	Met	Exceeded

## Step 2: Assess Performance on Standards (Complete pages 4–7 first; then 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/Developing** = 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 superintendents, 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 regionally or statewide.

	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: Superintendent



**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"/>
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## Step 5: Add Evaluator Comments

Comments and analysis are recommended for any rating but are required for an overall summative rating of *Exemplary*, *Needs Improvement* or *Unsatisfactory* or Impact on Student Learning rating of *high* or *low*.

**Comments:**

# Superintendent's Performance Goals



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

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

# Superintendent's Performance Rating for Standard I: Instructional Leadership



	Unsatisfactory	Needs Improvement	Proficient	Exemplary
<b>I-A. Curriculum:</b> Ensures that all instructional staff design effective and rigorous standards-based units of instruction consisting of well-structured lessons with measurable outcomes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>I-B. Instruction:</b> Ensures that practices in all settings reflect high expectations regarding content and quality of effort and work, engage all students, and are personalized to accommodate diverse learning styles, needs, interests, and levels of readiness.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>I-C. Assessment:</b> Ensures that all principals and administrators facilitate practices that propel personnel to use a variety of formal and informal methods and assessments to measure student learning, growth, and understanding and make necessary adjustments to their practice when students are not learning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>I-D. Evaluation:</b> Ensures effective and timely supervision and evaluation of all staff in alignment with state regulations and contract provisions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>I-E. Data-Informed Decision Making:</b> Uses multiple sources of evidence related to student learning—including state, district, and school assessment results and growth data—to inform school and district goals and improve organizational performance, educator effectiveness, and student learning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Overall Rating for Standard I</b> (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 Exemplary, Needs Improvement or Unsatisfactory):**

**Examples of evidence superintendent might provide:**

- Goals progress report
- Analysis of classroom walk-through data
- Analysis of district assessment data
- Sample of district and school improvement plans and progress reports
- Analysis of staff evaluation data
- Report on educator practice and student learning goals
- Student achievement data
- Analysis of student feedback
- Analysis of staff feedback
- Relevant school committee meeting agendas/materials
- Analysis of leadership team(s) agendas and/or feedback
- Protocol for school visits
- Other: \_\_\_\_\_

# Superintendent's Performance Rating for Standard II: Management and Operations



	Unsatisfactory	Needs Improvement	Proficient	Exemplary
<b>II-A. Environment:</b> Develops and executes effective plans, procedures, routines, and operational systems to address a full range of safety, health, emotional, and social needs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>II-B. Human Resources Management and Development:</b> Implements a cohesive approach to recruiting, hiring, induction, development, and career growth that promotes high-quality and effective practice.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>II-C. Scheduling and Management Information Systems:</b> Uses systems to ensure optimal use of data and time for teaching, learning, and collaboration, minimizing disruptions and distractions for school-level staff.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>II-D. Law, Ethics, and Policies:</b> Understands and complies with state and federal laws and mandates, school committee policies, collective bargaining agreements, and ethical guidelines.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>II-E. Fiscal Systems:</b> Develops a budget that supports the district's vision, mission, and goals; allocates and manages expenditures consistent with district- and school-level goals and available resources.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Overall Rating for Standard II (Circle one.)</b>	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 Exemplary, Needs Improvement or Unsatisfactory):**

**Examples of evidence superintendent might provide:**

- Goals progress report
- Budget analyses and monitoring reports
- Budget presentations and related materials
- External reviews and audits
- Staff attendance, hiring, retention, and other HR data
- Analysis of student feedback
- Analysis of staff feedback
- Analysis of safety and crisis plan elements and/or incidence reports
- Relevant school committee meeting agendas/minutes/materials
- Analysis and/or samples of leadership team(s) schedule/agendas/materials
- Other: \_\_\_\_\_

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



	Unsatisfactory	Needs Improvement	Proficient	Exemplary
<b>III-A. Engagement:</b> Actively ensures that all families are welcome members of the classroom and school community and can contribute to the effectiveness of the classroom, school, district, and community.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>III-B. Sharing Responsibility:</b> Continuously collaborates with families and community stakeholders to support student learning and development at home, school, and in the community.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>III-C. Communication:</b> Engages in regular, two-way, culturally proficient communication with families and community stakeholders about student learning and performance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>III-D. Family Concerns:</b> Addresses family and community concerns in an equitable, effective, and efficient manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Overall Rating for Standard III (Circle one.)</b>	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 district and its schools.
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Unsatisfactory

Needs Improvement

Proficient

Exemplary

**Comments and analysis (recommended for any overall rating; required for overall rating of Exemplary, Needs Improvement or Unsatisfactory):**

**Examples of evidence superintendent might provide:**

- Goals progress report
- Participation rates and other data about school and district family engagement activities
- Evidence of community support and/or engagement
- Sample district and school newsletters and/or other communications
- Analysis of school improvement goals/reports
- Community organization membership/participation/contributions
- Analysis of survey results from parent and/or community stakeholders
- Relevant school committee presentations and minutes
- Other: \_\_\_\_\_

# Superintendent's Performance Rating for Standard IV: Professional Culture



	Unsatisfactory	Needs Improvement	Proficient	Exemplary
<b>IV-A. Commitment to High Standards:</b> Fosters a shared commitment to high standards of service, teaching, and learning with high expectations for achievement for all.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>IV-B. Cultural Proficiency:</b> Ensures that policies and practices enable staff members and students to interact effectively in a culturally diverse environment in which students' backgrounds, identities, strengths, and challenges are respected.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>IV-C. Communication:</b> Demonstrates strong interpersonal, written, and verbal communication skills.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>IV-D. Continuous Learning:</b> Develops and nurtures a culture in which staff members are reflective about their practice and use student data, current research, best practices, and theory to continuously adapt practice and achieve improved results. Models these behaviors in his or her own practice.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>IV-E. Shared Vision:</b> Successfully and continuously engages all stakeholders in the creation of a shared educational vision in which every student is prepared to succeed in postsecondary education and become a responsible citizen and global contributor.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>IV-F. Managing Conflict:</b> Employs strategies for responding to disagreement and dissent, constructively resolving conflict and building consensus throughout a district or school community.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Overall Rating for Standard IV (Circle one.)</b>	The education leader promotes the learning and growth of all students and the success of all staff by nurturing and sustaining a districtwide 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 Exemplary, Needs Improvement or Unsatisfactory):**

**Examples of evidence superintendent might provide:**

- Goals progress report
- District and school improvement plans and reports
- Staff attendance and other data
- Memos/newsletters to staff and other stakeholders
- School visit protocol and sample follow-up reports
- Presentations/materials for community/parent meetings
- Analysis of staff feedback
- Samples of principal/administrator practice goals
- School committee meeting agendas/materials
- Sample of leadership team(s) agendas and materials
- Analysis of staff feedback
- Other: \_\_\_\_\_

## Appendix C. School Committee Responsibilities

1. Know and understand the rubric that describes the Standards and Indicators of Effective Superintendent Leadership.
2. Participate in on-line or in-person training to strengthen capacity to implement the Massachusetts Model System for Superintendent Evaluation effectively and with integrity.<sup>1</sup>
3. **School committee chair.** Oversee the superintendent evaluation process and ensure that all steps in the process are conducted effectively and with integrity.
4. Identify the superintendent's strengths and areas for improvement and make recommendations for improvement.
5. Ensure that the goals and actions detailed in the Superintendent's Annual Plan are:
  - a. Challenging
  - b. Measurable
  - c. Focused on high-priority needs of the district's students
6. **School committee chair.** Lead the mid-cycle goals review meeting and end-of-cycle summative evaluation meeting.
7. Ensure that the End-of-Cycle Summative Evaluation Report contains accurate information and appropriately reflects the superintendent's individual performance.

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<sup>1</sup> The Attorney General has recently issued guidance in the form of frequently asked questions concerning the procedure to conduct superintendent evaluations pursuant to the revised Open Meeting Law (c. 28, s. 18 2009). The Attorney General's guidance is included elsewhere in this guide.

## Appendix D. Superintendent Responsibilities

1. Know and understand the rubric that describes the Standards and Indicators of Effective Superintendent Leadership.
2. Participate in on-line or in-person training to strengthen capacity to implement the Massachusetts Model System for Superintendent Evaluation effectively and with integrity.
3. Prepare for the goal setting and plan development meeting with the school committee:
  - 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 available.<sup>1</sup>
  - d. Assess district and school progress, strengths, and areas in need of improvement.
  - e. Seek input from the administrative team and others, as appropriate.
  - f. Draft three to six goals (“SMART”),<sup>2</sup> each with key strategies, timelines, and benchmarks of progress:
    - At least one goal to improve student learning
    - At least one goal to improve his or her own professional practice
    - Goals for district improvement
4. Meet with the school committee to discuss the professional practice and student learning goals you are proposing. Collaborate with the school committee to identify district improvement goals. Accept revisions determined by the school committee.
5. Implement the plan's goals, and gather data, artifacts, and other evidence that demonstrates performance in relation to the Standards, progress in attaining the goals, and impact on student learning.
6. Prepare a mid-cycle report on progress on the goals and present it to the school committee.
7. Prepare an end-of-cycle report on progress on the goals and performance on the Standards.
8. Participate actively in the end-of-cycle evaluation meeting.

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<sup>1</sup> 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 July 2013. While student and staff feedback will be required, the Board has not yet determined whether parent feedback will be. Before July 2013, ESE is required to report on its research concerning “the feasibility and possible methods for districts to collect and analyze parent feedback as part of educator evaluation.” See 603 CMR 35.07(1)(c)(1-2-4).

<sup>2</sup> See Appendix F, “What Makes a Goal “SMART”?”

## Appendix E. Step-by-Step—Conducting the End-of-Cycle Summative Evaluation

**Step 1: Individual members assess goal attainment.** First, each committee member reviews the superintendent's End-of-Cycle Progress Report and other relevant evidence to make an individual determination of the progress the superintendent has made on the goals detailed in the plan. Progress toward each goal is described as:

- Did Not Meet
- Some Progress
- Significant Progress
- Met
- Exceeded

**Step 2: Individual members rate performance against the Standards.** Next, each member renders a judgment about the superintendent's performance against each Standard, rating it:

- Unsatisfactory
- Needs Improvement
- Proficient
- Exemplary

To reach a judgment on each standard, the committee member assesses performance against each indicator, taking into account, at a minimum, the progress on the goals most directly related to each standard. A rating of *Proficient* represents fully satisfactory performance. A rating of *Exemplary* is reserved for performance that exceeds *Proficient* and represents a regional or state model. For new superintendents, a rating of *Needs Improvement* should be seen as developing, reflecting the judgment that the new superintendent's performance on this indicator or standard is on track to becoming *Proficient* within three years.

A primary purpose of the five-step evaluation cycle is continuous improvement. Thoughtful feedback is important for continuous improvement. Committee members should support their ratings with written comments, citing the evidence they found most compelling as they decided on ratings. Although written comments are encouraged for all ratings, they are essential when ratings point to *Exemplary* or less-than-*Proficient* performance.

**Step 3: Individual members rate overall performance.** Third, each member renders a single overall summative judgment of the superintendent's performance based on performance against each of the four Standards and attainment of the goals detailed in the Superintendent's Annual Plan. As with each standard, the overall rating is one of four: *Unsatisfactory*, *Needs Improvement*, *Proficient*, or *Exemplary*. Again, the high standard for a rating of *Proficient* and the even higher standard for a rating of *Exemplary* prevail. As in Step 2, ratings of *Exemplary*, *Unsatisfactory* or *Needs Improvement* should be accompanied by written comments explaining the rationale and evidence for the rating.

**Step 4: Individual members rate impact on student learning.** Finally, based on trends and patterns on district-determined measures of student learning, MCAS Student Growth Percentile, and Massachusetts English Proficiency Assessment (MEPA) gain scores (when available), each member renders an individual judgment of the superintendent’s impact on student learning.

**Step 5: The chair compiles individual ratings and drafts summative evaluation.** The chair, or designee, compiles the individual ratings and drafts the End-of-Cycle Summative Evaluation Report to present to the superintendent and school committee in advance of a public meeting. When compiling individual members’ evaluation reports, the chair is encouraged to consider discounting individual End-of-Cycle Summative Evaluation Reports that rate the superintendent’s performance as *Unsatisfactory*, *Needs Improvement* or *Exemplary* without written comments that explain the rating. Please note that both the individual and committee evaluations are public documents under Massachusetts law.<sup>1</sup>

**Step 6: Committee discusses and adopts End-of-Cycle Summative Evaluation Report.** At a public meeting of the school committee at which the superintendent is present, committee members review the draft, discuss proposed revisions, and adopt a final End-of-Cycle Summative Evaluation Report that is subsequently placed in the superintendent’s personnel file.

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<sup>1</sup> See Appendix J, “How Do the Open Meeting and Public Records Laws Affect the Superintendent Evaluation Process?”

## Appendix F. What Makes a Goal “SMART”?<sup>1</sup>

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:

<b>S</b>	=	<b>S</b> pecific and <b>S</b> trategic
<b>M</b>	=	<b>M</b> easurable
<b>A</b>	=	<b>A</b> ction Oriented
<b>R</b>	=	<b>R</b> igorous, <b>R</b> ealistic, and <b>R</b> esults-Focused ( <b>the 3 Rs</b> )
<b>T</b>	=	<b>T</b> imed and <b>T</b> 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 <b>S</b> pecific and <b>S</b> trategic	= 10 pounds, 1 mile
It’s <b>M</b> easurable	= pounds, miles
It’s <b>A</b> ction-oriented	= lose, run
It’s got the 3 Rs	= weight loss and running distance
It’s <b>T</b> 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.

<sup>1</sup> The SMART goal concept was introduced 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. *What Makes a Goal “SMART”?* also draws 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.

## Appendix G. Sample District and Superintendent SMART Goals<sup>22</sup>

Please note that these goals are not yet “SMART” because they do not have key actions and benchmarks attached to them that will make clear how they will be accomplished and measured.

### District 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 supporting them to improve their practice.

**Goal 2: Fair Teacher Evaluation.** By June 2013, 100 percent of administrators, instructional coaches, and selected teacher leaders will be able to describe and rate teaching practice they observe consistently.

**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 English language arts (ELA).

**Goal 4: College & Career Readiness.** By June 2013, increase the percentage of students who graduate having completed the MassCORE graduation requirements by five 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 their professional practice.

### Student Learning

**Goal 1: Achievement Gap.** By September 2013, our achievement gap in mathematics will be reduced by \_\_\_ percent, consistent with our district’s Race to the Top (RTTT) goal.

**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.** The median MCAS Student Growth Percentile (SGP) score for mathematics will increase by \_\_\_ percent in at least four of six grade levels.

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<sup>22</sup> See Appendix H for examples of SMART goals for superintendents new to districts.

## **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% of my leadership team meetings will have an academic focus lasting at least 45 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: School Visits.** I will manage my time more effectively in order to increase the frequency and quality of school visits from one one-hour visit per week, on average, to two two-hour visits per week.

**Goal 3: Assessing Teaching Practice.** I will improve my skills at debriefing classroom observations done jointly with principals by including a district specialist in mathematics, English as a second language, and/or science in at least one quarter of my classroom observations and follow-up debriefs with principals.

## Appendix H. What Changes in the Process and Timelines Should Be Considered for New Superintendents?

The evaluation process for superintendents who are new to the district or who have been promoted from within need not be substantially different from the process used for superintendents who have served more than one year in the district. Two modifications to the process are worth considering.

The first difference lies in the rating system as it applies to superintendents new to the role of superintendent. As described earlier, ratings of *Exemplary* performance will not be commonplace. They are reserved for performance on Standards or Indicators that exceed *Proficient* and are 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 superintendents, 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 has a particular meaning for educators new to the role of teacher, principal, or superintendent. In these cases, *Needs Improvement* has 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 superintendents new to the role and those who are new to a district. It has to do with the substance of the goals established for the superintendent in the first year.

Most new superintendents in Massachusetts will be participating in the three-year New Superintendent Induction Program launched in 2010 by ESE and MASS in collaboration with MASC. The induction program supports superintendents to be effective instructional leaders, build strong relationships with their school committees and union leaders, and develop high-functioning leadership teams of district administrators and principals. They are supported to spend a considerable portion of the first year working with key stakeholders—including, of course, the school committee—to examine district needs and develop a coherent, widely understood strategy and goals for addressing them. The goals established for the superintendent's first year need to take into account the timetable for that work and, at the same time, ensure forward momentum on important ongoing improvement efforts at the school and district levels.

To that end, the following four goals can serve as starting points for the superintendent and school committee as they collaborate to develop the goals to be included in the Superintendent's Annual Plan for the superintendent's first year.<sup>1</sup> The first two are district improvement goals. The third is a goal related to the superintendent's own professional practice. The fourth can be a good starting point for implementing educator evaluation in the district in a fair, transparent manner.

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<sup>1</sup> Joan Connolly, retired superintendent from Winthrop and Malden, contributed to the development of these examples. Dr. Connolly directs the New Superintendent Induction Program.

**Goal 1: Effective Entry and Direction Setting.** By early spring, the district will have broad agreement from key stakeholder groups about (a) the district's most critical needs, (b) the strategies and goals that will address them most effectively, and (c) the measures that will be used to assess progress.

**Key Actions**

1. By mid-August,<sup>2</sup> present to the school committee 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 district systems of support including financial management, human resources, and operations.
2. By December, complete and present a report of Entry Findings that (a) synthesizes evidence collected, (b) identifies strengths of the system and the most critical areas for improvement that require further inquiry, and (c) identifies next steps for study.
3. By March, propose key strategies to improve student learning and other district systems of support.
4. By April, collaborate with school committee to identify three to five student learning and district improvement goals.
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 demonstrate engagement (85 percent), awareness (75 percent), and agreement (60 percent) (outcomes).

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<sup>2</sup> This timetable applies to superintendents who begin July 1; it will need to be adapted for those starting at other times.

**Goal 2: Maintaining Momentum During the Transition.** Keep the district moving forward during this year's transition in leadership by working with principals and other district leaders to ensure that meaningful progress is made on critical district and school goals.

**Key Actions**

1. Within six weeks, complete with all principals and district administrators Steps 1 and 2 of the new Educator Evaluation Cycle (Self-Assessment; Analysis, Goal Setting, and Educator Plan Development).
2. By end of February, complete Formative Evaluation conferences with each principal and the district administrators the superintendent supervises.
3. By late spring, conduct at least three school and classroom visits to each school.<sup>3</sup>
4. By June 30, complete Summative Evaluation Reports for supervisees and analyze goal attainment.

**Benchmarks**

1. Completed Educator Evaluation Plans (process).
2. Log demonstrating at least three visits per school (process).
3. Analysis of Summative Evaluation Reports demonstrates meets or exceeds rating on 75 percent of principal and district administrator goals (outcome).

**Goal 3: (Professional Practice) New Superintendent Induction Program.** Develop skills in strategy development, data analysis, and instructional leadership by completing the first year of the New Superintendent Induction Program and earning at least *Proficient* ratings on each major assignment.

**Key Actions**

1. Attend eight daylong sessions.
2. Complete all assignments.
3. Consult with my assigned coach at least monthly.

**Benchmarks**

1. Calendar documents attendance and contact with coach (process).
2. Rubric rating on each assignment demonstrates proficiency (process and outcome).

The superintendent and school committee may consider a fourth goal. Pursuing this goal will help a district implement the new educator evaluation system at the same time as the district leadership team is strengthened in ways that will lead to improvements in teaching and learning districtwide.

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<sup>3</sup> In districts with more than 10 schools, responsibility for school visits may need to be shared with one or more assistant superintendents.

**Goal 4: Fair, Effective Classroom Teacher Evaluation.** By June, principals' and district administrators' ratings of classroom instruction will reflect a shared understanding of what classroom instruction entails when it is being done at the *Proficient* level.

**Key Actions**

1. Monitor the frequency of principal visits to classrooms and review the quality of their feedback to teachers.
2. Devote time at five leadership team meetings to viewing digital recordings of teaching and sharing conclusions about the level of practice observed.
3. During school visits, observe classrooms with the principal and share conclusions about the level of practice observed.

**Benchmark**

June administrator ratings of selected digital recordings of classroom instruction are comparable (outcome).

## **Appendix I. What Changes in the Process Should Be Considered for Superintendents Serving More Than One School Committee?**

School committees and superintendents need to consider how to adapt the process for superintendents who serve more than one school committee. If the goal-setting process outlined in Step 2 is completed independently by each school committee, the resulting set of three to six goals from each committee may prove unwieldy. A similar problem is posed by the rubric review process through which committees establish priority Standards and Indicators and the relative weight that goal attainment will play in the evaluation process. If done separately by each committee, the rubric review process can leave the superintendent confronting competing, and possibly conflicting, priorities.

For both of these reasons, the school committees and superintendent should consider establishing a process through which the committees—all members or designated members of each—will meet publicly as a committee of the whole for the purpose of establishing the four to six goals and establishing any priorities that will guide the evaluation process. Some committees may conclude that it also makes sense to join together to conduct Step 5 of the process (End-of-Cycle Summative Evaluation) as well.

## **Appendix J. How Do the Open Meeting and Public Records Laws Affect the Superintendent Evaluation Process?**

The Attorney General has issued guidance in the form of responses to frequently asked questions concerning superintendent evaluations pursuant to the revised Open Meeting Law (c. 28, s. 18 2009).

### **1. May a public body perform an evaluation of an employee in executive session?**

No. Deliberations conducted for the explicit purpose of evaluating the professional competency of an individual may not occur during an executive session. See G.L. c.30A, s.21(a)(1). While conclusions drawn from deliberations about professional competency may be part of a deliberation for another executive session purpose, the evaluation of professional competency, itself, must occur during open session. For example, as part of the discussion in preparation for renegotiating a superintendent's contract, a school committee may wish to consider the results of an annual professional competency evaluation. The evaluation results may be considered as part of deliberations about strategy held in executive session, however, only after deliberations about professional competency were held during a previously convened open session.

### **2. Are individual evaluations completed by members of public bodies public records?**

Yes. The Open Meeting Law carves out an exception from the Public Records Law for "materials used in a performance evaluation of an individual bearing on his professional competence," that were created by members of a public body and used during a meeting. See G.L. c. 30A, s.22(e). Individual evaluations created and used by members of a public body for the purpose of evaluating an employee are public records. Comprehensive evaluations that aggregate the individual public body members' evaluations are also public records if they are used during the course of a meeting. However, evaluations conducted by individuals who are not members of public bodies are not public records. For example, the individual evaluations created by municipal employees in response to a request for feedback on the town administrator are not public records, provided the employees completed the evaluations are not also members of the public body tasked with evaluating the town administrator's professional competency.

### **3. May the individual evaluations of an employee be aggregated into a comprehensive evaluation?**

Yes. Members of a public body may individually create evaluations, and then submit them to an individual to aggregate into a master evaluation document to be discussed at an open meeting. Ideally, members of the public body should submit their evaluations for compilation to someone who is not a member of the public body, for example, an administrative assistant. If this is not a practical option, then the chair or other designated public body member may compile the evaluation. However, once the individual evaluations are submitted for aggregation there should be no deliberation among members of the public body regarding the content of the evaluations outside of an open meeting, whether in person or over email.

### **4. May a public body discuss issues relative to the salary of a public employee in executive session?**

It depends. Discussions of salary issues may only occur in executive session as part of a contract negotiation. See G.L. c.30A, s.21(a)(2), (3). Other discussions related to salary, such as a discussion about whether an employee's job performance merits a bonus or salary increase, must be conducted in open session.