Indiana Department of Education
SUPPORTING STUDENT SUCCESS

RISE
Evaluation and Development System

Evaluator and Principal Handbook

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Indiana Principal Evaluation: Public Law 90

The 2011 Education Agenda put students first by focusing on the individuals who most strongly influence student learning every day—teachers. Indiana is committed to effectively supporting teachers and to ensuring the success of every student. Doing so requires that every school in the state is led by effective principals, as these school leaders have a tremendous impact on both teacher effectiveness and student learning.

As a starting point for increasing principal effectiveness, we need fair, credible and accurate annual evaluations to differentiate principal performance and to support their professional growth. With the help of educators throughout the state, the Indiana Department of Education has developed an optional model evaluation system named RISE. Whether or not corporations choose to implement RISE, the Department's goal is to assist corporations in developing or adopting models that comply with Public Law 90, and are fair, credible, and accurate. Regardless of model or system, evaluations must:

- **Be Annual:** Every principal, regardless of experience, deserves meaningful feedback on their performance on an annual basis.

- **Focus on Student Growth and Achievement:** Evaluations should be student-focused. First and foremost, an effective principal creates the conditions for all students to make academic progress. A thorough evaluation system includes multiple measures of principal performance, and growth and achievement data must be one of the key measures.

- **Include Four Rating Categories:** To retain our best principals, we need a process that can truly differentiate the performance of our best school leaders, and give them the recognition they deserve. If we want all principals to perform at the highest level, we need to know which individuals are achieving the greatest success and give support to those who are new or struggling.

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Indiana's State Model on Principal Evaluation

Background/Context

RISE was designed to provide a quality system that local corporations can adopt in its entirety, or use as a model as they develop evaluation systems to best suit their local contexts. A representative group of teachers and leaders from across the state, along with staff from the Indiana Department of Education (IDOE), contributed to the development of the RISE principal evaluation system. These individuals dedicated their time and expertise to develop a system that represents excellence in leadership and serves to guide principal development.

A meaningful principal evaluation system reflects a set of core convictions about leadership. From the beginning, the Indiana Department of Education sought to design a model evaluation system focused on effective leadership practice and student outcomes. RISE was designed to be fair, accurate, transparent, and easy-to-use. The IDOE designed the RISE principal evaluation system based on four core beliefs about principal evaluation:

- **Principals matter.** There are two things that account for most of what schools contribute to increased student learning: teacher practice and principal practice. While individual teachers have the most significant impact on the students they serve, the school leadership plays a critical role in boosting teacher effectiveness and teacher satisfaction. Furthermore, research clearly points to principals as having a significant, independent effect on student learning.

- **The job of principals has changed.** Along with our understanding of the impact of principals, we have developed a more sophisticated understanding of the actions that principals take to drive higher levels of student achievement. RISE puts a premium on those actions in the evaluation of each and every principal.

- **Principal effectiveness needs to be recognized and emulated.** Unfortunately, many evaluations treat principals like interchangeable parts—rating nearly all principals the same and failing to give principals the accurate, useful feedback they need to do their best work in schools. We need to create an evaluation system that gives principals regular feedback on their performance, opportunities for professional growth, and recognition when they do exceptional work. We're committed to creating evaluations that are fair, accurate and consistent, based on multiple factors that paint a complete picture of each principal's success in leading his or her school to higher levels of performance.

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- **A new evaluation system will make a positive difference in principals' everyday lives.** Novice and veteran principals alike can look forward to detailed, constructive feedback, tailored to the individual needs of their schools and students. Principals and corporation leaders will meet regularly to discuss successes and areas for improvement, set professional goals, and create an individualized development plan to meet those goals.

Timeline for Development

The timeline below reflects the roll-out of the state model for principal evaluation. Public Law 90, passed in April of 2011, requires statewide implementation of new or modified evaluation systems compliant with the law by school year 2012-2013. To assist corporations in creating evaluation models of their own, the state piloted RISE in school year 2011-2012. This handbook reflects the refined model of the original system. Corporations may choose to adopt RISE entirely, draw on components from the model, or create their own system for implementation in school year 2012-2013. Though corporations are encouraged to choose the evaluation system that best meet the needs of their local schools and principals, in order to maintain consistency, only corporations that adopt the RISE system wholesale or make only minor changes may use the RISE label, and are thus considered by the Indiana Department of Education to be using a version of RISE. For a list of allowable modifications of the RISE system, see Appendix A.

Figure 1: Timeline for RISE design and implementation

* Note: Statewide implementation refers to corporations adopting new evaluations systems in line with Public Law 90 requirements. The RISE model is an option and serves as a resource for corporations, but is not mandatory.

Performance Level Ratings

Each principal will receive a rating at the end of the school year in one of four performance levels:

- **Highly Effective:** A *highly effective* principal consistently exceeds expectations. This is a principal who has demonstrated excellence, as determined by a trained evaluator, in locally selected competencies reasonably believed to be highly correlated with positive student learning outcomes. The students in the highly effective principal's school, on aggregate, have generally

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exceeded expectations for academic growth and achievement based on guidelines suggested by the Indiana Department of Education.

- **Effective**: An *effective* principal consistently meets expectations. This is a principal who has consistently met expectations, as determined by a trained evaluator, in locally selected competencies reasonably believed to be highly correlated with positive student learning outcomes. The students in the effective principal's school, on aggregate, have generally achieved an acceptable rate of academic growth and achievement based on guidelines suggested by the Indiana Department of Education.

- **Improvement Necessary**: A principal who is rated as *improvement necessary* requires a change in performance before he/she meets expectations. This is a principal who a trained evaluator has determined to require improvement in locally selected competencies reasonably believed to be highly correlated with positive student learning outcomes. On aggregate, the students in the school of a principal rated improvement necessary have generally achieved a below acceptable rate of academic growth and achievement based on guidelines suggested by the Indiana Department of Education.

- **Ineffective:** An *ineffective* principal consistently fails to meet expectations. This is a principal who has failed to meet expectations, as determined by a trained evaluator, in locally selected competencies reasonably believed to be highly correlated with positive student learning outcomes. The students in the ineffective principal's school, on aggregate, have generally achieved unacceptable levels of academic growth and achievement based on guidelines suggested by the Indiana Department of Education.

Overview of Components

The principal's role is a highly complex one. RISE relies on multiple sources of information to paint a fair, accurate, and comprehensive picture of a principal's performance. All principals will be evaluated on two major components:

1. **Professional Practice** – Assessment of leadership practices that influence student learning, as measured by competencies set forth in the Indiana Principal Effectiveness Rubric. All principals will be evaluated in the domains of Teacher Effectiveness and Leadership Actions.

2. **Student Learning** – A principal's contribution to student academic progress, assessed through multiple measures of student academic achievement and growth, including the A-F Accountability Model as well as progress towards specific Administrative Student Learning Objectives (SLOs) using state-, corporation-, or school-wide assessments.

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Evaluation of Other Administrators

The RISE Principal Evaluation and Development System (referred to simply as RISE through the rest of the document) was created with principals in mind and may not always be appropriate to use to evaluate other school or district administrators. Though certain components of RISE can be easily applied to individuals in other administrative positions, it is ultimately a corporation's decision whether or not to modify RISE or adapt a different evaluation system for these roles. Corporations that modify RISE or adapt a different system for administrators other than principals are still considered by the Indiana Department of Education to be using a version of RISE as long as they are using RISE for principals and this version of RISE meets the minimum requirements specified in Appendix A.

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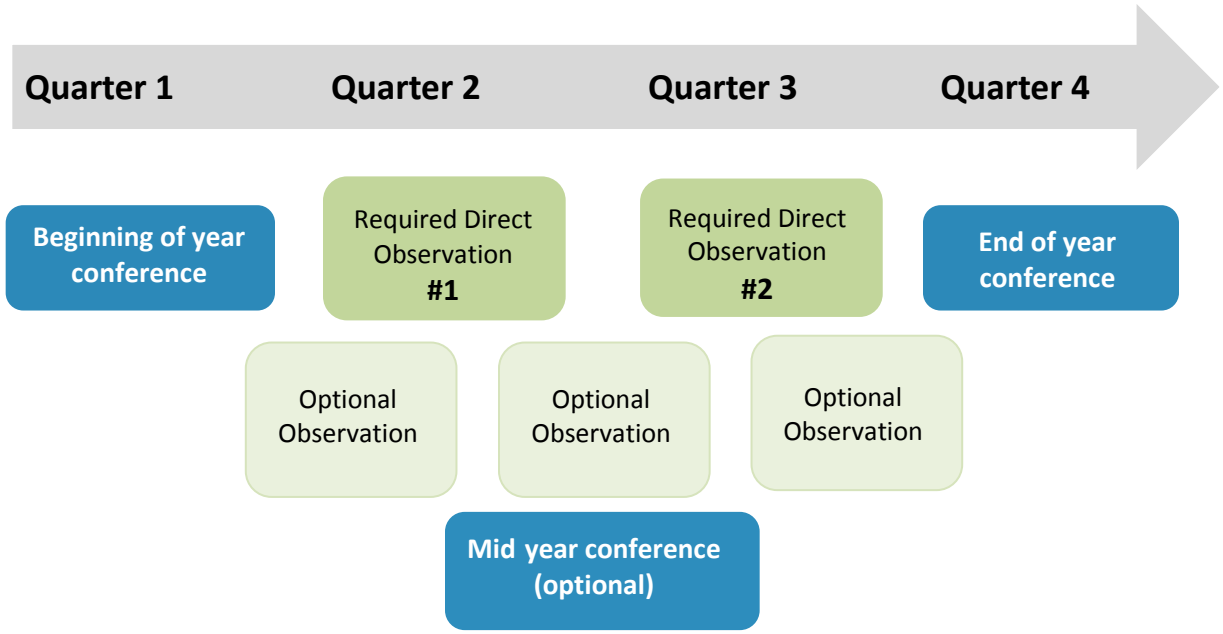
Timeline for Principal Evaluation

Evaluation is an annual process and tracks the arc of the school year, as shown in the figure below.

Figure 2: Sample Principal Evaluation Timeline



At the beginning of the year, the principal and evaluator meet for a **beginning-of-year conference**. This is an opportunity to discuss the principal's prior year performance, review the Administrative Student Learning Objectives written by the principal, and map out a plan for the year. Evaluators and principals should leave the conference with clarity on:

- The Administrative SLOs;
- The areas of practice that will be the focus for a principal's work and an evaluator's support throughout the year; and
- A plan for regular observation and feedback (with an understanding that the evaluator may visit unannounced as well).

Throughout the school year, the evaluator collects evidence, including two **required direct observations** and, preferably, numerous additional direct and indirect observations. Each of these observations is accompanied by feedback to the principal.

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A strongly recommended but optional element of RISE is a **mid-year conference**. Held in the middle of the year, this is an opportunity for the evaluator and principal meet to discuss performance thus far. Evaluators can prepare for this conference by reviewing observation notes and feedback to date, while the principal can use it as an opportunity to share interim student learning data that demonstrate progress toward accomplishment of Administrative SLOs.

In the spring, evaluators and principals meet for an **end-of-year conference**. This is an opportunity to review the principal's performance on all of the competencies of the Principal Effectiveness Rubric and, if available, data supporting the accomplishment of Administrative SLOs.

It is important to note that, depending on when all the data necessary for assigning a summative rating are available, either the beginning-of-year or end-of-year conference will also serve as a **summative conference**. This is when the evaluator shares his/her **summative rating** of the principal, reviewing the principal's areas of strengths and development for the year.

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Component 1: Professional Practice

Indiana Principal Effectiveness Rubric: Background and Context

The Principal Effectiveness Rubric was developed for four key purposes:

1. **To shine a spotlight on great leadership:** The rubric is designed to assist schools and districts in their efforts to increase principal effectiveness and ensure the equitable distribution of great leaders across the state.

2. **To provide clear expectations for principals:** The rubric defines and prioritizes the actions in which effective principals must engage to lead breakthrough gains in student achievement.

3. **To help principals and their managers identify areas of growth and development:** The rubric provides clear language differentiating levels of performance, so that principals can assess their own performance and identify priority areas for improvement in their practice.

4. **To support a fair and transparent evaluation of effectiveness:** The rubric provides the foundation for accurately assessing school leadership along four discrete proficiency ratings.

While drafting the Principal Effectiveness Rubric, the development team examined leadership frameworks from numerous sources, including:

- Achievement First's *Professional Growth Plan for School Principals*
- CHORUS's *Hallmarks of Excellence in Leadership*
- Clay Christensen's *Disrupting Class*
- Discovery Education's *Vanderbilt Assessment of Leadership in Education (VAL-ED)*
- Doug Reeves' *Leadership Performance Matrix*
- Gallup's *Principal Insight*
- ISLLC's *Educational Leadership Policy Standards*
- Kim Marshall's *Principal Evaluation Rubrics*
- KIPP's *Leadership Competency Model*
- Mass Insight's *HPHP Readiness Model*
- National Board's *Accomplished Principal Standards*
- New Leaders for New Schools' *Urban Excellence Framework*
- NYC Leadership Academy's *Leadership Performance Standards Matrix*
- Public Impact's *Turnaround Leaders Competencies*
- Todd Whitaker's *What Great Principals Do Differently*

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Indiana Principal Effectiveness Rubric: Overview

The rubric is divided into two domains – (1) Teacher Effectiveness and (2) Leadership Actions. Discrete competencies within each domain target specific areas upon which effective principals must focus.

Figure 3: Domains and Competencies

Domain 1: Teacher Effectiveness

1.1 Human Capital Manger
1.2 Instructional Leadership
1.3 Leading Indicators of Student Learning

Domain 2: Instruction

2.1 Personal Behavior
2.2 Building Relationships
2.3 Culture of Achievement

It is undeniable that a principal is required to wear many hats, from instructional leader and disciplinarian to budget planner and building manager. As the job becomes more demanding and complex, the question of how to fairly and effectively evaluate principals takes on greater importance.

In reviewing leadership frameworks as part of the development of the Principal Effectiveness Rubric, the goal was not to create a principal evaluation tool that would try to be all things to all people. Rather, the rubric focuses unapologetically on evaluating the principal's role as driver of student growth and achievement through their leadership skills and ability to manage teacher effectiveness in their buildings. Moreover, this focus reflects a strong belief that if a principal is evaluated highly on this particular instrument, he/she will likely be effective in areas not explicitly touched upon in the rubric such as school safety or school operations.

The Indiana Principal Effectiveness Rubric

In Appendix C of this handbook, you will find the Principal Effectiveness Rubric. Supporting observation and conference documents and forms can be found in Appendix B.

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Collecting Evidence on Principal Practice

In RISE, administrators who supervise principals will serve as the formal evaluators for principals. They will be responsible for approving the Administrative Student Learning Objectives set by principals, conducting observations, providing feedback, monitoring progress, and assigning final ratings (several of these steps are described in subsequent sections). This expectation stems from our belief that these administrators – usually superintendents and assistant superintendents – need to focus their role (as many already do) on developing leaders in their corporations. So, throughout this section, we refer to evaluators with these individuals in mind.

A Note about "Primary" and "Secondary" Evaluators: For those familiar with the use of "primary" and "secondary" evaluators in the RISE Teacher Evaluation System, there are some important differences to note in the RISE Principal Evaluation System. Principal supervisors, either superintendents or assistant superintendents, may ask other trained evaluators who have a record of effective school leadership to assist in the evaluation process by collecting *additional* evidence and providing feedback to principals. However, principal supervisors are responsible for collecting evidence themselves through the two required observations, and for reviewing all information collected throughout the year and determining a summative rating.

In order to accurately and comprehensively assess principal practice on the RISE Principal Effectiveness Rubric, evaluators should collect four types of evidence:

1. Direct observation – This involves observing the principal undertaking a wide range of possible actions (e.g., leading professional development sessions, debriefing with a teacher about a classroom observation, leading a data team meeting or a meeting to discuss next steps to support a struggling student, visiting classrooms, meeting with students individually or addressing groups of students, meeting with parents, etc.).

2. Indirect observation – This involves observing systems that clearly result from the principal's work but may operate without the principal present (e.g., grade level or department planning meetings, peer coaching sessions, visiting classrooms, etc.).

3. Artifacts – This involves reviewing written records of a principal's work (e.g., the school improvement plan, the master schedule, coaching records, teacher evaluation reports, etc.). Artifacts are often collected by the principal him/herself as part of the evaluation process.

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4. Data – This involves reviewing concrete results of a principal's work, including both leading indicators and direct evidence of student performance (e.g., interim assessment results, attendance and discipline data, stakeholder survey results).

Principal supervisors must directly observe principals at least two times over the course of the year, for at least 30 minutes per visit. Observations may be announced or unannounced and evaluators may choose to use their visits as an opportunity to collect other evidence, including indirectly observing key systems that the principal has established. After each required observation, the evaluator must, within five school days, provide written and oral feedback to the principal on what was observed, and how evidence maps to the rubric.

Evaluators should treat these observation requirements as a bare minimum and strive to observe principal practice – directly and indirectly – significantly more. In fact, while the minimum requirement is two observations in year one of RISE implementation, in future years RISE will likely require a higher number of observations. While other aspects of evaluation (e.g., collection of artifacts of practice) are important, the professional relationship forged through observation and substantive feedback is a critical feature of a strong evaluation system. While this represents a significant shift from current practice for many superintendents and principals, it is a shift that will have powerful effects on the quality of leadership and, by extension, on the instruction that students receive.

Figure 4: Principal Observation Requirements

Observation Type	Length (min.)	Frequency	Pre Conference	Post Conference	Written Feedback	Announced?
Required	30 min.	2/yr	Optional	Yes	Within 5 days	Optional
Optional	Varies	3/yr (suggested)	No	Optional (encouraged)	Optional (encouraged)	No

It is essential that during observations the evaluator take evidence-based notes, writing specific instances of what the principal and others said and did. The evidence that evaluators record during the observation should be non-judgmental, reflecting a clear and concise account of what occurred in the observation. The difference between evidence and judgment is highlighted in the examples in Figure 5 below for both direct and indirect observation.

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Figure 5: Evidence vs. Judgment

Evidence	Judgment
DIRECT OBSERVATION	
P: (During staff meeting): P discusses SLOs with teachers "… all teachers need to develop SLOs by themselves and keep them in their file till the end of the school year."	Principal doesn't promote collaboration and misunderstands the processes around SLOs.
INDIRECT OBSERVATION	
E: (At grade-level team meeting): T's have no written or stated objective for the meeting. T's express confusion about what they should be doing. T:"Let's discuss student behavior during recess"…	Principal has not effectively communicated expectations for how time is used in grade-level planning meetings

After the observation, the evaluator should take these notes and match them to the appropriate indicators on the rubric in order to provide the principal with rubric-aligned feedback during the post-conference. Although evaluators are not required to provide principals interim ratings on specific competencies after observations, the process of mapping specific evidence to indicators provides principals a good idea of their performance on competencies prior to the end-of-year conference. When mapping, evaluators should consider the evidence at the indicator level, focusing first on the "Effective" column in the rubric then moving up or down the performance levels as directed by the evidence. Figure 6 provides examples of documented evidence mapped to the appropriate indicators.

A word on collecting artifacts and reviewing data: Evaluators should collect enough evidence to help them make accurate professional judgments on the rubric, but should think carefully about the quality, alignment, and purpose of all evidence collected. Collecting large quantities of low-quality, poorly aligned evidence will only burden the principal and the evaluator.

Written artifacts should serve two purposes. First they can supplement observation, providing more evidence that is relevant to an observation. For example, using the direct observation evidence described in Figure 6, artifacts for the first example may include a schedule of RTI meetings or written documentation of the interventions and instructional strategies that were discussed. In the second example, the student performance data reviewed by the principal and teacher in addition to subsequent student performance data related to this concept would provide supporting evidence for the evaluator's rating of the principal for this indicator. As with direct and indirect observations, it is important to ensure that the artifacts and data that are collected align with the competencies and indicators against which the principal's performance is being evaluated. The second purpose of artifacts is to provide evidence on sections of the rubric that might be more difficult to observe directly.

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The same purposes apply to reviewing school data as evidence. For example, parent and teacher survey results often provide valuable evidence of a principal's practice across a range of competencies and sub-competencies in the rubric (some notable ones being 1.1.4: Leadership and Talent Development; 1.3.4: Instructional Time; 2.1.1: Professionalism; and 2.2.2: Communication).

Figure 6: Mapping Evidence to Indicators

Evidence	Indicator
E: Conduct RTI meetings weekly with grade level Ts and intervention teachers during their 45 minute planning time. P: "This is definitely multiple comprehension strategies; not that they wouldn't continue to practice all of those, but for the purpose of your targeted area it would simplify it to have a single focus. "	Orchestrating frequent and timely team collaboration for data analysis. (E – 2.3.3) Developing and supporting others in formulating action plans for immediate implementation that are based on data analysis. (E – 2.3.3)
E: Principal meets with T to review student performance data from an assessment over content delivered during the Ps last classroom observation. P: "The data show that your Ss understand how to identify the main idea of a paragraph. What do the data show regarding your Ss abilities to determine the meanings of complex words using contextual cues? T: Only my top Ss understood that concept. P: What adjustments can you make when you teach this concept to help all your Ss understand? Do you include all Ss in your check for understanding before moving on in the lesson?"	Frequently analyzing student performance data with teachers to drive instruction and evaluate instructional quality (E – 1.2.2) Providing prompt and actionable feedback to teachers aimed at improving student outcomes based on observations and student performance data. (E – 1.2.2)

Over the course of a school year, the collection of evidence should be significant. This has important implications for how information is maintained and how evaluators think about distilling information for purposes of feedback and ratings. On these fronts, here are some recommendations for evaluators:

- Consider establishing a regular (e.g., monthly) schedule for observation and feedback with principals, while also leaving room for unannounced visits.
- Hold a mid-year conference to assess progress and review actions steps, providing principals with an idea of where they stand and what they need to do to improve or accelerate progress.

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- Maintain a file (ideally electronic) for each principal and establish a process for others involved in a principal's evaluation to contribute information as appropriate; in doing so, it is important to be targeted in the collection of information, so as to avoid burdening principals and pulling them from critical leadership work.

Adjusting the Intensity of Evidence Collection

New principals and struggling principals will benefit from early and frequent feedback on their performance. It is expected that evaluators will collect more evidence on the practice of novice and struggling principals than is required for RISE or is typical for more veteran and more effective principals. Evaluators should adjust timing of observations and conferences to ensure all principals receive the support they need.

Novice and struggling principals are encouraged to complete a professional development plan (see the form in Appendix B) with the support of their evaluator. The plan is a tool for principals to assess their own performance and set development goals. Principals utilizing a professional development plan work with their evaluators to set goals at the beginning of the academic year. These goals are monitored and revised as necessary. Progress towards goals are formally discussed during a mid-year conference, at which point the evaluator and principal discuss the principal's performance thus far and adjust individual goals as necessary. Professional development goals should be directly tied to areas of improvement within the Principal Effectiveness Rubric. Although every principal is encouraged to set goals around his/her performance, only principals who score an "Ineffective" or "Improvement Necessary" on their summative evaluation the previous year are required to have a professional development plan monitored by an evaluator. This may also serve as the remediation plan specified in Public Law 90. When used as the remediation plan, the timeline for the plan can be no longer than 90 days, and the plans are required to use license renewal credits for professional development activities.

Principal Effectiveness Rubric: Scoring

At the end of the year, evaluators must determine a final principal effectiveness rubric rating and discuss this rating with principals during the end-of-year conference.

Assessing a principal's professional practice requires evaluators to constantly use their professional judgment. No observation rubric, however detailed, can capture all of the nuances in how principals lead, and synthesizing multiple sources of information into a final rating on a particular professional competency is inherently more complex than checklists or numerical averages. Accordingly, the Principal Effectiveness Rubric provides a comprehensive framework for observing a principal's practice that helps evaluators synthesize what they see in the school, while simultaneously encouraging evaluators to consider all information collected holistically.

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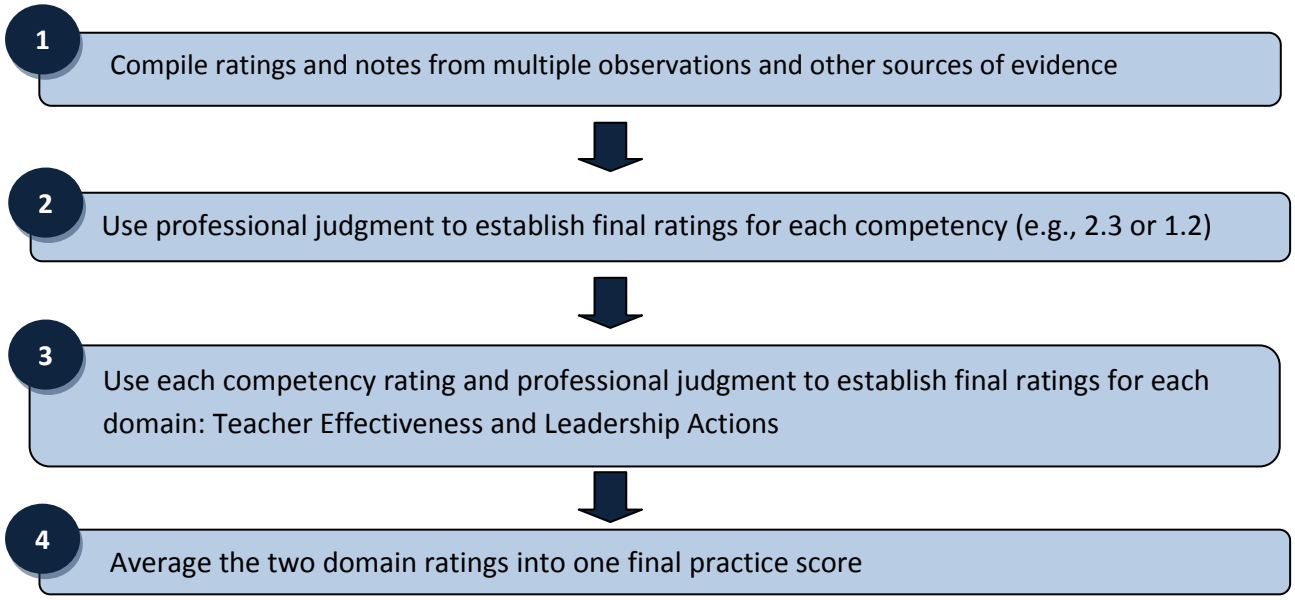
Evaluators must use professional judgment when assigning a principal a rating for each competency as well as when combining all competency ratings into a single, overall domain score. Using professional judgment, evaluators should consider the ways and extent to which a principal's practice grew over the year, the principal's response to feedback, how the principal adapted his or her practice to the current situation, and the many other appropriate factors that cannot be directly accounted for in the Principal Effectiveness Rubric before settling on a final rating. In short, evaluators' professional judgment bridges the best practices codified in the Principal Effectiveness Rubric and the specific context of a principal's school and students.

The final principal effectiveness rating will be calculated by the evaluator in a four step process:



Each step is described in detail below.

1 Compile ratings and notes from multiple observations and other sources of evidence

At the end of the school year, evaluators should have collected a body of evidence representing professional practice from throughout the year. They will need to devote time to reviewing all of these materials.

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2 Use professional judgment to establish final ratings for each competency (e.g., 2.3 or 1.2)

After collecting adequate evidence at the sub-competency level, the evaluator must assess where the principal falls within each competency and use professional judgment to assign ratings. At this point, the evaluator should have ratings for 6 competencies, as shown in this example:

Domain	Teacher Effectiveness			Leadership Actions		
Competency	Human Capital Manager	Instructional Leadership	Leading Indicators of Student Achievement	Personal Behavior	Building Relationships	Culture of Achievement
Competency Ratings	2 (IN)	3 (E)	3 (E)	3 (E)	2 (IN)	1 (IE)

3 Use each competency rating and professional judgment to establish final ratings for each domain: Teacher Effectiveness and Leadership Actions

It is not recommended that the evaluator average competency scores to obtain the final domain score, but rather use good judgment to decide which competencies matter the most for leaders in different contexts and how leaders have evolved over the course of the year.

Domain	Teacher Effectiveness			Leadership Actions		
Competency	Human Capital Manager	Instructional Leadership	Leading Indicators of Student Achievement	Personal Behavior	Building Relationships	Culture of Achievement
Competency Ratings	2 (IN)	3 (E)	3 (E)	3 (E)	2 (IN)	1 (IE)
Domain Ratings	3 (E)			2 (IN)		

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4 **Average the two domain ratings into one final practice score.**

At this point, two final domain ratings are summed and divided by two (since they are of equal weight) to form one score.

(3 + 2) / 2 = 2.5

2.5 is the final rubric/professional practice score

This final rubric/professional practice score is placed in the table below to convey a professional practice rating. In this case the rating of 2.5 translates to Improvement Necessary.

RISE Principal Effectiveness Rubric	Category	Points
	Highly Effective (HE)	4
	Effective (E)	3 or 3.5
	Improvement Necessary (I)	2 or 2.5
	Ineffective (IN)	1 or 1.5

The final, raw professional practice score feeds in to a larger calculation for an overall summative rating including school wide measures of student learning. This calculation is described below on pages 26-28.

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Component 2: Student Learning

Student Learning: Overview

Many parents' main question over the course of a school year is: "How much is my child learning?" Student learning is the ultimate measure of the success of a teacher, instructional leader, school, or district. To meaningfully assess the performance of an educator or a school, one must examine the growth and achievement of their students, using multiple measures.

Achievement is defined as meeting a uniform and pre-determined level of mastery on subject or grade level standards

- *Achievement* is a set point or "bar" that is the same for all students, regardless of where they begin

Growth is defined as improving skills required to achieve mastery on a subject or grade level standard over a period of time

- *Growth* differentiates mastery expectations based upon baseline performance.

Available Measures of Student Learning

There are multiple ways of assessing both growth and achievement. When looking at available data sources to measure student learning for purposes of evaluating principals, we must use measurements that:

- Are **accurate** in assessing student learning and school impact on student learning
- Provide **valuable and timely data** to drive instruction in classrooms and to drive instructional decision-making by principals and other school leaders
- Are **fair** to principals, given the school's grade span and subjects taught
- Are as **consistent** as possible across buildings
- Allow **flexibility** for districts, schools, and teachers to make key decisions surrounding the best assessments for their students

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Based on these criteria, RISE includes two student learning categories in the evaluation of principals: (1) A-F Accountability Grade and (2) Administrative Student Learning Objectives. Each is described below.

A-F Accountability Grade

As building leaders, principals are responsible for increasing student performance in all subject areas and, where relevant, maintaining high performance levels. Indeed, research consistently points to principals as second only to teachers among in-school influences on student achievement. In measuring student growth and achievement for principal evaluation, RISE fully aligns with the state's accountability system for schools. This has the very significant benefit of focusing principals' attention on the same student learning issues when considering school improvement as when considering their own evaluation. Specifically, principals will have a component of their evaluation score tied to school-wide student learning by aligning with Indiana's A-F accountability model. The A-F accountability model is based on several metrics of school performance, including the percent of students passing the math and ELA ISTEP+, IMAST, and ISTAR for elementary and middle schools, and Algebra I and English 10 ECA scores as well as graduation rates and college and career readiness for high schools. Additionally, school accountability grades may be raised or lowered based on participation rates and student growth (for elementary and middle schools) and improvement in scores (for high schools).The school A-F grades are calculated at the state-level and returned to the schools. For detailed information about the A-F accountability model, visit the IDOE website (http://www.doe.in.gov).

As shown in the table below, principals in schools earning an A will earn a 4 on this measure; principals in a B school will earn a 3; principals in a C school receive a 2; and principals who work in either a D or F school earn a 1 on this measure.

A F Grade	Category	Points
A	Highly Effective (HE)	4
B	Effective (E)	3
C	Improvement Necessary (I)	2
D or F	Ineffective (IN)	1

Administrative Student Learning Objectives

A key role of school leaders is to distill student performance data into a small set of ambitious but attainable student learning goals for their schools. Effective leaders work with their corporations and leadership teams to set these goals and they develop a rigorous school-wide assessment system (including but not limited to state tests) to measure their progress toward these goals.

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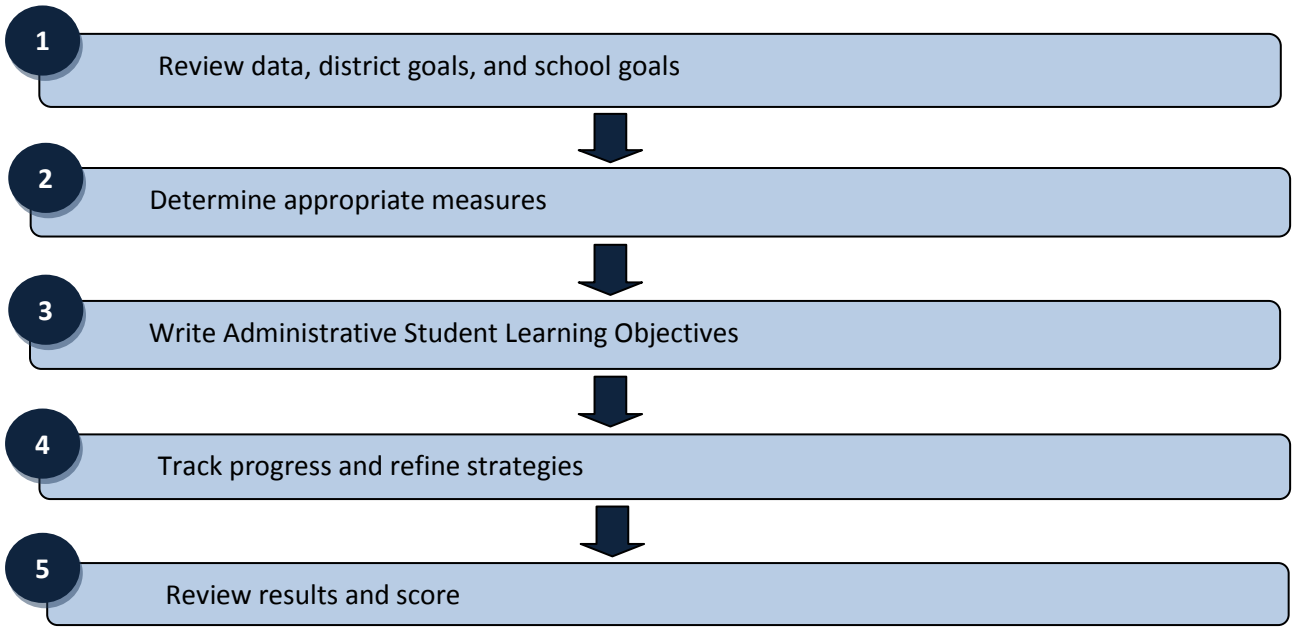
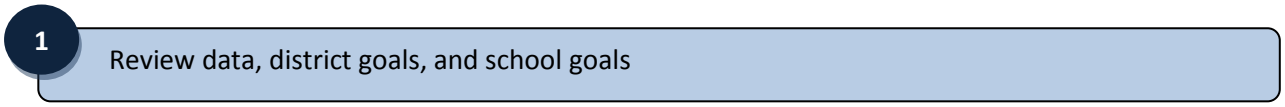
RISE asks principals to take this goal-setting process one step further and set Administrative Student Learning Objectives (SLOs) for themselves. Given a principal's role, these Administrative SLOs can be highly similar – even identical in some cases – to the goals set for the school. While the A-F Accountability Grade represents an index of performance across multiple areas, Administrative SLOs allow for principals to be assessed against their priority areas of growth in student learning.

In RISE, principals set **two** Administrative Student Learning Objectives at the beginning of the year and are measured by their progress against these objectives.

The process for setting Administrative Student Learning Objectives should follow five general steps:



Each of these steps is described below.



Once summative student achievement data are available for review, corporations should establish learning priorities for the next school year. It is then the principal's responsibility to review those priorities and their school-wide data (i.e., A-F grade, ISTEP/ECA data, subgroup performance, and other relevant data) and work with his/her school community to write a school improvement plan. The goals in the improvement plan should be a starting point for setting Administrative SLOs. Indeed, it is perfectly acceptable for a principal to use his/her school goals as the Administrative SLO's for evaluation purposes.

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2 Determine appropriate measures

Some possible student learning data sources around which a principal may set goals include: LAS Links, IMAST, Acuity, mCLASS, ECAs, common local assessments in social studies or science, other non-state-mandated assessments (NWEA, etc.), AP data, the ACT suite of assessments, The College Board (SAT) suite of assessments, industry certification assessments, and graduation rate. Principals and evaluators are strongly encouraged to carefully assess the rigor of available measures and to use measures well suited for evaluation purposes. One caution is to avoid measures that are explicitly designed for formative student assessment, since adding stakes to such assessments can work at cross purposes to their intended use.

Examples of data sources that are not considered as "student learning" measures include: attendance rates, discipline referral rates, survey results, or anything not based specifically on student academic achievement or growth.

3 Write Administrative Student Learning Objectives

An Administrative SLO is a long-term academic "SMART" goal that principals and evaluators set for groups of students. There is discretion in the content of the objective, so long as it meets these criteria:

- Must be measurable
- Must be collaboratively set by the principal and evaluator
- May be district or school based
- Must be based on student learning measures (student data)
- Can be growth/improvement or achievement
- May be based on the whole school population or subgroup populations

Using and extending the requirements above, principals should be able to answer these groups of questions affirmatively about each of their SLOs:

1. Is the SLO driving toward the same student learning outcomes that are spelled out in the school improvement plan? Do the school's baseline data suggest that the right groups of students are targeted for improvement or achievement?
2. Does the SLO name the specific assessment tool that will be used to measure student learning and is that assessment tool available to my school? Will I be able to track progress during the year?

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3. Do I know what strategies will be implemented in order to get the kind of improvement or achievement that is articulated in the SLO, and, as a result, would I characterize the SLO as ambitious and attainable?

Example Administrative Student Learning Objectives

Elementary & Middle School examples:

- At least 20 out of 35 English Learner students in grades 3-5 will increase one or more proficiency levels on the LAS links assessment.
- The bottom 25% of grade 6-8 students, based on last year's ISTEP+ scores, will increase their ISTEP ELA passing rates by 10%.
- 70% of K-2 students will score a proficient or above on IREADK-2.

High School examples:

- The graduation rate for the high school will increase at least 5%, reaching 80% graduation rate by the end of the school year.
- The number of students scoring a 3, 4, or 5 on any AP test will increase from 105 last year to 120 this year.
- The average score on the SAT tests taken from January through May by 10th-12th grade students will increase to 1175.
- The bottom 25% of 10th grade students will increase their average scores on the English 10 ECA by 10 points.
- The number of 10th-12th grade students gaining college credit in dual credit courses will increase from 20 to 35 by the end of the school year.
- The number of career and technical students gaining career-ready certificates will increase from 15 to 30 by the end of the school year.

Non-examples

- The attendance rate at the high school will increase from 75% to 85%.
- The number of average weekly referrals to the office will drop from 36 to 20.

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Once the principal writes his/her SLO's, the evaluator must review and approve them. In addition to asking the principal the same three groups of questions noted above, the evaluator should come to agreement with the principal about what it means to "meet," "not meet," and "exceed" the SLO. This is important for scoring.

Consider an example.

Administrative SLO	At least 20 out of 35 English Learner students in grades 3 5 will increase one or more proficiency levels on the LAS links assessment.
Exceeds	**30 or more** English Learner students increase by the amount specified
Meets	**Between 20 and 29** English Learner students increase by the amount specified
Does not meet	**Fewer than 20** English Learner students increase by the amount specified

4 Track progress and refine strategies

It is the principal's responsibility to track the data relevant to his/her SLO's and refine his/her leadership strategies accordingly. At the same time, evaluators should take opportunities to review progress on the SLOs during post-observation conferences and/or optional mid-year conferences. Central to this is a regular review of interim and formative data, which should be a part of the ongoing dialogue between a principal and an evaluator.

5 Review results and score

As shown in the table below, principals who exceed both goals earn a 4 on this measure; principals who meet both goals earn a 3; principals who meet one goal but not the other receive a 2; and principals who meet neither goal earn a 1 on this measure.

Expectation	Category	Points
Exceeds both goals	Highly Effective (HE)	4
Meets both goals, may exceed one	Effective (E)	3
Meets only one goal	Improvement Necessary (I)	2
Meets neither goal	Ineffective (IN)	1

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Summative Principal Evaluation Scoring

Review of Components

Each principal's summative evaluation score will be based on the following components and measures:

1. Professional Practice: Principals receive a summary rating on their practice as judged against the Principal Effectiveness Rubric. The final, raw rubric score is used in the summative scoring process.

2. Student Learning: Principals receive two student learning ratings

    a. One based on their A-F Accountability Grade, which will be determined at the state-level and returned to schools.
    b. One based on their Administrative Student Learning Objectives (SLOs), which will be scored at the local level by the evaluator.

The table below shows the points associated with each performance level on each of these measures.

Principal Effectiveness Rubric	Category	Points
	Highly Effective (HE)	4
	Effective (E)	3 or 3.5
	Improvement Necessary (I)	2 or 2.5
	Ineffective (IN)	1 or 1.5
A F Grade	**Category**	**Points**
A	Highly Effective (HE)	4
B	Effective (E)	3
C	Improvement Necessary (I)	2
D or F	Ineffective (IN)	1
Administrative SLOs	**Category**	**Points**
Exceeds both goals	Highly Effective (HE)	4
Meets both goals, may exceed one	Effective (E)	3
Meets only one goal	Improvement Necessary (I)	2
Meets neither goal	Ineffective (IN)	1

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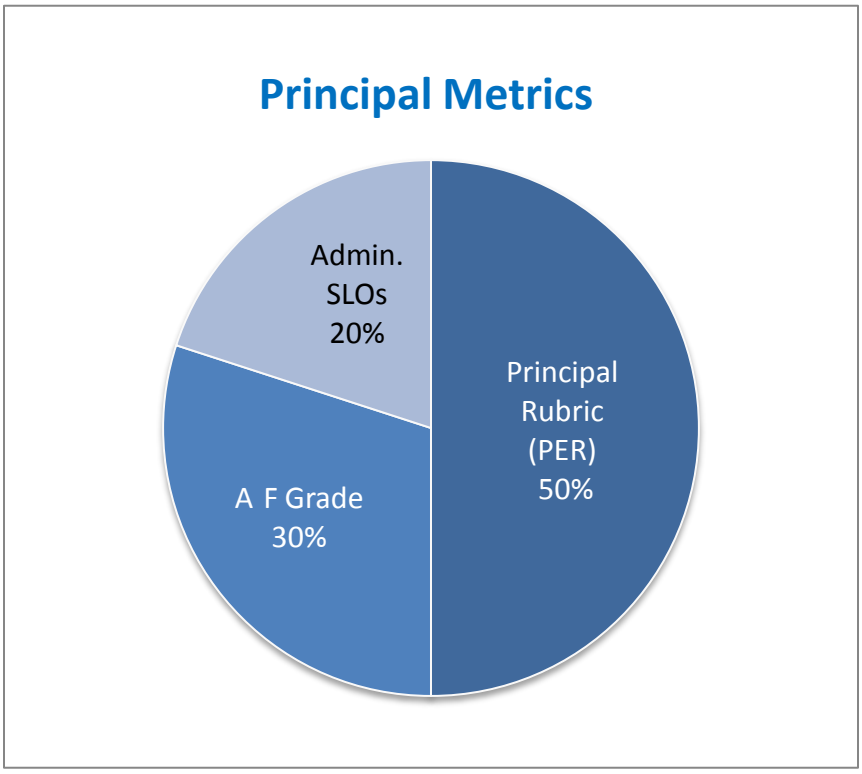
Weighting of Measures

For principals, Professional Practice (50%) and Student Learning (50%) are equally weighted, a recognition that effective practice and strong student learning results are both essential features of successful leadership.



Within the student learning portion, the A-F Accountability Grade (30%) is weighted more heavily than the Administrator Student Learning Objective Portion, a recognition of a principal's central responsibility in driving higher levels of student achievement school-wide.

To arrive at at a comprehensive effectiveness rating, the individual scores on the Principal Effectiveness Rubric, A-F Accountability Grade, and Administrative Student Learning Objectives and multiplied by their respective weights and summed.

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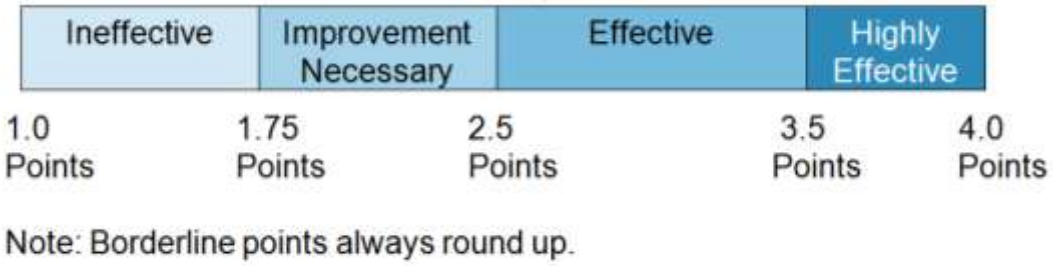
Below is an example of the weights applied for a principal who

- receives ratings of "Effective" on one domain of the rubric and "Improvement Necessary" on the other → Rubric rating = 2.5
- has a "B" grade on the state accountability system → A-F rating = 3
- Meets one Administrative SLO but not the other → Administrative SLO rating = 2

Example Summative Scoring Chart

	Raw Score	x	Weight	Score
Rubric Rating	**2.5**		0.50	**1.25**
A-F Accountability Grade (DOE)	**3**		0.30	**0.90**
Admin. SLO Rating	**2**		0.20	**0.40**
			Comprehensive Effectiveness Rating	**2.55**

This final weighted score is then translated into a rating on the following scale.



The score of 2.55 (from the example above) maps to a summative rating of "Effective." Evaluators should meet with principals in a summative conference to discuss all the information collected in addition to the final rating. A summative evaluation form to help guide this conversation is provided in Appendix B. The summative conference may occur at the end of the school year in the spring, or when principals return in the fall, depending on the availability of data for the individual principal.

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Frequently Asked Questions

Who can evaluate principals? A principal must be evaluated by his/her supervisor, who is usually a superintendent or assistant superintendent. Serving in this role means conducting the minimum number of observations, holding at least the required conferences, approving the Administrative SLOs, and assigning a summative rating. It also means being responsible for the professional growth of principals. Indeed, a major shift with RISE is an expectation that all principal supervisors prioritize their role as developers of leadership talent, as many already do.

What about "secondary" evaluators and/or peer evaluators? A principal supervisor can enlist others in the collection of evidence and can offer judgments on that evidence. But, these additional individuals should not perform any of the required functions in place of the evaluator. Superintendents may also want to create opportunities for principals to support the growth and development of their peers through informal or structured observations. In order to maintain trust within the professional community, superintendents should set clear expectations about how information gathered in this way will be used as part of a principal's evaluation.

RISE specifies a minimum of two observations (this year) but encourages more. How much is enough? Around the country, districts that have adopted a strong ethic around instructional leadership make the observation of principal practice a regular and ongoing occurrence. Principal supervisors should aspire to be in each school they supervise on a monthly basis, and more frequently if case-loads permit.

If I am collecting evidence at the sub-competency level, how do I roll up all of my evidence and judgments into ratings at the competency level? There is no formula for arriving at competency ratings. Evaluators should use their professional judgment and should consider where the preponderance of evidence lies. It is also useful to consider whether there are sub-competencies that have been the focus of a principal's practice; those may have particular weight in determining a competency rating.

Is an Administrative SLO the same as a Teacher SLO? They are similar in that both involve identifying relevant measures of student learning and setting targets for improvement or achievement based on available baseline data. However, there are important differences. While teachers are responsible for a subset of a school's students and often share responsibility with other teachers, principals are responsible for all students. In addition, while teacher SLO's are often particular to a teacher's subject matter, data relevant for principals are available across several subject areas. As a result, there is less complexity needed in the design of the process for writing Administrative SLOs than there is for teachers. For example, principals will not need to group students by levels of preparedness in order to write their Administrative SLOs.

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Glossary of RISE Terms

Achievement: Defined as meeting a uniform and pre-determined level of mastery on subject or grade level standards. Achievement is a set point or "bar" that is the same for all students, regardless of where they begin.

Administrative Student Learning Objective: A long-term academic goal, developed collaboratively between principals and evaluators, set to measure student growth and/or achievement.

Beginning-of-Year Conference: A conference in the fall during which a principal and evaluator discuss the principal's prior year performance and Professional Development Plan (if applicable). In some cases, this conference may double as the "Summative Conference" as well.

Competency: There are six competencies, or skills of an effective principal, in the Indiana Principal Effectiveness Rubric. These competencies are split between the two domains. Each competency has a list of observable indicators for evaluators to look for during an observation.

Domain: There are two domains, or broad areas of focus, included in the Indiana Principal Effectiveness Rubric: Teacher Effectiveness and Leadership Actions. Under each domain, competencies describe the essential skills of effective leadership practice.

End-of-Year Conference: A conference in the spring during which the principal and evaluator discuss the principal's performance on the Principal Effectiveness Rubric. In some cases, this conference may double as the "Summative Conference" as well.

Evaluator: The person responsible for evaluating a principal. Along with other evaluator-related responsibilities, the evaluator approves Professional Development Plans (when applicable) in the fall and assigns the summative rating in the spring. Principals' supervisors serve as evaluators.

Growth: Improving skills required to achieve mastery on a subject or grade-level standard over a period of time. Growth differentiates mastery expectations based on baseline performance.

Indiana Principal Effectiveness Rubric: The Indiana Principal Effectiveness Rubric includes six competencies in two domains: Teacher Effectiveness and Leadership Actions.

Indiana Evaluation Cabinet: A group of school administrators and educators from across the state who helped inform the design the RISE model, including the Indiana Principal Effectiveness Rubric.

Indicator: These are observable pieces of information for evaluators to look for during an observation. Indicators are listed for each performance area in each sub-competency in the Indiana Principal Effectiveness Rubric.

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ISTEP+: A statewide assessment measuring proficiency in Math and English Language Arts in grades 3-8, Social Studies in grades 5 and 7, and Science in grades 4 and 6. The Indiana Growth model uses ISTEP scores in Math and ELA to report student growth for these two subjects in grades 4-8.

Mid-Year Conference: An optional, but strongly recommended, conference in the middle of the year in which the evaluator and principal meet to discuss performance thus far.

Observation: A visit to a school to observe principal practice. Evaluators must undertake at least 2 direct observations, of a minimum of 30 minutes each, in a given school year. Required observations can be announced or unannounced, and are accompanied by mandatory post-conferences including written feedback within five school days of the observation. Evaluators should also undertake indirect observations to assess the systems that principals have put in place.

Post-Conference: A mandatory conference that takes place after a required observation during which the evaluator provides rubric-aligned feedback to the principal.

Professional Development Goals: These goals, identified through self-assessment and review of prior evaluation data, are the focus of the principal's Professional Development Plan over the course of the year. Each goal will be specific and measurable, with clear benchmarks for success.

Professional Development Plan: The individualized plan for professional development based on prior performance. Each plan consists of Professional Development Goals and clear action steps for how each goal will be met. The only principals in RISE who must have a Professional Development Plan are those who received a rating of Improvement Necessary or Ineffective the previous year.

Professional Judgment: An evaluator's ability to look at evidence and make an informed decision on a principal's performance without a set calculation in place. Evaluators will be trained on using professional judgment to make decisions.

Professional Practice: Professional Practice is the first of two major components of the summative evaluation score (the other is Student Learning). This component consists of information gathered through observations using the Indiana Principal Effectiveness Rubric and conferences during which evaluators and principals may review additional materials.

Student Learning: Student Learning is the second major component of the summative evaluation score (the first is Professional Practice). Student Learning is measured by a school's A-F Grade and accomplishment of Administrative Student Learning Objectives.

Sub-competency: There are 23 sub-competencies distributed across the six competencies in the RISE Principal Effectiveness Rubric. Each sub-competency is a discrete concept that is part of the overarching competency, but can be measured across the four levels of performance in the rubric.

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Summative Conference: A conference where the evaluator and principal discuss performance from throughout the year leading to a summative rating. This may occur in the spring if all data is available for scoring (coinciding with the End-of-Year Conference), or in the fall if pertinent data is not available until the summer (coinciding with the Beginning-of-Year Conference).

Summative Rating: The final summative rating is a combination of a principal's Professional Practice rating and the measures of Student Learning. The final score is mapped on to a point scale. The points correspond to the four summative ratings: Highly Effective, Effective, Improvement Necessary, and Ineffective.

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Appendix A – Allowable Modifications to RISE

Corporations that follow the RISE guidelines and use both this resource and the Principal Effectiveness Rubric (PER) exactly as written are considered to be using the *RISE Indiana Principal Evaluation System*. This RISE principal system should be considered separate from the *RISE Indiana Teacher Evaluation System.*

If a corporation chooses to make minor edits to the RISE principal system from the minimum requirements stated below, the system must then be titled "(Corporation name) RISE for Principals," and should be labeled as such on all materials. These minimum requirements for the RISE principal system are as follows:

Professional Practice Component

- Use of the Principal Effectiveness Rubric (PER) with all domains and competencies
- Scoring weights for both Professional Practice domains (50% each domain)

Measures of Student Learning

- Two measures of student learning as outlined in the RISE principal system (A-F Accountability and Administrative Student Learning Objectives)
- All minimum requirements around Administrative Student Learning Objectives, including:
    1. Have two goals
    2. Must be measurable
    3. Must be collaboratively set by administrator and evaluator
    4. May be district or school based
    5. Must be based on student learning measures (student data)
    6. Can be growth or achievement
    7. May be based on the whole school population or subgroup populations

Summative Scoring

- Weights assigned to components of the summative model

If a corporation chooses to deviate from any of the minimum requirements of the most recent version of the RISE principal evaluation system (found at www.riseindiana.org), the corporation may no longer use the name "RISE." Corporations can give any alternative title to their system, and may choose to note that the system has been "adapted from Indiana RISE."

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Appendix B – Optional Observation and Conferencing Forms

All forms in this appendix are optional and are not required to be used when implementing RISE. Although evaluators should use a form that best fits their style, some types of forms are better than others. For example, the best observation forms allow space for observers to write down clear evidence of principal practice. One such form is included below, but there are many other models/types of forms that may be used. Using checklists for observation purposes is not recommended, however, as this does not allow the evaluator to clearly differentiate between four levels of performance with supporting evidence.

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Optional Observation Mapping Form

Note: It is not expected that every competency be observed during every observation. This form may be used for formal or informal observations per evaluator preference.

SCHOOL: _____ OBSERVER:_____

PRINCIPAL: _____ OBSERVATION SETTING:_____

DATE OF OBSERVATION: _____ START TIME:_____ END TIME: _____

1.1 HUMAN CAPITAL MANAGER	
Evidence	**Indicator**
1.2 INSTRUCTIONAL LEADERSHIP	
Evidence	**Indicator**
1.3 LEADING INDICATORS OF STUDENT ACHIEVEMENT	
Evidence	**Indicator**

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2.1 PERSONAL BEHAVIOR	
Evidence	**Indicator**
2.2 BUILDING RELATIONSHIPS	
Evidence	**Indicator**
2.3. CULTURE OF ACHIEVEMENT	
Evidence	**Indicator**

OVERALL STRENGTHS:	OVERALL AREAS OF IMPROVEMENT:

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Optional Post-Observation Form - Evaluators

Instructions: The primary post-observation document should simply be a copy of the observation notes taken during the observation. This form is designed to summarize and supplement the notes.

SCHOOL: _____ OBSERVER:_____

PRINCIPAL: _____ OBSERVATION SETTING:_____

DATE OF OBSERVATION: _____ START TIME:_____ END TIME: _____

Domain 1: Areas of Strength Observed (identify specific competencies):

Domain 1: Areas for Improvement Observed (identify specific competencies):

Domain 2: Areas of Strength Observed (identify specific competencies):

Domain 2: Areas for Improvement Observed (identify specific competencies):

Action Steps for Improvement:

This section should be written by the principal and evaluator during the post-conference.

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Optional Mid-Year Conference Form

SCHOOL: _____ EVALUATOR: _____

PRINCIPAL: _____ DATE: _____

Note: Mid-year check-in conferences are optional for any principal without a professional development plan, but can be helpful for evaluators to assess what information still needs to be collected, and for principals to understand how they are performing thus far. It should be understood that the mid-year rating is only an assessment of the first part of the year and does not necessarily correspond to the end-of-year rating. If there has not yet been enough information to give a mid-year rating, circle N/A.

Number of Observations Prior to Mid-Year Check-in: _____

Domain 1: Teacher Effectiveness	**Mid-Year Assessment of Domain 1**
1.1 Human Capital Manger 1.2 Instructional Leadership 1.3 Leading Indicators of Student Learning	
Mid-Year Rating (Circle One)	**4 – High. Eff. 3 – Eff. 2- Improv. Nec 1 – Ineff. N/A**
Domain 2: Leadership Actions	**Mid-Year Assessment of Domain 2**
2.1 Personal Behavior 2.2 Building Relationships 2.3 Culture of Achievement	
Mid-Year Rating (Circle One)	**4 – High. Eff. 3 – Eff. 2- Improv. Nec 1 – Ineff. N/A**

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Optional Summative Rating Form

SCHOOL: _____ EVALUATOR: _____

PRINCIPAL: _____ DATE: _____

Principal Effectiveness Rubric Scoring

Domain 1: Teacher Effectiveness	**Competency Rating**	**Final Assessment of Domain 1 (Comments)**
1.1 Human Capital Manager 1.2 Instructional Leadership 1.3 Leading Indicators of Student Learning	1.1: _____ 1.2: _____ 1.3: _____	
Final Domain Rating (Circle One)		**4 – High. Eff. 3 – Eff. 2- Improv. Nec 1 – Ineff.**
Domain 2: Leadership Actions	**Competency Rating**	**Final Assessment of Domain 2 (Comments)**
2.1 Personal Behavior 2.2 Building Relationships 2.3 Culture of Achievement	2.1: _____ 2.2: _____ 2.3: _____	
Final Domain Rating (Circle One)		**4 – High. Eff. 3 – Eff. 2- Improv. Nec 1 – Ineff.**

Domain 1 Rating	+	Domain 2 Rating	/2 =	Final Rating
	+		/2 =	

Student Learning Scoring

A-F Accountability Grade	
Grade (A, B, C, D, or F)	Points (A=4, B=3, C=2, D or F=1)
Administrative SLO	
SLO 1 Rating (Circle One)	Exceeded Met Did Not Meet
SLO 2 Rating (Circle One)	Exceeded Met Did Not Meet
Points	
Key for Points: Exceed both=4; Meets both=3; Meets only one=2; Meets neither=1	

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Final Rating

	Raw Score	x	Weight	Score
Rubric Rating			0.50	
A-F Accountability Grade (DOE)			0.30	
Admin. SLO Rating			0.20	
			Comprehensive Effectiveness Rating	

Final Summative Evaluation Score: _____

Use the chart below and the Final Summative Evaluation Score to determine the principal's final rating.

Ineffective	Improvement Necessary	Effective	Highly Effective

1.0 Points | 1.75 Points | 2.5 Points | 3.5 Points | 4.0 Points

Note: Borderline points always round up.

Final Summative Rating:

☐ **Ineffective** ☐ **Improvement Necessary**

☐ **Effective** ☐ **Highly Effective**

Principal Signature

I have met with my evaluator to discuss the information on this form and have received a copy.

Signature: _____ Date: _____

Evaluator Signature

I have met with this Principal to discuss the information on this form and provided a copy.

Signature: _____ Date: _____

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Optional Professional Development Plan

Using relevant student learning data, evaluation feedback and previous professional development, establish areas of professional growth below. Although there are not a required number of goals in a professional development plan, you should set as many goals as appropriate to meet your needs. In order to focus your efforts toward meeting all of your goals, it will be best to have no more than three goals at any given time. Each of your goals is important but you should rank your goals in order of priority. On the following pages, complete the growth plan form for each goal.

Goal	**Achieved?**
1.	
2.	
3.	

Name:			
School:			
Date Developed:		**Date Revised:**	
Evaluator Approval	*X*		

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Professional Growth Goal #1						
Overall Goal: *Using your most recent evaluation, identify a professional growth goal below. Identify alignment to rubric (domain and competency).*	Action Steps: *Include specific and measurable steps you will take to improve.*	Benchmarks and Data: *Set benchmarks to check your progress throughout the improvement timeline (no more than 90 school days for remediation plans). Also, include data you will use to ensure your progress is adequate at each benchmark.*				Evidence of Achievement: *How do you know that your goal has been met?*
	Action Step 1	__/__/__	__/__/__	__/__/__	__/__/__	
		Data:	Data:	Data:	Data:	
	Action Step 2	__/__/__	__/__/__	__/__/__	__/__/__	
		Data:	Data:	Data:	Data:	

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Professional Growth Goal #2						
Overall Goal: *Using your most recent evaluation, identify a professional growth goal below. Identify alignment to rubric (domain and competency).*	Action Steps: *Include specific and measurable steps you will take to improve.*	Benchmarks and Data: *Set benchmarks to check your progress throughout the improvement timeline (no more than 90 school days for remediation plans). Also, include data you will use to ensure your progress is adequate at each benchmark.*				Evidence of Achievement: *How do you know that your goal has been met?*
	Action Step 1	__/__/__	__/__/__	__/__/__	__/__/__	
		Data:	Data:	Data:	Data:	
	Action Step 2	__/__/__	__/__/__	__/__/__	__/__/__	
		Data:	Data:	Data:	Data:	

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Professional Growth Goal #3						
Overall Goal: *Using your most recent evaluation, identify a professional growth goal below. Identify alignment to rubric (domain and competency).*	Action Steps: *Include specific and measurable steps you will take to improve.*	Benchmarks and Data: *Set benchmarks to check your progress throughout the improvement timeline (no more than 90 school days for remediation plans). Also, include data you will use to ensure your progress is adequate at each benchmark.*				Evidence of Achievement: *How do you know that your goal has been met?*
	Action Step 1	__/__/__	__/__/__	__/__/__	__/__/__	
		Data:	Data:	Data:	Data:	
	Action Step 2	__/__/__	__/__/__	__/__/__	__/__/__	
		Data:	Data:	Data:	Data:	

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Appendix C – Indiana Principal Effectiveness Rubric

On the following page, you will find the Indiana Principal Effectiveness Rubric.

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RISE
Evaluation and Development System

Indiana Department of Education

Indiana Principal Effectiveness Rubric

Domain 1: Teacher Effectiveness

Great principals know that teacher quality is the most important in-school factor relating to student achievement. Principals drive effectiveness through (1) their role as a human capital manager and (2) by providing instructional leadership. Ultimately, principals are evaluated by their ability to drive teacher development and improvement based on a system that credibly differentiates the performance of teachers based on rigorous, fair definitions of teacher effectiveness.

Competency		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
1.1 Human Capital Manager					
1.1.1	**Hiring and retention**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Monitoring the effectiveness of the systems and approaches in place used to recruit and hire teachers; – Demonstrating the ability to increase the entirety or significant majority of teachers' effectiveness as evidenced by gains in student achievement and teacher evaluation results; – Articulating, recruiting, and leveraging the personal characteristics associated with the school's stated vision (i.e. diligent individuals to fit a rigorous school culture).	**Principal recruits, hires, and supports teachers by:** – Consistently using teachers' displayed levels of effectiveness as the primary factor in recruiting, hiring, and assigning decisions; – Demonstrating ability to increase most teachers' effectiveness as evidenced by gains in student achievement and growth; – Aligning personnel decisions with the vision and mission of the school. –	**Principal recruits, hires, and supports effective teachers by:** – Occasionally using teachers' displayed levels of effectiveness as the primary factor in recruiting, hiring, and assigning decisions OR using displayed levels of effectiveness as a secondary factor; – Demonstrating ability to increase some teachers' effectiveness; – Occasionally applying the school's vision/mission to HR decisions.	**Principal <u>does not</u> recruit, hire, or support effective teachers who share the school's vision/mission by:** – Rarely or never using teacher effectiveness as a factor in recruiting, hiring, or assigning decisions[1]; – Rarely or never demonstrating the ability to increase teachers' effectiveness by moving teachers along effectiveness ratings; – Rarely or never applying the school's vision/mission to HR decisions.
1.1.2	**Evaluation of teachers**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Monitoring the use of time and/or evaluation procedures to consistently improve the evaluation process.	**Principal prioritizes and applies teacher evaluations by:** – Creating the time and/or resources necessary to ensure the accurate evaluation of every teacher in the building; – Using teacher evaluations to credibly differentiate the performance of teachers as evidenced by an alignment between teacher evaluation results and building-level performance; – Following processes and procedures outlined in the corporation evaluation plan for all staff members	**Principal prioritizes and applies teacher evaluations by:** – Creating insufficient time and/or resources necessary to ensure the accurate evaluation of every teacher in the building; – Using teacher evaluations to partially differentiate the performance of teacher; – Following most processes and procedures outlined in the corporation evaluation plan for all staff members.	**Principal <u>does not</u> prioritize and apply teacher evaluations by:** – Failing to create the time and/or resources necessary to ensure the accurate evaluation of every teacher in the building; – Rarely or never using teacher evaluation to differentiate the performance of teachers ; – Failing to follow all processes and processes outlined in the corporation evaluation plan for staff members.

[1] For new teachers, the use of student teaching recommendations and data results is entirely appropriate.

Competency		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
1.1.3	**Professional development**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Frequently creating learning opportunities in which highly effective teachers support their peers; – Monitoring the impact of implemented learning opportunities on student achievement; – Efficiently and creatively orchestrating professional learning opportunities in order to maximize time and resources dedicated to learning opportunities.	**Principal orchestrates professional learning opportunities by:** – Providing learning opportunities to teachers aligned to professional needs based on student academic performance data and teacher evaluation results; – Providing learning opportunities in a variety of formats, such as instructional coaching, workshops, team meetings, etc. – Providing differentiated learning opportunities to teachers based on evaluation results.	**Principal orchestrates aligned professional learning opportunities tuned to staff needs by:** – Providing generalized learning opportunities aligned to the professional needs of some teachers based on student academic performance data; – Providing learning opportunities with little variety of format; – Providing differentiated learning opportunities to teachers in some measure based on evaluation results.	**Principal <u>does not</u> orchestrate aligned professional learning opportunities tuned to staff needs by:** – Providing generic or low-quality learning opportunities unrelated to or uninformed by student academic performance data; – Providing no variety in format of learning opportunities; – Failing to provide professional learning opportunities based on evaluation results.
1.1.4	**Leadership and talent development**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Encouraging and supporting teacher leadership and progression on career ladders; – Systematically providing opportunities for emerging leaders to distinguish themselves and giving them the authority to complete the task; – Recognizing and celebrating emerging leaders.	**Principal develops leadership and talent by:** – Designing and implementing succession plans (e.g. career ladders) leading to every position in the school; – Providing formal and informal opportunities to mentor emerging leaders; – Promoting support and encouragement of leadership and growth as evidenced by the creation of and assignment to leadership positions or learning opportunities.	**Principal develops leadership and talent by:** – Designing and implementing succession plans (e.g. career ladders) leading to some positions in the school; – Providing formal and informal opportunities to mentor some, but not all, emerging leaders; – Providing moderate support and encouragement of leadership and growth as evidenced by assignment to existing leadership positions without expanding possible positions to accommodate emerging and developing leaders.	**Principal <u>does not</u> develop leadership and talent by:** – Rarely or never designing and implementing succession plans (e.g. career ladders leading to positions in the school; – Rarely or never provides mentorship to emerging leaders; – Providing no support and encouragement of leadership and growth; – Frequently assigns responsibilities without allocating necessary authority.
1.1.5	**Delegation**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Encouraging and supporting staff members to seek out responsibilities; – Monitoring and supporting staff in a fashion that develops their ability to manage tasks and responsibilities.	**Principal delegates tasks and responsibilities appropriately by:** – Seeking out and selecting staff members for increased responsibility based on their qualifications, performance, and/or effectiveness; – Monitoring the progress towards success of those to whom delegations have been made; – Providing support to staff members as needed.	**Principal delegates tasks and responsibilities appropriately by:** – Occasionally seeking out and selecting staff members for increased responsibility based on their qualifications, performance and/or effectiveness; – Monitoring completion of delegated tasks and/or responsibilities, but not necessarily progress towards completion; – Providing support, but not always as needed.	**Principal <u>does not</u> delegate tasks and responsibilities appropriately by:** – Rarely or never seeking out and selecting staff members for increased responsibility based on their qualifications, performance, and/or effectiveness; – Rarely or never monitoring completion of or progress toward delegated task and/or responsibility; – Rarely or never providing support.

Competency		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
1.1.6	**Strategic assignment**[2]	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Leveraging teacher effectiveness to further generate student success by assigning teachers and staff to professional learning communities or other teams that compliment individual strengths and minimize weaknesses.	**Principal uses staff placement to support instruction by:** – Strategically assigning teachers and staff to employment positions based on qualifications, performance, and demonstrated effectiveness (when possible) in a way that supports school goals and maximizes achievement for all students; – Strategically assigning support staff to teachers and classes as necessary to support student achievement.	**Principal uses staff placement to support instruction by:** – Systematically assigning teachers and staff to employment positions based on several factors without always holding student academic needs as the first priority in assignment when possible.	**Principal <u>does not</u> use staff placement to support instruction by:** – Assigning teachers and staff based to employment positions purely on qualifications, such as license or education, or other determiner not directly related to student learning or academic needs.
1.1.7	**Addressing teachers who are in need of improvement or ineffective**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Staying in frequent communication with teachers on remediation plans to ensure necessary support; – Tracking remediation plans in order to inform future decisions about effectiveness of certain supports.	**Principal addresses teachers in need of improvement or ineffective by:** – Developing remediation plans with teachers rated as ineffective or in need of improvement; – Monitoring the success of remediation plans; – Following statutory and contractual language in counseling out or recommending for dismissal ineffective teachers.	**Principal addresses teachers in need of improvement or ineffective by:** – Occasionally monitoring the success of remediation plans; – Occasionally following statutory and contractual language in counseling out or recommending for dismissal ineffective teachers.	**Principal <u>does not</u> address teachers in need of improvement or ineffective by:** – Occasionally, rarely or never developing remediation plans with teachers rated as ineffective or in need of improvement; – Rarely or never monitoring the success of remediation plans; – Rarely or never following statutory and contractual language in counseling out or recommending for dismissal ineffective teachers.

[2] This indicator obviously assumes there is ability of leader to make these decisions.

Competency		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
1.2 Instructional Leadership					
1.2.1	**Mission and vision**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Defining long, medium, and short-term application of the vision and/or mission; – Monitoring and measuring progress toward the school's vision and/or mission; – Frequently revisiting and discussing the vision and/or mission to ensure appropriateness and rigor; – Cultivating complete commitment to and ownership of the school's vision and/or mission fully within the school and that spreads to other stakeholder groups.	**Principal supports a school-wide instructional vision and/or mission by:** – Creating a vision and/or mission based on a specific measurable, ambitious, rigorous, and timely; instructional goal(s); – Defining specific instructional and behavioral actions linked to the school's vision and/or mission; – Ensuring all key decisions are aligned to the vision and/or mission; – Cultivating commitment to and ownership of the school's vision and/or mission within the majority of the teachers and students, as evidenced by the vision/mission being communicated consistently and in a variety of ways, such as in classrooms and expressed in conversations with teachers and students.	**Principal supports a school-wide instructional vision and/or mission by:** – Creating a vision and/or mission based on a specific measurable, ambitious, rigorous, and timely; instructional goal(s); – Making significant key decisions without alignment to the vision and/or mission; – Cultivating a level of commitment to and ownership of the school's vision and/or mission that encapsulates some, but not all, teachers and students.	**Principal <u>does not</u> support a school-wide instructional vision and/or mission by:** – Failing to adopt a school-wide instructional vision and/or mission; – Defining a school-wide instructional vision and/or mission that is not applied to decisions; – Implementing a school-wide instructional vision without cultivating commitment to or ownership of the vision and/or mission, as evidenced by a lack of student and teacher awareness.
1.2.2	**Classroom observations**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Creating systems and schedules ensuring all teachers are frequently observed, and these observations are understood by the principal, teachers, and students to be an absolute priority; – Monitoring the impact of feedback provided to teachers.	**Principal uses classroom observations to support student academic achievement by:** – Visiting all teachers frequently (announced and unannounced) to observe instruction; – Frequently analyzing student performance data with teachers to drive instruction and evaluate instructional quality; – Providing prompt and actionable feedback to teachers aimed at improving student outcomes based on observations and student performance data.	**Principal uses classroom observations to support student academic achievement by:** – Occasionally visiting teachers to observe instruction; – Occasionally analyzing student performance data to drive instruction evaluate instructional quality; – Providing inconsistent or ineffective feedback to teachers and/or that is not aimed at improving student outcomes.	**Principal uses classroom observations to support student academic achievement by:** – Rarely or never visiting teachers to observe instruction; – Rarely or never analyzing student performance data OR lacking ability to derive meaning from analysis of data; – Rarely or never providing feedback to teachers or consistently providing feedback to teachers that is completely unrelated to student outcomes.
1.2.3	**Teacher collaboration**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Monitoring collaborative efforts to ensure a constant focus on student learning; – Tracking best collaborative practices to solve specific challenges; – Holding collaborating teams accountable for their results.	**Principal supports teacher collaboration by:** – Establishing a culture of collaboration with student learning and achievement at the center as evidenced by systems such as common planning periods; – Encouraging teamwork, reflection, conversation, sharing, openness, and collective problem solving; – Aligning teacher collaborative efforts to the school's vision/mission.	**Principal supports teacher collaboration by:** – Establishing a culture of collaboration without a clear or explicit focus on student learning and achievement; – Supporting and encouraging teamwork and collaboration in a limited number of ways; – Occasionally aligning teacher collaborative efforts to instructional practices.	**Principal <u>does not</u> support teacher collaboration by:** – Failing to establish or support a culture of collaboration through not establishing systems such as common planning periods; – Discouraging teamwork, openness, and collective problem solving by failing to provide staff with information pertaining to problems and/or ignoring feedback; – Rarely or never aligning teacher collaborative efforts to instructional practices.

Competency		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
1.3 Leading Indicators of Student Learning					
1.3.1	**Planning and Developing Student Learning Objectives**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Utilizing SLOs as the basis of school-wide goals, and/or the vision and mission; – Communicating with community members, parents, and other stakeholders the purpose and progress towards SLOs; – Ensuring students are aware of and can communicate the academic expectations inherent in teacher SLOs; – Empowering teachers, staff, and students to participate in the monitoring of progress towards SLOs; – Revisiting the use and design of teacher and school-wide tracking tools.	**Principal supports the planning and development of Student Learning Objectives (SLOs) by:** – Organizing and leading opportunities for collaboration within departments and across grades in developing SLOs; – Collaborating with teachers to identify standards or skills to be assessed; – Collaborating with teachers to develop/select assessments to evaluate overall student progress; utilizing assessments that accurately and reliably measure student learning; – Helping teachers to assess baseline student data to drive the development of SLOs that appropriately take students' starting points into account; – Systematically working with teachers to monitor and revisit SLOs throughout year as necessary. – Utilizing a tracking tool to monitor school-wide progress on SLOs; – Ensuring teachers utilize a tracking tool to show student progress towards SLOs.	**Principal supports the creation of Student Learning Objectives (SLOs) by:** – Organizing, but only occasionally leading or participating in opportunities for collaboration, or developing the systems and processes necessary for collaboration to occur; – Occasionally collaborating with teachers to identify standards or skills to be assessed; – Focusing on teachers with existing common assessments, but failing to help those who need the most help in developing assessments; – Working with teachers only occasionally throughout the year to measure progress towards goals; – Occasionally ensuring most teachers utilize a tracking tool to show student progress OR tracking tools utilized do not measure progress towards SLOs.	**Principal <u>does not</u> support the creation of Student Learning Objectives by:** – Failing to organize/provide opportunities for teacher collaboration; – Failing to meet with teachers to look at baseline data, select assessments, and set SLOs; – Not meeting with teachers throughout the year to look at progress towards goals.
1.3.2	**Rigorous Student Learning Objectives**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Utilizing rigorous SLOs to define and lead a school's culture and sense of urgency; – Establishing an on-going culture of looking at data and progress towards SLOs involving all staff members in the school regularly meeting to talk about data and instructional practice.	**Principal creates rigor in SLOs by:** – Ensuring teachers' SLOs define desired outcomes; – Ensuring assessments used correspond to the appropriate state content standards; – Ensuring outcomes are benchmarked to high expectations, such as international standards and/or typical to high growth; – Ensuring an analysis of previous year's student data is included in the development of SLOs; – Ensuring SLOs are focused on demonstrable gains in students' mastery of academic standards as measured by achievement and/or growth.	**Principal creates rigor in SLOs by:** – Allowing teachers to set lower expectations for the growth of some students than others, and this is reflected in SLOs; – Assessing baseline data that may not be effectively used to assess students' starting points; – Selecting and allowing for assessments that may not be appropriately aligned to state content standards.	**Principal creates rigor in SLOs by:** – Allowing for outcomes to be benchmarked to less than typical growth; – Failing to assess baseline knowledge of students; – Failing to select assessments that are appropriately aligned to content standards.
1.3.3	**Instructional time**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Systematically monitors the use of instructional time to create innovative opportunities for increased and/or enhanced instructional time.	**Principal supports instructional time by:** – Removing all sources of distractions of instructional time; – Promoting the sanctity of instructional time; – Ensuring every minute of instructional time is maximized in the service of student learning and achievement, and free from distractions.	**Principal supports instructional time by:** – Removing major sources of distractions of instructional time; – Attempting to promote sanctity of instructional time but is hindered by issues such as school discipline, lack of high expectations, etc; – Occasionally allowing unnecessary non-instructional events and activities to interrupt instructional time.	**Principal <u>does not</u> support instructional time by:** – Failing to establish a culture in which instructional time is the priority, as evidenced by discipline issues, attendance, interruptions to the school day, etc; – Rarely or never promoting the sanctity of instructional time; – Frequently allowing and/or encouraging unnecessary non-instructional events and activities to interrupt instructional time.

Domain 2: Leadership Actions

Great principals are deliberate in making decisions to raise student outcomes and drive teacher effectiveness. Certain leadership actions are critical to achieving transformative results: (1) modeling the *personal behavior* that sets the tone for all student and adult relationships in the school; (2) *building relationships* to ensure all key stakeholders work effectively with one another; and (3) developing a school wide *culture of achievement* aligned to the school's vision of success for every student.

Competency		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
2.1 Personal Behavior					
2.1.1	**Professionalism**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally**: – Articulates and communicates appropriate behavior to all stakeholders, including parents and the community; – Creates mechanisms, systems, and/or incentives to motivate students and colleagues to display professional, ethical, and respectful behavior at all times	**Principal displays professionalism by**: – Modeling professional, ethical, and respectful behavior at all times; – Expecting students and colleagues to display professional, ethical, and respectful behavior at all times.	**Principal supports professionalism by:** – Failing to model professionalism at all times but understanding of professional expectations as evidenced by not acting counter to these expectations; – Occasionally holding students and colleagues to professional, ethical, and respectful behavior expectations.	**Principal <u>does not</u> support professionalism by:** – Failing to model professionalism at all times, and occasionally modeling behaviors counter to professional expectations; – Rarely or never holding students and colleagues to professional, ethical, and respectful behavior expectations.
2.1.2	**Time management**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Monitoring progress toward established yearly, monthly, weekly, and daily priorities and objectives; – Monitoring use of time to identify areas that are not effectively utilized;	**Principal manages time effectively by:** – Establishing yearly, monthly, weekly, and daily priorities and objectives; – Identifying and consistently prioritizing activities with the highest-leverage on student achievement.	**Principal manages time effectively by:** – Establishing short-term and long-term objectives that are not clearly aligned and connected by intermediate objectives; – Occasionally prioritizes activities unrelated to student achievement.	**Principal manages time effectively by:** – Rarely or never establishing timely objectives or priorities; – Regularly prioritizing activities unrelated to student achievement;
2.1.3	**Using feedback to improve student performance**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Developing and implementing systems and mechanisms that generate feedback and advice from students, teachers, parents, community members, and other stakeholders to improve student performance; – Identifying the most efficient means through which feedback can be generated. – Establishing "feedback loops" in which those who provide feedback are kept informed of actions taken based on that feedback.	**Principal uses feedback to improve student performance by:** – Actively soliciting feedback and help from all key stakeholders; – Acting upon feedback to shape strategic priorities to be aligned to student achievement.	**Principal uses feedback to improve student performance by:** – Accepts feedback from any stakeholder when it is offered but does not actively seek out such input; – Occasionally acting upon feedback to shape strategic priorities aligned to student achievement.	**Principal <u>does not</u> use feedback to improve student performance by:** – Regularly avoiding or devaluing feedback; – Rarely or never applying feedback to shape priorities.

2.1.4	**Initiative and persistence**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Exceeding typical expectations to accomplish ambitious goals; – Regularly identifying, communicating, and addressing the school's most significant obstacles to student achievement; – Engaging with key stakeholders at the district and state level, and within the local community to create solutions to the school's most significant obstacles to student achievement.	**Principal displays initiative and persistence by:** – Consistently achieving expected goals; – Taking on voluntary responsibilities that contribute to school success; – Taking risks to support students in achieving results by identifying and frequently attempting to remove the school's most significant obstacles to student achievement; – Seeking out potential partnerships with groups and organizations with the intent of increasing student achievement.	**Principal displays initiative and persistence by:** – Achieving most, but not all expected goals; – Occasionally taking on additional, voluntary responsibilities that contribute to school success; – Occasionally taking risks to support students in achieving results by attempting to remove the school's most significant obstacles to student achievement; – Infrequently seeking out potential partnerships with groups and organizations with the intent of increasing student achievement.	**Principal <u>does not</u> display initiative and persistence by:** – Rarely or never achieving expected goals; – Rarely or never taking on additional, voluntary responsibilities that contribute to school success; – Rarely or never taking risks to support students in achieving results; – Never seeking out potential partnerships.

Competency		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
2.2 Building Relationships					
2.2.1	**Culture of urgency**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Ensuring the culture of urgency is sustainable by celebrating progress while maintaining a focus on continued improvement;	**Principal creates an organizational culture of urgency by:** – Aligning the efforts of students, parents, teachers, and other stakeholders to a shared understanding of academic and behavioral expectations; – Leading a relentless pursuit of these expectations.	**Principal creates an organizational culture of urgency by:** – Aligning major efforts of students and teachers to the shared understanding of academic and behavioral expectations, while failing to include other stakeholders; – Occasionally leading a pursuit of these expectations.	**Principal <u>does not</u> create an organizational culture of urgency by:** – Failing to align efforts of students and teachers to a shared understanding of academic and behavior expectations; – Failing to identify the efforts of students and teachers, thus unable to align these efforts.
2.2.2	**Communication**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – To the extent possible, messaging key concepts in real time; – Tracking the impact of interactions with stakeholders, revising approach and expanding scope of communications when appropriate; – Monitoring the success of different approaches to communicating to identify the most appropriate channel of communicating in specific situations.	**Principal skillfully and clearly communicates by:** – Messaging key concepts, such as the school's goals, needs, plans, success, and failures; – Interacting with a variety of stakeholders, including students, families, community groups, central office, teacher associations, etc; – Utilizing a variety of means and approaches of communicating, such as face-to-face conversations, newsletters, websites, etc.	**Principal skillfully and clearly communicates by:** – Messaging most, but not all, key concepts; – Interacting with a variety of stakeholders but not yet reaching all invested groups and organizations; – Utilizing a limited number of means and approaches to communication.	**Principal <u>does not</u> skillfully and clearly communicate by:** – Rarely or never messaging key concepts; – Interacting with a limited number of stakeholders and failing to reach several key groups and organizations; – Not utilizing a variety of means or approaches to communication OR ineffectively utilizing several means of communication.
2.2.3	**Forging consensus for change and improvement**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Guides others through change and addresses resistance to that change; – Monitors the success of strategies and revises based on strengths and weaknesses; – Creates cultural changes that reflect and support building a consensus for change.	**Principal creates a consensus for change and improvement by:** – Using effective strategies to work toward a consensus for change and improvement; – Systematically managing and monitoring change processes; – Securing cooperation from key stakeholders in planning and implementing change and driving improvement.	**Principal creates a consensus for change and improvement by:** – Identifying areas where agreement is necessary and has not yet begun to implement strategies to achieve that agreement; – Managing change and improvement processes without building systems and allies necessary to support the process; – Asking for feedback but not yet successful in securing cooperation in delivering input from all stakeholders.	**Principal <u>does not</u> create a consensus for change and improvement by:** – Failing to identify areas in which agreement and/or consensus is necessary; – Rarely or never managing or developing a process for change and/or improvement; – Rarely or never seeking out feedback or securing cooperation – making unilateral, arbitrary decisions.

Competency		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
2.3 Culture of Achievement					
2.3.1	**High expectations**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Incorporating community members and other partner groups into the establishment and support of high academic and behavior expectations; – Benchmarking expectations to the performance of the state's highest performing schools; – Creating systems and approaches to monitor the level of academic and behavior expectations; – Encouraging a culture in which students are able to clearly articulate their diverse personal academic goals.	**Principal creates and supports high academic and behavior expectations by:** – Empowering teachers and staff to set high and demanding academic and behavior expectations for every student; – Empowering students to set high and demanding expectations for themselves; – Ensuring that students are consistently learning, respectful, and on task; – Setting clear expectations for student academics and behavior and establishing consistent practices across classrooms; – Ensuring the use of practices with proven effectiveness in creating success for all students, including those with diverse characteristics and needs.	**Principal creates and supports high academic and behavioral expectations by:** – Setting clear expectations for student academics and behavior but occasionally failing to hold students to these expectations; – Setting expectations but failing to empower students and/or teachers to set high expectations for student academic and behavior.	**Principal <u>does not</u> create or support high academic and behavior expectations by:** – Accepting poor academic performance and/or student behavior; – Failing to set high expectations or sets unrealistic or unattainable goals.
2.3.2	**Academic rigor**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Creating systems to monitor the progress towards rigorous academic goals, ensuring wins are celebrated when goals are met and new goals reflect achievements.	**Principal establishes academic rigor by:** – Creating ambitious academic goals and priorities that are accepted as fixed and immovable.	**Principal establishes academic rigor by:** – Creating academic goals that are nearing the rigor required to meet the school's academic goals; – Creating academic goals but occasionally deviates from these goals in the face of adversity.	**Principal <u>has not</u> established academic rigor by:** – Failing to create academic goals or priorities OR has created academic goals and priorities that are not ambitious; – Consistently sets and abandons ambitious academic goals.
2.3.3	**Data usage in teams**	**At Level 4, a principal fulfills the criteria for Level 3 and additionally:** – Data used as basis of decision making is transparent and communicated to all stakeholders; – Monitoring the use of data in formulating action plans to identify areas where additional data is needed.	**Principal utilizes data by:** – Orchestrating frequent and timely team collaboration for data analysis; – Developing and supporting others in formulating action plans for immediate implementation that are based on data analysis.	**Principal utilizes data by:** – Occasionally supporting and/or orchestrating team collaboration for data analysis; – Occasionally developing and supporting others in formulating action plans for implementation that are based on data analysis.	**Principal <u>does not</u> utilize data by:** – Rarely or never organizing efforts to analyze data; – Rarely or never applying data analysis to develop action plans.