



Minnesota State Principal Development and Evaluation Model

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Minnesota Department of Education

1500 Highway 36 West

Roseville, MN 55113-4266

mde.schoolsupport@state.mn.us

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A. Background on Model

A decade of research has identified the importance of both teacher quality and school leadership as the key levers for improved student achievement. While teacher quality is the single biggest factor influencing student achievement, strong principals are critical to teacher development and retention. In fact, principals account for 25 percent—and teachers 33 percent—of a school’s total impact on student achievement.¹

The Minnesota legislature responded to this research by passing legislation (Minnesota Statutes, section 123B.147) in 2011. The legislation requires that Minnesota school districts “develop and implement a performance-based system for annually evaluating school principals assigned to supervise a school building within the district.” A local evaluation system should be designed and implemented to “improve teaching and learning by supporting the principal in shaping the school’s professional environment and developing teacher quality, performance, and effectiveness.” Legislation also established a working group of stakeholders, including professional leaders, to develop a state example model for principal evaluation (See [Measuring Principal Performance in Minnesota: A Report, Model and Recommendations](#)).

The purpose of the evaluation is to enhance a principal's leadership skills and support and improve teaching practices, school performance, and student achievement. Although the working group was directed to develop a model for evaluation, statute clearly indicates that it is the responsibility of a district to develop and implement a performance-based system for annually evaluating school principals assigned to supervise a school building within the district.

Specifications in statute require that the evaluation:

- Be an annual evaluation
- Include formative and summative evaluations
- Be consistent with the job description, a district's long-term plans and goals, and the principal's own professional multiyear growth plans and goals;
- Include on-the-job observations and previous evaluations;
- Allow surveys to help identify a principal's effectiveness, leadership skills and processes, and strengths and weaknesses
- Use longitudinal data on student academic growth as an evaluation component
- Incorporate district achievement goals and targets
- Be linked to professional development that emphasizes improved teaching and learning, curriculum and instruction, student learning, and a collaborative professional culture
- Implement a plan to improve a principal's performance
- Specify the procedure and consequence if the principal's performance is not improved

¹ M. Clifford, E. Behrstock-Sherratt, and J. Feters, *The Ripple Effect: A Synthesis of Research on Principal Influence to Inform Performance Evaluation Design*. (Washington DC: American Institutes for Research, 2012); K. Leithwood et al, *Learning From Leadership: Investigating the Links to Student Learning*, (New York: The Wallace Foundation, 2010); T. Waters, R. Marzano, and B. McNulty, *Balanced Leadership: What 30 Years of Research Tells Us about the Effect of Leadership on Student Achievement* (Denver: McREL, 2003).

The Principal Evaluation Working Group, appointed by the Minnesota Department of Education (MDE) Commissioner, included representatives from the Minnesota Association of Secondary School Principals and the Minnesota Association of Elementary School Principals. It submitted the Minnesota Principal Evaluation Model to the legislature in February 2012. During the 2012–2013 school year, MDE piloted principal evaluation in 17 districts, selected in part to vary by size, location, student demographics, and achievement outcomes.

Districts had flexibility in how they implemented principal evaluation; most used at least some parts of the example model or refined it to their context. In 2013 FHI360 was commissioned to conduct a study and produce a report on the project. The [Minnesota Principal Evaluation Model Pilot Study](https://www.fhi360.org/resource/minnesota-principal-evaluation-model-pilot-study-full-report-and-executive-summary) (<https://www.fhi360.org/resource/minnesota-principal-evaluation-model-pilot-study-full-report-and-executive-summary>) made recommendations to inform improvements to principal evaluation overall and specifically to the example model.

The report presents findings and recommendations that draw from data collected through confidential online surveys completed by principals and evaluators in the 17 pilot districts and interviews with principals and evaluators in four “case study” districts selected to help provide context for the survey data.

In 2015 MDE began new work in the area of principal development and evaluation, funded by the Bush Foundation. One of the goals was to refine the state principal example model based on results of the pilot. With that direction, MDE made changes to the model based on recommendations from the report, stakeholders input, and research on the shifting role of the school principal. This revised model is not mandated but serves as a resource to districts who wish to adopt it or use it as a template in designing their own system.

The state model, or other effective evaluation systems, is designed to provide objective information about shared understandings and expectations that will support meaningful decisions for quality leadership. These expectations should be reflective of a district’s vision mission and goals and integrated in its strategic planning. The district should clearly communicate the standards, purposes, procedures and acceptable levels of performance to the principals. The collection and use of evaluation information must be clearly defined in local policies and consistent with statute. Data on individual principals generated in this process are personnel data under Minnesota Statutes, section 13.43, and treated in the same manner as data generated for the teacher evaluation under Minnesota Statutes, sections 124A.40 and 124A.41. No requirements exist for filing evaluation results with the state. The intent of the model is to create a continuous improvement cycle that results in improved leadership practice in Minnesota schools.

B. Purposes of Principal Evaluation

The purposes of principal evaluation include:

- Enhancing a principal's leadership skills and support to improve teaching practices, school performance, and student achievement
- Improving teaching and learning by supporting the principal in shaping the school's professional environment and developing teacher quality, performance, and effectiveness

- Supporting and improving a principal's instructional leadership, organizational management, and professional development, and strengthening the principal's capacity in the areas of instruction, supervision, evaluation, and teacher development”²
- Supporting principals’ increasing effectiveness and professional practice growth over time using an ongoing, annual cycle of continuous improvement
- Reinforcing district goals and plans by encouraging the alignment of principals’ professional practice goals, their school plans and goals, and their job descriptions with district priorities
- Using promising practices, professional dialogue, and collaboration with colleagues to support leadership development
- Collecting and using evidence for principals’ professional practice growth and continued employment
- Guiding professional learning for principals based on their goals, supporting evidence, and results
- Informing higher education principal development degree programs to encourage coursework is aligned to the principal performance measures and providing the opportunity to develop skills of effective principals

C. Evaluators

In order to best evaluate principals, the person serving in the evaluator role must understand that the evaluation is not an event but a process that includes conducting observations, collecting evidence, coaching the principal, guiding professional growth, and providing a summative rating. It is the superintendent’s responsibility to conduct the annual evaluation or to designate an individual who has the skills and knowledge to ensure that such a process is completed.

D. Components of the Model

Statute requires that the evaluation must be both formative and summative. The summative rating is based on two components of the model

Component One--Student Outcomes (minimum of 35% of the summative rating)

Component One, as identified in statute, requires the use of longitudinal data on student academic growth. The state model incorporates this through a goal-setting process. The principal is asked to set specific goals related to student achievement and school performance and is then evaluated on attainment of those goals during the evaluation period. The goal setting is done in collaboration with the supervisor during Step 1 of the continuous improvement process.

Identified goals could include proficiency or growth measures using MCA scores along with goals from other school performance areas as identified in the Worlds’ Best Workforce (e.g., graduation rates, reduction of achievement gaps, etc.). Goals in this area may be subject and student group specific. Minnesota statute specifies that at least one goal should be based on student academic growth. It is

² Minnesota Statute 123B.147 Principal Development and Evaluation.

also important that the principal's goals are in alignment with the school improvement goals (See page 13).

The [Overview of Available Student Outcome Data and Recommended Uses](#) provides a list of possible indicators and measures along with sample goals. This and other data use tools can be found at the [Using Student Outcome Data webpage](http://education.state.mn.us/MDE/dse/prev/locres/data/) (http://education.state.mn.us/MDE/dse/prev/locres/data/).

Component Two--Principal Professional Practice (maximum 65% of the summative rating)

The evaluation conducted by the supervisor must be consistent with the job description, a district's long-term plans and goals, and the principal's own professional multiyear growth plans and goals. Minnesota's principal performance measures with more detailed indicators are used as the basis for reviewing the principal's work. Rubrics and evidence sources are included to support completion of this portion of the evaluation. The model outlines the process for completing the model's two components.

A set of principal performance measures is critical to a strong evaluation program. According to statute, the leadership skills that must be covered are instructional leadership, organizational management, professional development, supervision, evaluation, and teacher development. Listed below are the Minnesota Principal Development and Evaluation Performance Measures:

1. Develops, Advocates for, and Enacts a Shared Vision for High Student Achievement Supported by a Culture of High Expectations and Family Engagement
2. Provides Instructional Leadership for High Student Academic Performance
3. Develops and Maintains a High-Quality, Effective Staff
4. Demonstrates Ethical Personal Leadership through Relationship Building, Effective Communication, and Self-Reflection
5. Strategically Manages and Monitors School Systems and Operations

Each principal performance measure has several indicators that describe a principal's professional practice skills in more detail (See Appendix B).

Rubrics are designed to support consistency of implementation and decision-making by a supervisor. They are also crucial in describing expectations for performance and serving as a basis for self-assessment and development of growth plans. Rubrics are to be based on clearly defined evidence and measures. A variety of evidences and artifacts may be used to demonstrate that a particular competency has been met in whole or in part. This evidence may consist of observations, stakeholder feedback, student or staff data, activities, documents and/or feedback that are tangible proof or confirm the work of the principal and support the rating given on a performance measure. The measures used in the evaluation system should have strong correlation to the criteria being evaluated.

The Minnesota model has a complete set of rubrics for each performance measure and indicators. Suggested evidences are also listed with each rubric. It is recommended that the supervisor use the rubric in the evaluation process. The rubric, that describes principal actions aligned with the performance measures, covers the domains of practice described in statute. The [Minnesota Principal Development and Evaluation Rubric](#) is available at MDE's [Principal Development and Evaluation State](#)

[Model webpage](http://education.state.mn.us/MDE/dse/prev/model/) (<http://education.state.mn.us/MDE/dse/prev/model/>) and can also be found in Appendix G.

Surveys and Stakeholder Feedback

As mentioned previously, statute allows “surveys to help identify a principal's effectiveness, leadership skills and processes, and strengths and weaknesses.” The model recognizes surveys as important tools to inform principals’ self-assessments, shape their goal-setting process, and demonstrate changes in their professional practice over time. When considering principal practice performance, stakeholder feedback is intended to act as one piece of information to assist principals and supervisors in a comprehensive assessment, analysis, and realization of effective practice. For this reason, the model does not assign a weight or point value to survey results when calculating a summative rating. How survey feedback can inform and compliment the steps in the annual continuous improvement cycle is outlined in Section G of this guide. The state model provides the *Teacher Survey for Principal Development and Evaluation* along with the *Administration Guidance Document* as stakeholder feedback resources. The survey, which is aligned to the Minnesota Principal Development and Evaluation Performance Measures, was created by stakeholders and tested to be valid and reliable. These documents can be found at the [Using Stakeholder Feedback](http://education.state.mn.us/MDE/dse/prev/locres/feed/) page (<http://education.state.mn.us/MDE/dse/prev/locres/feed/>). Local District Decisions

Local District Decisions

Some of the requirements are appropriately the responsibility of the local district or are dependent on the outcomes of the evaluation itself. For example, it would be difficult to write a district’s goals into the state model. Also, prescribing developmental activities for a growth plan that are tied to insights gained as an outgrowth of the evaluation itself is appropriately a decision between the principal and the supervisor. As a result these are not part of the model but will be included as direction for the district. These areas include:

1. Support to improve a principal's instructional leadership, organizational management, and professional development, and strengthen the principal's capacity in the areas of instruction, supervision, evaluation, and teacher development
2. Principal's job description
3. District’s long-term plans and goals
4. Principal's professional multiyear growth plans and goals, all of which must support the principal's leadership behaviors and practices, rigorous curriculum, school performance, and high-quality instruction
5. Discretion to substitute or revise forms specified in the model
6. Discretion to adjust the component rating percentages as long as the student outcome component remains at a minimum of 35 percent
7. Professional development that emphasizes improved teaching and learning, curriculum and instruction, student learning, and a collaborative professional culture
8. A plan to improve the principal's performance and specify the procedure and consequence if the principal's performance is not improved.

Formative Nature of Evaluation

Determining a principal's rating is an ongoing process—not a one time, year-end event. Behind a final performance rating is a year of observations, evidence collection, and coaching and conversations about professional practice and school and learner outcomes. The main focus of principal evaluation should be supporting principals' professional growth, based on an assessment of their strengths and weaknesses against the leadership skills and practices known to increase student achievement.

E. Roles and Responsibilities of Principal Supervisors and Principals

To ensure the success of development and evaluation process, the role of supervisors and principals should be clearly defined. These roles should be complementary, supportive, and cooperative, taking place in a non-threatening and collegial environment. Both the principal and the supervisor must be familiar with current statute and the state model. Both must be clear in their understanding of the purposes of evaluation and any implications the results may hold. (Responsibilities are covered in detail later in the five steps of the continuous improvement process.)

For example, a principal supervisor (often with the involvement and advice of other district administrators) typically takes on the following roles:

- Seeks the guidance necessary to direct and support the principal's professional practice and growth using the district's principal performance measures
- Ensures that the state model is adapted to fit the district context, and still meets the statutory requirements
- Guides the implementation of the principal evaluation system, including facilitating the review conferences, and conducting observations
- Gathers data, evidence, and artifacts
- Assigns the final summative review rating to a principal based on evidence
- Makes recommendations on how to improve the evaluation system that includes feedback from the principal and other district administrators

A principal typically takes on the following roles:

- Approaches the process with engagement and a desire to increase leadership skills
- Uses evidence to assess skills, and sets goals to improve professional practice on the district's principal performance measures
- With the supervisor, sets professional practice and student outcome goals
- Implements plans and strategies on a timeline to achieve leadership goals
- Gathers data, evidence, and artifacts to demonstrate performance in relation to principal performance measures and progress in attaining goals.
- Participates actively in review conferences
- Reflects on annual progress and renews personal commitment to next year's continuous improvement goals and actions
- Provides feedback to the supervisor on how to improve the district's principal evaluation system

F. The Annual Continuous Improvement Process

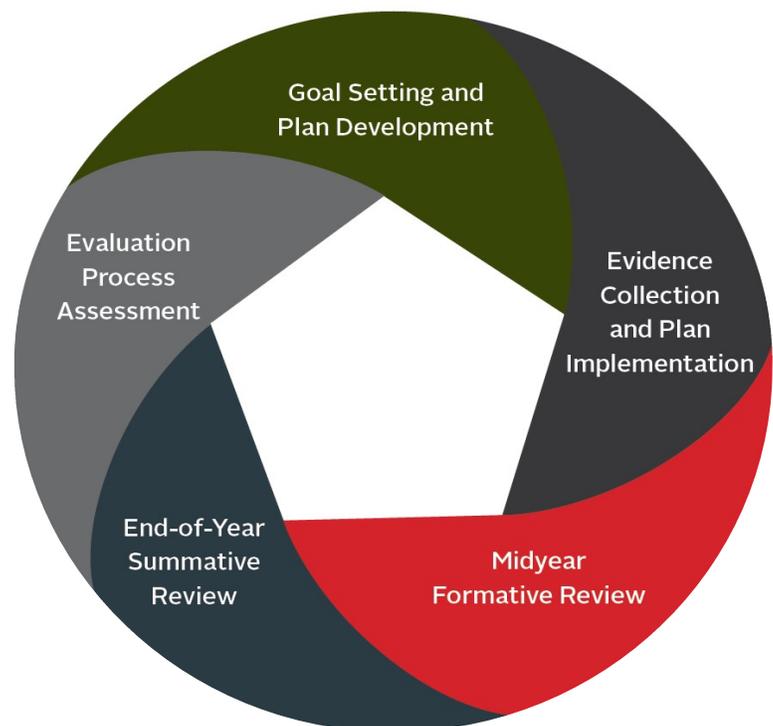
Integral to the model is the process for completing the evaluation. The model does not include a specific set timeline for completion of each step. However, the steps fit naturally within a yearly timeframe, and each district is encouraged to implement as appropriate to its needs. The continuous improvement process is at the core of implementing the state model. Within this process, districts

need to make decisions about how to measure principal effectiveness, and how to measure student outcomes. The annual evaluation process that enhances principals’ professional practice consists of five steps described briefly below:

1. *Goal-setting and plan development conference.* After the principal supervisor orients the principal to the evaluation system, the two meet to look at previous evaluations and data and set the principal’s goals, plan, and timeline.
2. *Evidence collection and plan implementation.* After the goal-setting conference, the principal and the supervisor collect evidence to assess if progress is being made on both the professional practice goals and student outcome goals.
3. *Midyear formative review conference.* The principal and supervisor meet to review progress on reaching the principal’s professional practice and student outcome goals.
4. *End-of-year summative review conference:* The principal assembles all evidence and summary information and shares this with the supervisor; a final annual evaluation is then created.
5. *Evaluation process assessment and revision.* The principal supervisor, central office staff, and all principals reflect on how they can improve the district principal evaluation system and improvement process to enhance principals’ professional learning and growth.

To see how the five step continuous improvement process plays out in an annual cycle see Figure 1.

Figure 1. A Five Step Continuous Improvement Process for a Principal Evaluation System



G. Details of the Annual Continuous Improvement Process Steps

Overview

Principals play an active role in their own professional growth and development through a cycle of continuous improvement. Feedback and reflection on goal attainment is an important part of the process. How district leaders support principals in their professional learning also makes a difference in their success.

The principal evaluation process begins the school year with a self-assessment, a review of relevant data, evaluations and goal setting from the end of the previous year's cycle. This creates the foundation for implementing a goal-driven and evidence-based improvement plan. Throughout the school year, the principal implements the plan and both the principal and principal supervisor collect evidence. The principal supervisor provides feedback and coaching to the principal on the evidence collected.

Midway through the year, the principal supervisor conducts a formative review with the principal, providing an opportunity to assess progress and make adjustments as needed to the principal's action plans. The principal has a chance to formally review interim data and reflect on progress to date, a step that can allow mid-course corrections and ultimately inform the summative review.

During the summative review conducted at the end of the year, the principal and principal supervisor discuss the supervisor's findings and the summative evaluation for the principal. The content of the summative evaluation and self-assessment become key sources of information for the principal's next goal setting as the cycle continues into the following school year. If the principal does not meet the district's performance requirement, an improvement plan is developed and implemented.

Principal coaching is an integral part of this process. Good coaching requires preparation, relationship building, reflection, and actions that impact goal setting, data collection and progress monitoring. See a [Guide to Coaching School Principals in Minnesota: Incorporating Coaching Strategies into Principal Development and Evaluation](#) for direction on how to use coaching as a tool for continuous improvement.

Coaching School Leaders

A recent study of educational leaders revealed the growing divide between what we know to be important and leaders' actions. This gap provides evidence that many of the evaluation systems that are now in place display an intellectual understanding of what needs to be done, but lack the fundamental ability to act on that knowledge (Reeves, 2009).

When school leaders attend training or workshops designed to help them in their role as principal, little of what they learn transfers into their daily practice. As adult learners, we implement only a small percentage (approximately 10 percent) of what we learn in a workshop by listening to a presentation (Joyce & Showers, 2002). However, school leaders implement up to 95 percent, of what they learn if there is an opportunity to practice with feedback and follow-up coaching (Knight, 2009). If the goal is to help school leaders grow and develop their practice, coaching is essential.

An Annual Review Cycle for Principal Development and Evaluation

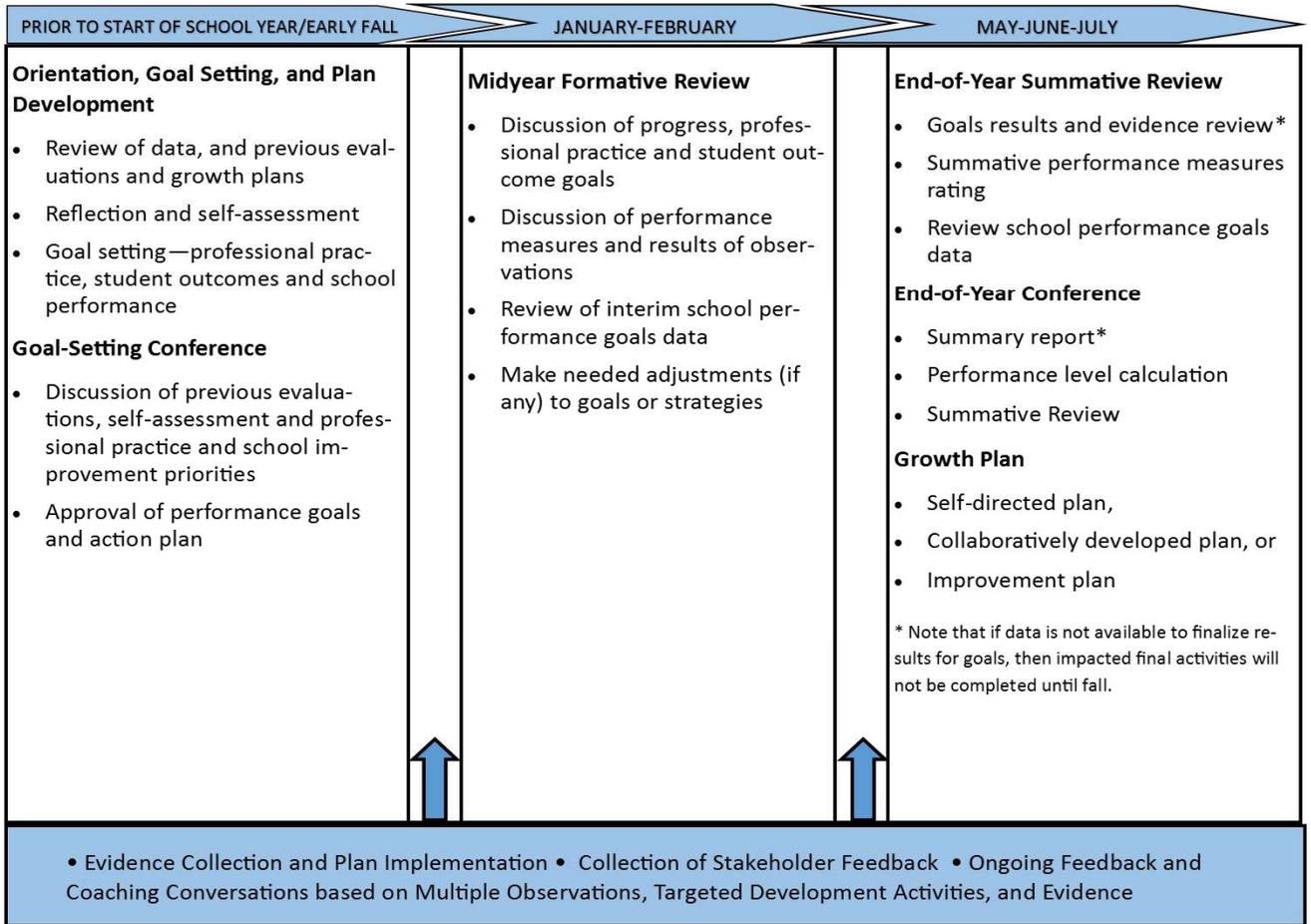


Figure 2. The Annual Review Cycle for Principal Development and Evaluation Systems

This section of the model includes more detailed descriptions of each of the five continuous improvement process steps, noting the roles and responsibilities for each process step. Each step is divided into three stages:

1. What happens *prior* to the step
2. What happens *during* the step
3. What happens *after* the step

Links to resources that support each step are included. Each process step is described beginning on the next page.

1. Orientation, Goal-Setting, and Plan Development Conference (Can occur between spring and early fall)

The process begins with the supervisor providing an orientation to the district evaluation system for the principal. The orientation clarifies roles and expectations, the timeline of evaluation events, the measures that will be used to assess a principal's performance, the weighting of the measures, the recording forms that might be used, and the calculation method for the final summative rating, including the weighting of the student outcome goals.

The principal conducts a self-assessment based on the district's expectations of leadership performance, using the state performance measures, indicators, and rubrics. After understanding the district's long term plans and goals, principals review prior evaluations, growth plan from the end of the previous cycle, student-level achievement data, stakeholder survey results (if available) and school improvement plans (often with the school leadership team). See the [Record of Continuous Improvement](#) for a form and guidance on school action plans. Based on this review, the principal proposes two types of goals: the student outcome goals and the professional practice goals.

School Improvement Plan and Principal Evaluation

If principal evaluation is to be meaningful and productive it must begin with and be grounded in the school improvement process. A principal's effectiveness is based on the extent that he or she can work with and through members of the school community to continuously improve teaching and learning through the school improvement process. The vision, goals and strategic plan for pursuing that vision, and the results being achieved provide the core data for evaluating a principal's performance. The school improvement plan is developed and implemented with and through members of the school community; it is not principal's school improvement plan. The professional growth plans developed by principals for evaluation purposes need to focus on achieving the goals of the school's improvement plan, so as to move their school closer to achieving its vision.

At the goal-setting conference, goals and growth targets are finalized, along with the implementation strategies that will be used, and the evidence that will be collected and assessed. All of this is documented in a plan with milestones of progress along a timeline for the school year. (For example a milestone could be that 85 percent of students should be on target by midyear to achieve the school's mathematics proficiency goals by the end of the year.) This plan should include a schedule for regular observations and evidence collection, benchmarks of progress, feedback, and supports throughout the year. An important piece of the process is creating an evidence collection plan. The supervisor works with the principal to determine what evidence should be collected. The evidence collection plan includes how, when, and where the information will be obtained (See "An Evidence Collection Plan" in Appendix C for more detail).

The [Overview of Available Student Outcome Data and Recommended Uses](#) will aid the principal and supervisor in selecting measures and forming goals. This and other data use tools can be found at the [Using Student Outcome Data webpage](http://education.state.mn.us/MDE/dse/prev/locres/data/) (<http://education.state.mn.us/MDE/dse/prev/locres/data/>).

In the absence of agreement, the principal supervisor should make the final determination about the goals. The principal's job description is adjusted to reflect the focus of the annual evaluation. If the supervisor has significant concerns regarding the principal's performance and intends to use a process that is targeted at remediation, it is important that this be clearly communicated at the goal-setting conference.

Figure 3 shows how the previous year's evaluation results and the school and district's plans and priorities *inform* the principal's professional goals and the principal evaluation process.

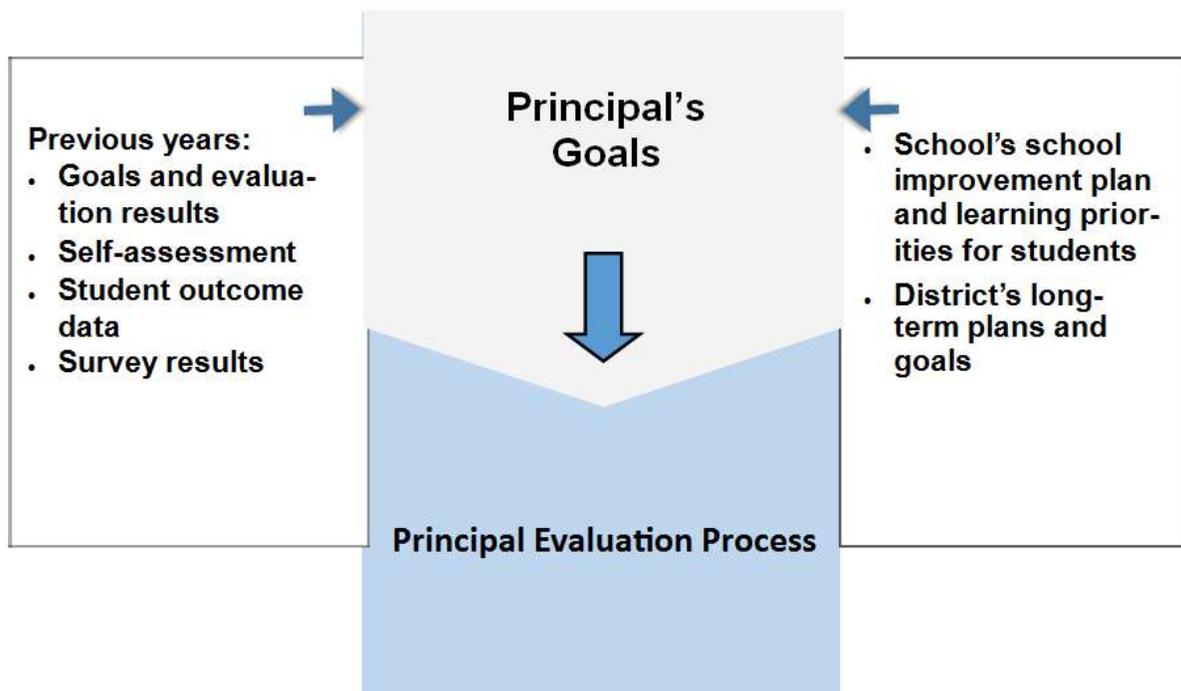


Figure 3. Inputs for the Principal Evaluation Process

Orientation, Goal-Setting, and Plan Development Conference Responsibilities

DISTRICT/SUPERVISOR RESPONSIBILITIES—PRIOR	PRINCIPAL RESPONSIBILITIES—PRIOR
<p>Orientation:</p> <ul style="list-style-type: none"> • With other district leaders, develop orientation materials for the district’s implementation of the model, building on materials available from MDE • Formally orient principals to the principal evaluation model system, its timeline and expectations, and how it aligns with the district’s goals and learning priorities • Ensure the annual evaluation is consistent with the principal’s job description 	<p>Orientation:</p> <ul style="list-style-type: none"> • Participate in the district’s orientation to the principal evaluation system
<p>Goal setting:</p> <ul style="list-style-type: none"> • Schedule the goal-setting conference • Review evidence and results from previous evaluations with the principal • Share the district’s goals and student learning priorities for the coming year • May choose to review each principal’s self-assessment and proposed professional and school improvement goals <i>prior</i> to the conference 	<p>Goal setting:</p> <p>Complete the <i>Principal Self-Assessment and Goal Setting</i> form using the principal performance measures and reviewing previous year’s evaluation, past year’s student assessment results, previous survey results (if available), the current school improvement plan priorities, and improvement strategies that worked in prior years</p> <ul style="list-style-type: none"> • Develop school improvement goals and professional practice goals aligned to the district’s long term goals (e.g. World’s Best Workforce) and learning priorities • Identify evidence and measures to assess the proposed professional practice and school improvement goals • Create a professional practice plan with goals, strategies, evidence to be collected and assessed and a timeline to share with the supervisor
DISTRICT/SUPERVISOR RESPONSIBILITIES—DURING	PRINCIPAL RESPONSIBILITIES—DURING
<ul style="list-style-type: none"> • Facilitate the goal-setting conference • Discuss strengths and weaknesses with the principal and what is needed to maintain strengths and address weaknesses • With the principal, set targets for student outcome measures and professional practice • Create an Evidence Collection Plan (See Appendix C) that identifies the evidence that will be collected and the results necessary to achieve the goals for professional practice and student outcomes • Approve the principal’s final goals • Help link the principal with supports and resources to meet goals 	<ul style="list-style-type: none"> • With the supervisor, actively participate in explaining, analyzing, and drawing from data sources to determine his or her most important goals for the current school year and a detailed evaluation plan • With the supervisor, finalize goals for professional practice and student outcomes, as well as measures, outcomes, strategies, and needed supports, and update the <i>Principal Self-Assessment and Goal Setting</i> form • Inform and agree to an evidence collection plan that will provide timely evidence and feedback on the principal’s goals • With the supervisor, agree on the evidence needed to identify goal attainment

DISTRICT/SUPERVISOR RESPONSIBILITIES—AFTER	DISTRICT/SUPERVISOR RESPONSIBILITIES—AFTER
<ul style="list-style-type: none"> • Approve the principal’s goals and growth implementation plan or revise goals and strategies for plan implementation. Add comments and sign the <i>Principal Self-Assessment and Goal Setting</i> form, and provide copies to principal • Provide agreed-upon supports to the principal (including district interim student assessment results, professional learning opportunities, stakeholder survey results, if available, etc.) • Reflect on the process step and make notes on how the orientation and goal-setting process might be improved 	<ul style="list-style-type: none"> • Make revisions to the professional practice goals, school performance goals, and action plans as requested by the supervisor • Finalize and sign forms • Begin to implement action plans for professional practice and student outcomes • Reflect on the process step and provide feedback to the supervisor on how the orientation and goal-setting process may be improved

Available Forms for Step 1 (see appendix H):

- Principal Self-Assessment and Goal Setting
- School Action Plan—See [Record of Continuous Improvement](#), Part III

The goal-setting conference can be informed by a set of guiding questions asked by the supervisor (See below). Principal supervisors may want to choose among these questions and include some additional questions. The supervisor may want to provide these (or selected) guiding questions to the principal in advance of the conference.

Goal-Setting Conference Outline and Guiding Questions

Principal's Self-Assessment

1. How did you approach this self-assessment task? Do you feel your self-assessment accurately captures your strengths and areas of potential growth?
2. How do you think your self-assessment will compare to my appraisals?
3. What did you identify as your strengths? What evidence supports your selections?
4. Was the self-assessment process beneficial? If so, how?
5. How can I support your ongoing self-assessment and reflection on practice?

Principal's Professional Practice Goals and Growth Plan

1. Which indicators did you identify as growth priorities for this year?
2. How did you incorporate previous evaluation results in identifying these priorities?
3. Summarize the growth activities in your growth plan. What role does collaboration with other school leaders play in any of these activities?
4. What evidence do you plan to use to show you have successfully completed growth activities and that you applied these growth activities to your leadership practices?

School Performance Measures

1. Did you base these performance goals on a school improvement planning process? What other stakeholders were involved in the process? How did you facilitate the process? How did you ensure planning was based on data? How did you ensure planning reflects research-based strategies?
2. How do these goals support district-wide initiatives?
3. How do your goals reflect efforts to serve those in lower performing student groups and work toward closing the achievement gap?
4. How does student data support the selection of the priorities reflected in these goals?
5. Are your goals specific? Measureable? Attainable? Results-bound? Time-bound?
6. Do you plan to communicate these goals to your school community? How?
7. What are the strategies in your action plan that support attaining these goals?
8. What evidence will be collected about the implementation of the action plan? How will the evidence reflect implementation of practices that impact student learning?
9. What other stakeholders play important roles in the action plan(s)?
10. What specifically is your role in implementing the action plan(s)?
11. What support do you need from me to help implement the action plan?

Stakeholder Feedback (Survey)

1. How can we implement the stakeholder feedback (survey) component so that it informs school planning and your professional growth?
2. Which survey components are most linked to your professional practice goals?
3. What concerns do you have about the stakeholder feedback survey informing your evaluation?

Evaluation Process Assessment and System Revision

1. What changes would you make to your preparation for the goal-setting conference or how the conference was conducted and documented to make this step more useful in supporting your professional practice growth?

2. Evidence Collection and Plan Implementation (Between the goal-setting conference and the end-of-year summative review conference)

Between the goal-setting and plan development conference, and the end-of-year summative review conference, the principal implements the agreed-upon plans, and the supervisor and principal collect evidence to monitor progress on the goals set at the beginning of the year. Both direct and indirect observations are required for collecting evidence of principal practice, along with artifacts and school data. **See Appendix C for additional direction on observations and evidence collection.** Periodic, purposeful school visits offer critical opportunities for evaluators to observe, collect evidence, and analyze the work of principals to facilitate ongoing feedback, dialogue about principal practice, and continuous improvement. While statute does not specify the number of observations required, it is important to remember that leadership is not reflected in any one-time event. A supervisor needs to conduct enough observations to have a systematic, intentional system to collect evidence of leadership in order to have powerful one-on-one assistance relationships with their principals in service of better teaching and learning.

The supervisor directly observes the principal in specific leadership settings such as observing teachers, coaching teachers on instructional techniques, working with professional learning communities, working with parent groups, and leading faculty meetings. Indirect evidence may come from an analysis of systems or processes principals have put in place, such as professional learning communities, or the observation of teacher practice across multiple classrooms. Supervisors will find the [Principal Leadership Evidence-Gathering Tool for Minnesota Principal Supervisors](#) to be of use in the observation process.

Several MDE resources can help both the principal and the supervisor in the plan implementation. These include the [Practice Profile Tool: Using Student Outcome Data](#), The [Directory of Student Outcome Tools](#), and the [Principal Action Resource; The instructional Leadership Team and Professional Learning Communities](#). Descriptions of the resources and links can be found on the [Using Student Outcome Data](http://education.state.mn.us/MDE/dse/prev/locres/data/) (<http://education.state.mn.us/MDE/dse/prev/locres/data/>) and the [Supporting School Teams](http://education.state.mn.us/MDE/dse/prev/res/teams/) (<http://education.state.mn.us/MDE/dse/prev/res/teams/>) webpages.

Additional evidence can include data for each principal performance measure, stakeholder feedback, documentation of the professional learning achieved during the year, and evidence of student outcomes measured over time. The supervisor also ensures a principal receives results on any district-administered student assessments and stakeholder surveys as they become available. The principal may choose to administer his or her own or the district's stakeholder surveys. The *Teacher Survey for Principal Development and Evaluation*, and the administration manual can be found on MDE's [Using Stakeholder Feedback](#) webpage (<http://education.state.mn.us/MDE/dse/prev/locres/feed/>).

Coaching by the principal supervisor should happen during the plan implementation and evidence collection phase. See a [Guide to Coaching School Principals in Minnesota: Incorporating Coaching Strategies into Principal Development and Evaluation](#).

Evidence Collection and Plan Implementation Responsibilities

PRINCIPAL SUPERVISOR RESPONSIBILITIES--PRIOR	PRINCIPAL RESPONSIBILITIES--PRIOR
<ul style="list-style-type: none"> Follow and make necessary changes to the evidence collection plan Schedule formal school site visits for principal observations. Unannounced visits may also occur Adopt or recommend district student achievement measures and a schedule for their administration and reporting Ensure multiple measures of student academic growth are available If desired by the district, identify a stakeholder survey and a process to administer and report results to principals; or the principal may choose to administer a version of the district survey with specific school related questions May administer stakeholder feedback surveys in the fall so results are available for the midyear review Provide survey results to the principal 	<ul style="list-style-type: none"> Continue to implement action plans for professional practice and for school performance goals Collect and organize evidence as discussed with the supervisor in the goal-setting conference and after the midyear review Reflect on the collected evidence and what it means for attaining goals May administer a version of the district stakeholder survey with specific school related questions Analyze survey results for implications of goal attainment and future goal setting
PRINCIPAL SUPERVISOR RESPONSIBILITIES—DURING	PRINCIPAL RESPONSIBILITIES—DURING
<ul style="list-style-type: none"> Conduct ongoing school visits and observations, providing feedback on the principal's performance, using the Principal Leadership Evidence-Gathering Tool for Minnesota Principal Supervisors as a guide Discuss stakeholder feedback results (if available) with principals Ensure district administration of student achievement measures and that results are reported to principals 	<ul style="list-style-type: none"> Continue to implement action plans for professional practice growth and for achieving school performance goals. Review collected evidence and reflect on what it means for attaining goals Use ongoing evidence to assess progress on goals to date and make needed mid-course corrections
PRINCIPAL SUPERVISOR RESPONSIBILITIES—AFTER	PRINCIPAL RESPONSIBILITIES—AFTER
<ul style="list-style-type: none"> Continue to conduct ongoing school visits and observations, providing feedback on each principal's performance If applicable, collect stakeholder feedback and report results to principals Continue to ensure district administration of interim student achievement measures and that results are reported to principals Reflect on the process step and make notes on how the evidence collection and plan implementation process may be improved 	<ul style="list-style-type: none"> Continue to implement action plans for professional practice growth and for achieving school performance goals Continue to collect and organize evidence as discussed with the supervisor in the goal-setting conference May administer the stakeholder surveys Use ongoing available evidence to assess progress on goals to date and make needed mid-course corrections Reflect on the process step and provide feedback to the supervisor on how the evidence collection and plan implementation process may be improved

3. Midyear Formative Review Conference (Part-way through the year such as in February or March)

The midyear conference provides the opportunity for a formative, focused conversation between the principal and the supervisor to review progress and make any needed mid-course corrections.

The principal knows from the plan development at the beginning of the school year what evidence to bring and how the conference will be structured. For example, the principal may bring and analyze interim student performance measures and may make changes in instructional strategies based on the interim measures. In addition, the conference is a time to discuss changes in the context (e.g., a large influx of new students) that would support a shift in goals rather than strategies. The supervisor asks questions of the principal in light of the evidence brought to the conference and provides feedback on how well the principal is meeting goals and where more effort or a change in strategy may be needed.

The midyear conference concludes with formal feedback to the principal. After the conference, the principal supervisor continues to make observations of the principal’s professional leadership practices and provide feedback on performance, professional growth, plan implementation, and evidence. The principal continues to collect evidence and implement plans for school performance and professional growth.

Midyear Formative Review Conference Responsibilities

PRINCIPAL SUPERVISOR RESPONSIBILITIES—PRIOR	PRINCIPAL RESPONSIBILITIES—PRIOR
<ul style="list-style-type: none"> • Review the principal’s original evaluation plan, including goals and priorities • Review the evidence collected by the principal and notes from observations of the principal’s practice • Communicate to the principal expectations for midyear formative review conference • Schedule midyear formative review conference with the principal • Provide guiding questions for the conference discussions 	<ul style="list-style-type: none"> • Review the evaluation plan agreed upon at the beginning of the school year • Review and analyze available student achievement data to assess progress toward school performance goals • Submit evidence about actions taken to achieve school performance and professional practice goals to the supervisor • Reflect on the development of leadership practices related to the achievement of the goals
PRINCIPAL SUPERVISOR RESPONSIBILITIES—DURING	PRINCIPAL RESPONSIBILITIES—DURING
<ul style="list-style-type: none"> • Facilitate midyear formative review conference • Provide performance feedback based on the principal’s goals, rubrics, and evidence collected to date • Review interim assessment data relevant to school performance goals and evidence of implementation of the school improvement plan • Review stakeholder survey results (if available) as formative feedback for the principal • Check evidence of progress on professional practice goals • If needed, work with principal to revise professional practice and school improvement goals and strategies to achieve them 	<ul style="list-style-type: none"> • Reflect on the collected evidence and what it means for attaining goals • Describe actions taken to accomplish goals • Bring and describe documented evidence on progress toward professional goals and student outcome goals • Reflect on stakeholder feedback results (if available) for evidence of goal attainment or needed mid-course corrections • Consider changes in circumstances that may require changing the priorities and strategies • With the supervisor’s approval, may make changes to goals and strategies

PRINCIPAL SUPERVISOR RESPONSIBILITIES—PRIOR	PRINCIPAL RESPONSIBILITIES—PRIOR
<ul style="list-style-type: none"> Identify any specific concerns and increase support to principal if progress on goals on the proposed timeline is inadequate 	<ul style="list-style-type: none"> Request any needed additional supports

PRINCIPAL SUPERVISOR RESPONSIBILITIES—AFTER	PRINCIPAL RESPONSIBILITIES—AFTER
<ul style="list-style-type: none"> Complete the <i>Principal Midyear Formative Review</i> form and share it with the principal Continue to conduct ongoing school visits/observations, providing feedback on performance, professional growth, plan implementation, and evidence If applicable, collect stakeholder feedback and report results to the principal Communicate expectations for the end-of-year summative conference to the principal Reflect on the process step and make notes on how the midyear review conference process may be improved 	<ul style="list-style-type: none"> Review and sign the <i>Principal Midyear Formative Review</i> form. If clarifications, corrections or changes are needed, discuss with supervisor Continue to implement action plans for professional practice and for school performance goals Implement mid-course corrections, if applicable Continue to collect and organize evidence as discussed with the supervisor in the goal-setting conference and midyear review Collect and organize assessment results to evaluate school performance goals as results become available May identify additional learning opportunities for professional growth Reflect on the process step and provide feedback to the supervisor on how the midyear review conference process may be improved

Available Forms for Step 3 (see appendix H):

- Principal Midyear Formative Review*

The midyear conference can be informed by a set of guiding questions asked by the supervisor (See below). Principal supervisors may want to choose among these questions and include some additional questions specific to their district or a principal. The supervisor may want to provide these (or selected) questions in advance of the conference to the principal.

Midyear Conference Outline and Guiding Questions

Principals Professional Practice Goals and Growth Plan

1. When you reflect on your fall self-assessment and your professional practice goals, do you still have the same areas of strength and areas for growth?
2. How have you capitalized on your strengths to this point in the year?
3. What progress have you made in your professional growth? What parts of your professional practice growth plan have you implemented?
4. How have you applied these growth activities to your leadership practices? What evidence do you have that these growth activities have improved your practices?
5. What professional learning opportunities is the evaluation process providing?
6. What concerns about the process do you have at this point?

School Performance Measures

1. At this point, how do you think you and the school will do on the school performance goals? Are you likely to achieve your goals?
2. What interim student data have you collected to monitor progress on the school performance goals? How have you used this data in implementing your action plan, monitoring and planning for the future?
3. Have any student groups been unintentionally, negatively impacted?
4. What evidence shows you are implementing a school action plan that helps achieve your goals for school performance? What specifically has been your role in implementing the action plan?
5. How is implementation changing teaching and learning in the school? How have you maintained a focus on school performance goals in your school community?
6. What stakeholders are playing important roles in the implementation of the school's action plan? How have these stakeholders been involved in implementing the school's action plan? How are you facilitating their involvement?
7. What support do you need from me?

Stakeholder Feedback (Survey)

1. What concerns do you have about the stakeholder feedback informing your evaluation?
If stakeholder feedback has been collected...
2. What do you see in the stakeholder feedback results?
3. Why do you think stakeholders responded in the way they did?
4. How do these results confirm or change your action plan for the school for this year?
5. What strengths in your leadership practices do you see in the stakeholder feedback? What areas for growth? How do these compare to your self-assessment?
6. How will you use this stakeholder feedback in planning your own professional practice growth?

Evaluation Process Assessment and System Revision

1. What changes would you make to your preparation for the midyear review conference or how the conference was conducted and documented to make this step more useful in supporting your professional practice growth?

4. End-Of-Year Summative Review Conference

Prior to the summative review conference, the supervisor shares with the principal what to bring to the conference and the expectations for the conference. The principal assembles all evidence, including multiple measures of student outcomes and summary information.

To prepare for the conference, the principal reviews progress on the professional practice goals and student outcome goals. Targets should have been set in the fall goal-setting conference, and the principal should receive a score based on whether or not each goal was attained. The principal also reviews his or her professional practice in relation to the state's principal performance measures and indicators and reviews the evidence collected, including student data and stakeholder feedback, if available. Identifying areas of strength and growth, the principal provides a self-assessment for each measure (and indicator if desired) and develops an end-of-year progress report which may be shared with the supervisor in advance of the conference.

The summative report, along with the evidence collected and observations conducted, are the basis of the supervisor's summative evaluation of the principal.

The principal supervisor reviews the principal's self-assessment, evidence and goal attainment and creates a summative evaluation. A supervisor may choose to assign a summative rating, then meet with the principal to review progress and to discuss the summative rating. (See Appendix E., *Determining the Summative Rating*, for direction on determining the rating.). This meeting provides a foundation for the following year's goal-setting process.

Following the conference, the supervisor finalizes the summative evaluation score and generates a summary report of the evaluation that is signed by both parties. A performance level (i.e., exemplary, effective, needs development, or unsatisfactory) is assigned. See Appendix G for performance level descriptions.

While the outcome of this step is a summative evaluation, it is in service of the continuous improvement of the principal's leadership skills and professional growth. The process of the evaluation or calculating a rating identifies the principal's strengths and weaknesses which then serve as input into the next year's principal practice goals, student outcome goals and school improvement goals.

At the end of the annual cycle, the principal creates a growth plan independently or collaboratively with the supervisor, depending on the principal's performance level. If the principal has not made significant progress on the goals, an improvement plan is developed from the summary report consistent with the performance rating assigned. See *The Growth and Improvement Plan* in Appendix E for details on growth and improvement plans.

The supervisor can determine the timing of the summative conference during the continuous improvement cycle. A supervisor may wait until summer/fall when the MCA and other student outcome data are available to conduct the full summative review conference with the principal.

Another option would be to hold a preliminary summative review at the end of the academic year on professional practice goals with the final review (including student outcome goals) after final MCA

results are available. Tentative professional practice goals could be developed at this time and student outcome goals developed in the fall when student achievement data are available.

One other option is for the district to use other student outcome measures and complete the summative review at the end of the academic year. For examples of other measures see [Overview of Available Student Outcome Data and Recommended Uses](#) at MDE’s [Using Student Outcome Data](#) webpage (<http://education.state.mn.us/MDE/dse/prev/locres/data/>).

End-Of-Year Summative Review Conference

PRINCIPAL SUPERVISOR RESPONSIBILITIES—PRIOR	PRINCIPAL RESPONSIBILITIES—PRIOR
<ul style="list-style-type: none"> • Schedule the end-of-year summative review conference with principals • Communicate roles and responsibilities during the conference and what evidence and reflection the principal should bring to the conference • Review the principal’s original or amended evaluation plan • Review the <i>Principal’s Summative Self-Evaluation, provided by the principal</i> and all evidence collected over the course of the year • Score the principal’s professional practice goals and student outcome goals as determined in the goal-setting conference using the <i>Principal Evaluation Summary Report</i> form • May send report to the principal to review before conference 	<ul style="list-style-type: none"> • Review the original and amended evaluation plan, if changes were made • Organize supporting evidence and share this with the supervisor • Complete the <i>Principal’s Summative Self-Evaluation</i> form (might send it to the supervisor before conference); include an assessment of progress on goals, performance on each performance measure and indicator and impact on student learning
PRINCIPAL SUPERVISOR—RESPONSIBILITIES DURING	PRINCIPAL RESPONSIBILITIES—DURING
<ul style="list-style-type: none"> • Facilitate the end-of-year summative review conference • Meet with the principal to convey strengths, growth areas and the preliminary summative rating, with written evidence to support the rating for each standard • Provide and discuss ratings on the professional practice and student performance measures • Discuss expectations for the next growth and improvement plan • Identify what resources the principal may need for the next annual evaluation cycle 	<ul style="list-style-type: none"> • Share the <i>Principal’s Summative Self-Evaluation</i> with the supervisor if not already done so • Reflect, with the supervisor, on the year’s progress on goals and possible revisions to goals that have not been met that may become part of the next year’s goals • Discuss the summative rating provided by the supervisor (Where there is disagreement the principal may provide more evidence) • Discuss areas for improvement and growth for next year’s annual evaluation

PRINCIPAL SUPERVISOR RESPONSIBILITIES—AFTER	PRINCIPAL RESPONSIBILITIES—AFTER
<ul style="list-style-type: none"> • Complete the <i>Principal Evaluation Summary Report</i> and give the principal a copy for review and commenting • Collaboratively create or review the <i>Principal Growth and Improvement Plan</i> if the principal’s summative rating is Development Needed or higher (See Appendix E) • Complete the improvement section of the <i>Principal Growth and Improvement Plan</i> if the principal’s summative rating is Unsatisfactory (See Appendix E) • Place copies of the <i>Principal Evaluation Summary Report</i> (signed by the supervisor and principal) into the district’s file for each principal and share a copy with the principal • Reflect on the process step and make notes on how the end-of-year summative review conference process may be improved 	<ul style="list-style-type: none"> • Review and add comments to the <i>Principal Evaluation Summary Report</i>; sign and return to supervisor • Use the summative evaluation as input for next year’s goal-setting plan, and complete <i>Principal Growth and Improvement Plan</i> • May use the summer for more professional learning • Reflect on the process step and provide feedback to the supervisor on how the end-of-year summative review conference process may be improved

Available Forms for Step 4 (see appendix H):

- *Principal’s Summative Self-Evaluation*
- *Principal Evaluation Summary Report*--Word or Excel formats (The Word version requires the supervisor to perform the calculations. The Excel version performs the calculations.)
- *State Model Principal Evaluation Spreadsheet*—Excel (A more detailed spreadsheet than the above version)
- *Principal Growth and Improvement Plan Form*

The end-of-year conference can be informed by a set of guiding questions asked by the supervisor (See below). Principal supervisors may want to choose among these questions and include some additional questions specific to their district or a principal. The supervisor may want to provide these (or selected) guiding questions in advance of the conference to the principal.

End-Of-Year Conference Outline and Guiding Questions

Principal’s Professional Practice Goals and Growth Plan

1. When you reflect on your professional growth this year, do you still have the same areas of strength and areas for growth that you articulated at the beginning of the school year?
2. How have you capitalized on your strengths this year?
3. Have you met the goals you set in your professional practice plan? What progress have you made in your professional growth? What parts of your professional practice plan did you implement?
4. How have you applied these growth activities to your leadership practices? What evidence do you have that these growth activities have improved your practices?

Supervisor Evaluation Ratings and Performance Standards

1. How does the evidence collected on your leadership practices this year support the ratings?
2. How does this feedback align with your self-assessment? Where does it differ?
3. What does this feedback reflect about your ongoing growth as a leader?
4. How will this feedback inform your self-assessment next year and your plans for professional growth?

Professional Practice Goals

1. Did you meet your professional practice goals?
2. If you didn't meet certain goals what might you have done differently? What additional supports might have helped you achieve these goals?
3. How will this inform your goal setting for next year?

School Performance Measures

1. How do you think you and the school performed based on the school performance goals? Did you achieve your goals?
2. What was the impact on students and teachers? What evidence do you have to support your thoughts on the impact?
3. What gains did your underperforming student groups make?
4. What evidence do you have that you implemented a school action plan that supported your goals for school performance? What specifically was your role in implementing the action plan?
5. How did you maintain a focus on these goals in your school community? How did implementation of your action plan impact teaching and learning in the school?
6. What interim student data did you collect to monitor progress on the school performance goals? How did you use this data in ongoing implementation monitoring and planning?
7. What stakeholders played important roles in the implementation of the school's action plan?
8. What next steps do you see for the school's continuous action planning? How will this year's results be used to plan for next year?
9. What support do you need from me?

Stakeholder Feedback (Survey)

1. What do you see in the stakeholder feedback results? Are there any surprises? What insights do the results give you regarding the performance measures?
2. Why do you think the stakeholders responded the way they did?
3. How do these results compare to stakeholder feedback from previous years?
4. What results are directly related to areas within your influence? Do you think any results were shaped by factors outside of your realm of influence?
5. What strengths in your leadership practices do you see in the stakeholder feedback? What opportunities for growth? How do these compare to your self-assessment?
6. How will you use this stakeholder feedback in planning your own professional growth?
7. How will these results be used for action planning for the school?
8. Will you share or address the results with stakeholders? How? What results will you look for in sharing results?

Summative Evaluation and Growth Plans

1. How does this year's evaluation compare to previous evaluations? What does this tell you about your ongoing development as a leader?
2. What are the areas for celebration and recognition?
3. How does the summative evaluation compare to where you see yourself and the school in terms of performance? If there are discrepancies, what might be the sources for them?

4. What next steps do you see based on this evaluation? What priorities should we set for your professional growth? What support do you need from me?

Evaluation Process Assessment and System Revision

1. What opportunities did the evaluation provide? How can we improve the process for the next cycle?
2. What changes would you make to your preparation for the end-of-year summative review conference or how the conference was conducted and documented to make this step more useful in supporting your professional growth?
3. Do you think the evaluations are fair?
4. Are they happening the way they are supposed to?
5. Are they measuring the right things?
6. Do you think evaluations are improving your leadership practices?

5. Assessment and Revision of the Principal Evaluation Process

Districts should regularly assess the fidelity of implementation of their local evaluation system, review the impact and effectiveness of local systems, and continuously improve systems and activities. During the year, the supervisor and principal reflect on how to improve the district’s principal evaluation process to enhance the principal’s professional learning and growth. The supervisor reviews the notes made over the course of the year on possible improvements to the evaluation system and then makes recommendations for improvements.

The principal supervisor takes the lead in convening principals and central office staff to discuss possible improvements and make decisions on what changes to make and how they will be implemented. Recommended changes are reviewed and assessed and may be adopted. An implementation plan is developed to make the adopted changes including communicating the changes to central office staff and principals. Changes in roles are identified and resources can be reallocated. As appropriate, changes also are made in the orientation materials, forms, and process steps for the next evaluation cycle.

Assessment and Revision of the Principal Evaluation Process Responsibilities

PRINCIPAL SUPERVISOR RESPONSIBILITIES—PRIOR	PRINCIPAL RESPONSIBILITIES—PRIOR
<ul style="list-style-type: none"> • Review the notes after each step on how the evaluation process can be improved • Ask central office staff to make suggestions on how to improve the system • Review promising practices other districts are using to enhance their principal evaluation systems • Develop a list of recommended improvements and share with principals and central office staff • Check to make sure that the process continues to comply with state policy and statute 	<ul style="list-style-type: none"> • Reflect on the principal evaluation process steps and results; share suggestions for improvements with the supervisor • Reflect on participation in the evaluation process, making personal adjustments to each step of the process to enhance professional practice and student outcomes
PRINCIPAL SUPERVISOR RESPONSIBILITIES—DURING	PRINCIPAL RESPONSIBILITIES—DURING
<ul style="list-style-type: none"> • Facilitate a meeting of principals, central office staff, and other stakeholders to discuss and decide upon improvements to the evaluation system • Evaluate potential impacts of the improvements as part of the decision-making process, especially those that impact roles and resources 	<ul style="list-style-type: none"> • Participate and comment on potential changes to the system and what impacts the changes will have for the principal’s roles, professional practice, student outcomes, and professional learning
PRINCIPAL SUPERVISOR RESPONSIBILITIES—AFTER	PRINCIPAL RESPONSIBILITIES—AFTER
<ul style="list-style-type: none"> • Review, assess, and adopt any recommended changes • Develop implementation plan to incorporate the adopted changes into the evaluation system • Share changes with the school board and central office staff, noting necessary changes in roles and resources 	<ul style="list-style-type: none"> • Reflect on the system changes, noting what they mean for the next goal-setting process, resource requests, evidence collection, and deepening of professional growth

Summary

This model recognizes that principals are learning-focused leaders whose leadership skills are critical to creating effective schools that help all students learn. By identifying what leadership skills lead to improved student learning, districts can encourage, develop, support and hold principals accountable for achieving these skills. This is accomplished through the model's five step continuous improvement process, where the end of one cycle informs the next cycle of the process.

The end-of-year summative review provides critical data for the principal to consider for the goal-setting conference for the coming year. The supervisor's scoring of the principal's performance levels on leadership measures, coupled with student outcome results, stakeholder perceptions and other evidence provides feedback for principals to consider as they propose new goals for the coming cycle. A district commitment to a high quality principal evaluation system, as illustrated in the model, based on evidence and feedback for continuous improvement, should lead to increased student achievement.

MDE Tools and Resources

[Directory of Student Outcome Tools](#)

(http://education.state.mn.us/mdeprod/idcplg?IdcService=GET_FILE&dDocName=MDE059548&RevisionSelectionMethod=latestReleased&Rendition=primary)

This resource provides principals and principal supervisors with tools, templates, and exemplars to use when implementing the five different components of the practice profile tool on using student outcome data.

[Guide to Coaching School Principals: Incorporating Coaching Strategies into Principal Development and Evaluation](#)

(<http://education.state.mn.us/MDE/dse/prev/supres/coach/>)

Supervisors must be able to balance their evaluator role with that of a nurturing and supportive coach role, to help develop strong instructional leaders. This resource provides the supervisor with a framework necessary to be an effective coach—including coaching skills, strategies and tools aligned to the continuous growth cycle.

[Minnesota Principal Development and Evaluation Rubric](#)

(http://education.state.mn.us/mdeprod/idcplg?IdcService=GET_FILE&dDocName=mde059338&RevisionSelectionMethod=latestReleased&Rendition=primary)

The Minnesota Principal Performance Measures, or standards, define the actions principals need to take to drive increases in student performance. The rubric, aligned to the performance measures, is available to aid principals and supervisors in principal self-assessment, goal setting, and evaluation.

[Overview of Available Student Outcome Data and Recommended Uses](#)

(http://education.state.mn.us/mdeprod/idcplg?IdcService=GET_FILE&dDocName=MDE058610&RevisionSelectionMethod=latestReleased&Rendition=primary)

The document provides principals and their supervisors with a robust list of possible indicators and measures of student outcomes, including not only student test information but other possible student outcomes (graduation, attendance, social-emotional skills, post-secondary success, etc.) For each possible measure or assessment, it gives guidance on whether/when/how to use the measure.

[Practice Profile Tool: Using Student Outcome Data](#)

(http://education.state.mn.us/mdeprod/idcplg?IdcService=GET_FILE&dDocName=MDE058611&RevisionSelectionMethod=latestReleased&Rendition=primary)

This resource supports principals and principal supervisors by identifying the five core components involved in using longitudinal student outcome data to inform principal development and evaluation, and school improvement planning. This tool lists each component, its rationale, and the observable behaviors that describe what each component would “look like” if *recommended* student outcome data practices were being implemented by principals and principal supervisors.

[Principal Action Resource: The Instructional Leadership Team and Professional Learning Communities](#)

(http://education.state.mn.us/mdeprod/idcplg?IdcService=GET_FILE&dDocName=mde059560&RevisionSelectionMethod=latestReleased&Rendition=primary)

This resource is for principals who have identified strengthening teams within their schools as a critical strategy for distributing leadership and improving schoolwide outcomes. It supports principals as they establish and manage the school leadership team and professional learning communities of teachers within their schools.

[Principal Leadership: Change Management Guide](#)

(http://education.state.mn.us/mdeprod/idcplg?IdcService=GET_FILE&dDocName=mde059459&RevisionSelectionMethod=latestReleased&Rendition=primary)

This guide contains a clear process to manage change initiatives. It provides overviews and resources related to different change frameworks such as adaptive, second-order leadership vs. technical, first-order leadership and the principal's role in ensuring coherence among multiple initiatives within the school and communicating the "why" of the change to support staff buy-in.

[Principal Leadership Evidence Gathering Tool for Minnesota Principal Supervisors](#)

(http://education.state.mn.us/mdeprod/idcplg?IdcService=GET_FILE&dDocName=MDE058784&RevisionSelectionMethod=latestReleased&Rendition=primary)

This tool offers principal supervisors a framework for gauging principals' leadership capacities combined with an instrument for gathering evidence of their individual strengths and weaknesses over multiple contacts. It articulates the core ideas, guiding questions, and possible observables for each dimension along with specific suggestions for where and how to observe principals' practice and artifacts that may be helpful to collect in building evidence.

[Teacher Survey for Principal Development and Evaluation](#)

(<http://education.state.mn.us/MDE/dse/prev/locres/feed/>)

The Minnesota principal leadership survey is meant to be administered to teachers, providing their perception of the principal's leadership. Survey items are aligned to Minnesota's Principal Performance Measures. An essential administration manual is also available.

Glossary

Academic growth measures – Assessments of student learning over time (usually value-added, growth measures, pre-and post-tests, etc.) that assess student learning from one point to another. Academic growth measures are required in the statute on principal evaluation.

Artifacts – Tangible evidence that demonstrates a principal’s effectiveness (as described in a rubric) and subsequent evaluation. Examples of artifacts organized by Minnesota’s principal performance measures that may be collected as evidence can be found in Appendix C.

Benchmark – Evaluate or check (something) by comparison with a standard.

Continuous improvement – A cyclical development process that includes steps such as planning, implementing, evaluating, and improving over time designed in order to achieve better processes and outcomes.

Direct observation of principal practice – On-site review of the principal in action when the supervisor is physically present in the school watching the principal. Observations include, but are not limited to, leadership team meetings, principals observing teacher practice, or principal to teacher feedback conversations.

End-of-year summative review conference – A conference scheduled in the late spring or early fall during which the principal and supervisor discuss and evaluate the principal’s summative performance for that year.

Evidence – Information usually collected through direct and indirect observations of principals and through artifacts provided by the principal. Evidence is used as a basis of discussion between the supervisor and principal leading to feedback and ultimately a principal’s summative evaluation.

Formative – Includes measures and processes that are intended to give quality feedback to principals on progress toward their goals and informs subsequent growth plans. Midyear reviews would be an example, or feedback on observations.

Goal setting – The process of using prior evaluations, surveys, and self-assessments to set a principal’s performance goals (both professional practice and student outcomes) at the beginning of the annual evaluation process.

Graduation rates – The percent of students who graduate from high school in the stated time frame. A related measure is students on track to graduate meaning they have taken and passed the requisite college entry requirements in the appropriate grades.

Holistic approach – A principal’s collected evidence evaluated by a supervisor who looks for patterns in performance and trends over time and compares the evidence to a performance rubric or similar set of performance criteria. The supervisor interprets the evidence to draw a conclusion about overall performance and determines a principal’s effectiveness rating.

Indicators – Observable and measurable pieces of information about what leaders do to ensure effective teaching and successful learning by every student. They typically describe in more depth principal performance measures in the form of rubrics.

Indirect observation of principal practice – A supervisor observes or reviews systems or processes that have been developed and implemented by the principal but operate without the principal present.

Interim assessments – Student assessments administered periodically during the school academic year that evaluate students' knowledge and skills on academic goals. Results are used to identify if students are on track to meet their goals and the school's goals, allowing adjustments in instructional practices. The most useful interim assessments are those that can predict growth scores such as the MCA results. (See predictive measures.)

Midyear review conference – A conference between the principal supervisor and the principal usually scheduled in February or March to review the principal's progress on his or her performance goals and student outcome measures. Adjustments can be made to the growth plan or the supports the principal receives if the principal is not on track.

Minnesota Comprehensive Assessment (MCA) – A statewide assessment measuring proficiency in grades 3–8/10 in reading and 3–8/11 in mathematics and 5/8 and high school in science.

Multiple measures – The use of a number of different measures to judge both student and principal performance on their standards, goals or expectations.

Non-tested grades – School grades and academic subjects not tested by the Minnesota Comprehensive Assessment.

Numerical approach – The quantification of different measures of principal performance that are usually added or averaged in order to generate a single principal effectiveness score or rating.

Observation – A visit to a school by a supervisor to observe principal practice. Protocols are used to collect evidence which are then judged against performance measures or other professional goals.

Performance levels/categories – Labels for levels of principal effectiveness based on rubrics, multiple measures and supporting artifacts. These levels are exemplary, effective, development needed, and unsatisfactory.

Performance measures – Standards of competency that principals are expected to meet. They reflect the research on the skills, knowledge, and behaviors that principals who have raised student achievement demonstrate.

Postsecondary readiness – When students acquire the skills and knowledge in high school to enter postsecondary institutions and take and pass college level courses. College readiness is often measured by tests such as the SAT or ACT.

Predictive assessments – Interim assessments that have been statistically correlated with annual growth measures such as the MCA. For example, a student’s or classroom’s midyear score on an interim assessment predicts a final score (assuming student learning continues at the same rate) on the MCA. Predictive tests allow instructional interventions, if needed.

Principal supervisor – The person responsible for evaluating a principal. Along with other evaluator-related responsibilities, the evaluator approves professional development plans in the fall, conducts a midyear review and conducts the final annual summative principal evaluation.

Professional judgment – A supervisor’s ability to look at evidence and make an informed decision on a principal’s performance without a set calculation in place.

Professional learning community – A school team of teachers and other specialists that work collaboratively together in recurring cycles of collective inquiry and action research to achieve better results for the students they serve.

Professional practice goals – Goals a principal and supervisor agree upon to improve a principal’s leadership skills and behaviors.

Professional practice plan – The individualized plan for a principal which constitutes a written agreement that outlines the steps to be taken to improve the principal’s effectiveness. Each plan consists of professional practice goals and student outcome goals with clear action steps for how each goal will be met.

Profile approach – Multiple types of evaluation data are collected but each measure is considered and scored separately before data are combined in a matrix with different categories of metrics on the two axes. Rating categories are used for each of the measures, resulting in a profile that defines areas of refinement or reinforcement for each principal.

Promising practices – Documented descriptions of practices that incorporate lessons learned, feedback and analysis that lead to improvements or positive outcomes.

Qualitative data – Descriptive data.

Quantitative data – Anything that can be expressed as a number or quantified.

Reliability – The ability of an instrument to measure consistently across different raters and contexts.

Rubrics – A set of principal actions or criteria used to score or rate principal’s performance on standards and indicators. Good rubrics consist of a four-point measurement scale and principal performance actions for each indicator at each point on the scale.

Self-assessment – A principal rates his or herself on a rubric measuring the district’s principal performance goals. Results are used for goal setting and often the summative review.

School improvement plan – A course of action developed by the principal, working collaboratively with a school team. They review past performance, set goals and develop a plan to meet annual school goals.

Stakeholders – Different role groups with an interest in the success of the education system. A stakeholder could be a parent, teacher, student, school board member, community leader, business representative, etc.

Stakeholder surveys – Questionnaires about the principal’s performance given to various stakeholder groups. Questions on how well a principal meets standards or other expectations can be asked of their teachers, students, and/or community members. Stakeholder feedback is designed to give principals informal feedback on how their leadership skills are perceived by different stakeholder groups.

State example model – The Minnesota state model for leadership evaluation and development for principals was designed by a committee of educators, primarily administrators, along with parents, school board members, and other public members. It was designed in response to and in compliance with requirements in legislation.

Statute – A written law passed by a legislative body. Minnesota’s principal evaluation requirements are contained in Minnesota statutes, section 123B.147 passed in 2011.

Student academic growth – Required by Minnesota statutes, section 123B.147 to be collected and reported as part of the principal’s summative evaluation. Intended to report how much a student learns from year to year.

Student proficiency – Levels (cut scores) set on standards-based tests than indicate a student’s level of academic accomplishment.

Student outcomes – Results and progress students make on academic assessments and other measures.

Summative review conference – An end-of-cycle or end-of-the-year evaluation that is based on multiple measures, domains, and performance criteria that usually results in an evaluation (and sometimes a rating) of the principal.

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 may be mapped on to a point scale that corresponds to the four summative ratings: exemplary, effective, development needed or unsatisfactory.

Validity – The ability of an instrument to measure the attribute it intends to measure.

Weighting – How much a particular measurement tool, student growth measure or performance measure determines overall performance when multiple measures are combined into a single rating.

Appendix A.

2015 Minnesota Statutes

123B.147 PRINCIPALS.

Subd. 1. Supervision of school building.

Each public school building, as defined by section [120A.05, subdivisions 9, 11, and 13](#), in an independent district may be under the supervision of a principal who is assigned to that responsibility by the board of education in that district upon the recommendation of the superintendent of schools of that district. If pupils in kindergarten through grade 12 attend school in one building, one principal may supervise the building.

Subd. 2. Valid license required.

Each principal assigned the responsibility for the supervision of a school building shall hold a valid license in the assigned position of supervision and administration as established by the rules of the commissioner of education.

Subd. 3. Duties; evaluation.

(a) The principal shall provide administrative, supervisory, and instructional leadership services, under the supervision of the superintendent of schools of the district and according to the policies, rules, and regulations of the school board, for the planning, management, operation, and evaluation of the education program of the building or buildings to which the principal is assigned.

(b) To enhance a principal's leadership skills and support and improve teaching practices, school performance, and student achievement for diverse student populations, including at-risk students, children with disabilities, English learners, and gifted students, among others, a district must develop and implement a performance-based system for annually evaluating school principals assigned to supervise a school building within the district. The evaluation must be designed to improve teaching and learning by supporting the principal in shaping the school's professional environment and developing teacher quality, performance, and effectiveness. The annual evaluation must:

(1) support and improve a principal's instructional leadership, organizational management, and professional development, and strengthen the principal's capacity in the areas of instruction, supervision, evaluation, and teacher development;

(2) include formative and summative evaluations based on multiple measures of student progress toward career and college readiness;

- (3) be consistent with a principal's job description, a district's long-term plans and goals, and the principal's own professional multiyear growth plans and goals, all of which must support the principal's leadership behaviors and practices, rigorous curriculum, school performance, and high-quality instruction;
- (4) include on-the-job observations and previous evaluations;
- (5) allow surveys to help identify a principal's effectiveness, leadership skills and processes, and strengths and weaknesses in exercising leadership in pursuit of school success;
- (6) use longitudinal data on student academic growth as 35 percent of the evaluation and incorporate district achievement goals and targets;
- (7) be linked to professional development that emphasizes improved teaching and learning, curriculum and instruction, student learning, and a collaborative professional culture; and
- (8) for principals not meeting standards of professional practice or other criteria under this subdivision, implement a plan to improve the principal's performance and specify the procedure and consequence if the principal's performance is not improved.

The provisions of this paragraph are intended to provide districts with sufficient flexibility to accommodate district needs and goals related to developing, supporting, and evaluating principals.

History:

Ex1959 c 71 art 4 s 16; 1969 c 9 s 27; 1971 c 144 s 1; 1973 c 492 s 7; 1974 c 37 s 1; 1975 c 162 s 25; 1975 c 432 s 16; 1978 c 706 s 13-15; 1978 c 764 s 31,32; 1979 c 334 art 6 s 8; 1981 c 175 s 1; 1983 c 314 art 7 s 18; 1986 c 444; 1987 c 398 art 8 s 8; 1990 c 562 art 8 s 21,22; 1991 c 265 art 9 s 34,35; 1993 c 224 art 9 s 22; art 12 s 15; 1Sp1995 c 3 art 9 s 19; art 16 s 13; 1998 c 397 art 6 s 55-61,124; art 11 s 3; 1998 c 398 art 5 s 55; art 6 s 16; 2003 c 130 s 12; 1Sp2011 c 11 art 2 s 22; 2012 c 239 art 2 s 8; 2014 c 272 art 1 s 30

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Appendix B.

Minnesota Principal Performance Measures and Indicators

Performance Measure #1: Develops, Advocates for, and Enacts a Shared Vision for High Student Achievement Supported by a Culture of High Expectations and Family Engagement

- A. Develops and enacts a shared vision for high achievement and postsecondary success for all students
- B. Identifies school-wide priorities, establishes rigorous, measureable and aligned goals for student learning and implements a strategic plan to achieve those goals
- C. Builds a sense of community where all students and adults are valued and fosters a shared commitment to high expectations for student and adult behaviors aligned to the vision
- D. Develops cultural competence in the school community and promotes responsiveness to both the resources and the biases connected to race, culture and diversity
- E. Engages families and communities in the academic success of students

Performance Measure #2: Provides Instructional Leadership for High Student Academic Performance

- A. Ensures implementation of curricula and assessments aligned to career and college readiness standards
- B. Supports teachers in implementing high-quality, effective classroom instructional strategies to meet diverse student learning needs, increase intellectual challenge, and drive increases in student achievement
- C. Tracks and analyzes multiple forms of qualitative and quantitative student data to drive instructional and intervention strategies and to monitor the effectiveness of those strategies
- D. Provides coherent systems of academic and social supports and services to meet the range of learning needs of each student

Performance Measure #3: Develops and Maintains a High-Quality, Effective Staff

- A. Implements a cohesive approach to recruiting, selecting, assigning, and retaining effective staff
- B. Facilitates high-quality professional learning for teachers and other staff
- C. Increases teacher and staff effectiveness through high-quality observations, actionable feedback, coaching, and evaluation
- D. Selects, develops and supports a high-performing instructional leadership team with a diverse skill set

Performance Measure #4: Demonstrates Ethical Personal Leadership through Relationship Building, Effective Communication, and Self-Reflection

- A. Models appropriate personal, professional, and ethical behavior that is respectful and fair
- B. Maintains a relentless focus on student learning and demonstrates resiliency in the face of challenge
- C. Constructively manages and adapts to change and employs problem-solving strategies with the ultimate goal of improving student achievement
- D. Demonstrates strong interpersonal, communication and facilitation skills for multiple audiences
- E. Models self-awareness, reflection and ongoing learning

Performance Measure #5: Strategically Manages and Monitors School Systems and Operations

- A. Organizes and manages resources (e.g., time, money, technology) in alignment with school priorities and goals
- B. Maintains a safe, secure and respectful learning environment for all students and adults
- C. Ensures the school is in compliance with local, state, and federal laws, standards, regulations, and district initiative

Appendix C.

Collecting and Judging Evidence on a Principal's Performance Overview

Evidence collection, analysis, and judgment form a basis of a principal supervisor's assessment of principal practice. The purposes of the evaluation system and its performance standards should clearly define the types of leadership practices to be supported and assessed by the evaluation system along with evidence of those practices. Other objective measures (e.g., student outcomes, school climate, and culture) may also be used as evidence to determine a principal's levels of performance, success in achieving his or her goals, and final summative evaluation. Most importantly, evidence of principal practice provides the content for feedback to guide the ongoing growth of a principal's professional practice.

A supervisor's skill in collecting, analyzing, and judging evidence is crucial to a fair principal evaluation system. Evidence that is collected should be:

- Aligned to the district's, the school's, and the principal's personal growth and school improvement priorities,
- Of high quality, and
- A strategic and representative sample. For example, a principal wanting to improve his or her role in guiding a leadership team may want several observations during the year with the supervisor observing how the agenda was determined, how the principal facilitated the conversations, how next steps were determined, and how the principal supported the team.³

This appendix focuses primarily on collecting evidence through *direct* observation of principal practice, including what steps to take in the observation process, the types of evidence that should be collected, and the use of evidence to make fair and accurate judgments about a principal's practice. *Indirect* observation of a principal's practice and artifact collection are briefly discussed.

An Evidence Collection Plan

Recording observable evidence of a principal's practice continuously over the course of the year is critical to effective principal development and fair evaluation. At the beginning of the process during the goal-setting process, the principal supervisor and the principal should create an evidence collection plan. The focal areas for the plan should be defined primarily by the principal's professional practice goals and the student outcome goals while collecting a variety of evidence more broadly representative of the state's principal performance measures.

Having an evidence collection plan ensures that there will be an effective use of the supervisor and principal's time by setting key priorities for on-the-job observations. These visits should provide a baseline for measuring progress, informing changes in a principal's professional practice plan, and identifying additional supporting resources, as needed.

³ Massachusetts Department of Education, *Educator Evaluation Toolkit*, February 2014.

Table 1. Offers a sample fall timeline for observations and the types of evidence to be collected. The observations are organized to focus on specific performance measures and include focus questions to inform each observation. Evidence to be collected and examined informs the artifacts and activities for each month’s planned observation.

Table 1. Sample Evidence Collection Plan and Timeline

SEPTEMBER	OCTOBER	NOVEMBER
<p>Performance Measure 1</p> <p><i>Develops, advocates for, and enacts a shared vision for high student achievement supported by a culture of high expectations and family engagement</i></p>	<p>Performance Measure 2</p> <p><i>Provides instructional leadership for high student academic performance</i></p>	<p>Performance Measure 3</p> <p><i>Develops and maintains a high quality, effective staff</i></p>
<p>Guiding Questions</p> <ul style="list-style-type: none"> • How does the principal communicate and drive the school’s priorities and strategic actions? • How do the school leadership and community use evidence of student success and learning needs to build collaboration? 	<p>Guiding Questions</p> <ul style="list-style-type: none"> • What data does the school leadership collect to learn about trends in instructional practice as well as student performance? • What role does a research based instructional framework play in the observation, analysis feedback and inquiry about instructional practice? 	<p>Guiding Questions</p> <ul style="list-style-type: none"> • What evidence shows that the school leadership implements strategic efforts to recruit, hire/retain, induct, support, and develop the best staff? • What evidence demonstrates the staff’s access to professional growth opportunities?
<p>Direct Evidence Collected</p> <ul style="list-style-type: none"> • Visual representation of the shared vision, mission goals and progress of the school (such as hallway displays and academic progress on tests) • Common language among students, staff, and parents when discussing the goals and vision of the school and outcomes for students 	<p>Direct evidence Collected</p> <ul style="list-style-type: none"> • Data that describe strengths and weaknesses in student performance in relation to state standards • The principal’s use of a variety of data to evaluate teachers 	<p>Direct Evidence Collected</p> <ul style="list-style-type: none"> • The principal’s documentation of leadership team meetings that reflect collective and individual thinking for curricular, instructional, and school improvement growth • The principal’s criteria for professional learning communities: how they are formed, how the success of PLCs is measured and celebrated
<p>Indirect Evidence Collected</p> <ul style="list-style-type: none"> • Documents and plans on how the school vision will be implemented 	<p>Indirect Evidence Collected</p> <ul style="list-style-type: none"> • A professional learning plan for staff that is job-embedded and driven by the data on student performance and the school improvement plan 	<p>Indirect Evidence Collected</p> <ul style="list-style-type: none"> • The principal’s documentation of recruitment strategies, including perceived staffing needs based on student achievement goals

For a complete guide to collecting evidence and more resources for developing an evidence collection plan on performance measures see [Principal Leadership Evidence-Gathering Tool for Principal Supervisors](#) at MDE’s [Gathering Evidence of Principal Practice](#) webpage (<http://education.state.mn.us/MDE/dse/prev/supres/evid/>).

Collecting Evidence through School Visits

There is no substitute for regular visits to schools to observe principals and their work in the context of their school. State statute requires “on-the-job observations” of principal practice as part of the evaluation process. While the number of observations is not specified, periodic, targeted and purposeful school visits are critical opportunities for supervisors to understand the work of individual principals as it relates to instructional leadership, school culture, and other key leadership practices. Only when supervisors have this complete picture can they effectively coach their principals.

These visits should be scheduled over the course of the year to provide the supervisor with a sufficient breadth of evidence to allow the assessment of principal performance on the district’s performance measures and indicators. At the same time, multiple visits should be designed to provide the supervisor and principal sufficient depth of evidence to assess the principal’s professional practice goals.

Steps in Conducting School Visits and On-the-Job Observations

On-the-job observations should begin with preparation for the school visit. During the school visit, the supervisor focuses on observation and evidence collection. The supervisor takes evidence-based notes that describe what is seen or heard. The visit is followed by analysis of evidence and the feedback and planning. The supervisor reviews the evidence and makes judgments on the quality of practice during the observation. Feedback aligned to evidence and the performance measures should provide the principal with new growth opportunities. When done well, this four-step process helps to build professional and trusting relationships between principal supervisors and principals.

These steps, summarized in Table 2 below, are repeated for every observation.

Table 2. Recommended Steps for Conducting On-the-Job Observations

1 PLAN AND PREPARE FOR THE OBSERVATION	2 OBSERVE AND COLLECT EVIDENCE	3 ANALYZE AND JUDGE EVIDENCE	4 DISCUSS AND PLAN
<p>Supervisor reviews the principal observation process, including how to:</p> <ul style="list-style-type: none"> • Make observations • Create judgments • Provide feedback and coaching based on performance measures, indicators and principal’s actions • Link observations to standards and indicators on rubrics <p>Supervisor reviews the principal’s evidence collection plan to provide focus for the observation</p> <p>Supervisor reviews the principal’s background information and artifacts from:</p> <ul style="list-style-type: none"> • Previous evaluations • Evidence and feedback from previous observations related to the principal’s focus areas <p>Supervisor has a knowledge of the principal’s:</p> <ul style="list-style-type: none"> • School mission and vision • School improvement plan • Prior stakeholder survey results • Professional growth goals • Student learning targets 	<p>Supervisor conducts the onsite observation</p> <p>Supervisor collects and records evidence relevant to assessing practice through direct and indirect observation:</p> <ul style="list-style-type: none"> • Pays particular attention to actions associated with the principal’s leadership priority areas and the rubrics associated with them • Monitors the connections among student learning priorities, staff learning priorities and the principal’s leadership priorities <p>Supervisor may also collect artifacts or school data</p> <p>Supervisor writes a summary of the observation session</p>	<p>Supervisor sorts and categorizes evidence by principal performance measures and indicators</p> <p>Supervisor compares evidence to rubric descriptors:</p> <ul style="list-style-type: none"> • Assesses individual pieces of evidence • Looks for patterns across multiple sources of evidence <p>Supervisor makes performance judgments based on the evidence</p> <p>Supervisor plans the post-observation conference and prioritizes formative feedback for the principal</p>	<p>Supervisor facilitates a timely post-observation conference to provide clear, specific, and actionable evidence-based feedback aimed at the professional growth of the principal:</p> <ul style="list-style-type: none"> • Reviews and discusses evidence related to the principal’s goals and the performance standards • Asks questions to prompt the principal’s reflection • Discusses strengths and weaknesses • Provides feedback and models techniques to improve principal’s performance • Establishes action steps to improve the principal’s practice and professional growth <p>Supervisor may ask the principal to self-rate performance according to the evidence and rubric</p> <p>Supervisor and principal assess principal’s progress and determine whether the evidence plan needs modifications</p> <p>Supervisor finalizes notes and records if observation ratings will be considered in the summative evaluation</p>

Observing and Collecting Evidence

During observations supervisors should take evidence-based notes, writing specific instances of what the principal and others say and do. They should avoid attempting to script or record everything. Supervisors should have a plan for the observation to focus on the relevant evidence rather than attempting to capture the entire scene.

Supervisors should gather relevant evidence that specifically aligns to the principal's evidence collection plan. For example, if a supervisor is observing classrooms for the quality of planning and instruction, evidence collection should include a review of lesson plans, professional learning plans, records of teacher observations and feedback provided to teachers.

Evidence is the objective recording or description of what is observed. Evidence is the actual statement a principal makes to a teacher, but it is not an interpretation of the quality of the statement—it is just the recording of facts. The evidence that principal supervisors record during the observation should be non-judgmental, reflecting a clear and concise account of what occurred in the observation.

During observations, supervisors should collect enough evidence to help them make accurate professional judgments on the rubric, and should carefully consider the quality, alignment, and purpose of all evidence collected.

Principles of Effective Observation

Observations of principal practice—both direct and indirect—are a valuable source of evidence. To get the maximum value from these observations and to ensure that analysis and feedback supports a principal's professional growth, the principal supervisor should:

- ✓ Take written objective notes when observing, describing things that are seen or heard that matter for evaluating the practice
- ✓ Pay attention to both what is being said and to unspoken behaviors
- ✓ Resist the urge to form judgments about the quality of the practice during the observation itself
- ✓ Search for a perceived cause and effect relationship between what the principal and teachers are observed doing and the student outcomes of the observed practices
- ✓ Map the observed evidence to the rubric to identify the level of principal effectiveness and be able to cite examples of evidence that support placement in the indicator rubric
- ✓ Include multiple forms of evidence from a variety of sources to develop a complete picture of the principal's practice

Consider collecting more evidence for a new or struggling principal to provide early and frequent feedback.

Four Types of Evidence

New Leader's⁴ identifies four elements of evidence required for the effective assessment of leadership practice.

1. Direct observation of principal practice occurs when the supervisor is physically present in the school or venue where the principal is present and leading. These observations include but are not limited to leadership team meetings, principals observing teacher practice, or principal-to-teacher feedback conversations.

During these visits, the supervisor observes the principal's practice, both directly and indirectly, collects evidence, and analyzes the work and its outcomes. The supervisor and principal may visit classrooms together so that the supervisor is able to assess the principal's skills and knowledge as an instructional leader.

Observation of practice need not be limited to classroom observation. With the principal present, the supervisor may observe a faculty meeting, a professional learning community, a teacher's classroom, a parent-teacher organization meeting, a data retreat, a team leadership meeting, or interactions with other district staff.

2. Indirect observation of principal practice occurs when the supervisor is observing or reviewing systems or processes that have been developed and implemented by the principal but operate without the principal present. These indirect observations include but are not limited to attending teacher team meetings or collaboration sessions (where the principal is not present) or observing teacher practice across multiple classrooms.

Indirect observations allow the supervisor to see systems the principal has put into place, such as observing teachers to determine instructional quality, observing teacher teams that focus on

unit planning or watching how the team is responding to interim assessment data. These can yield useful information and provide rich opportunities for feedback and growth.



3. Artifacts are written records of a principal's work and include a wide variety of tangible evidence that is intended to reflect a principal's effectiveness and inform subsequent evaluation. Artifacts might include but are not limited to the strategic school plan, documentation of the school's instructional framework, and communications to families and community members. (See Appendix D. for a list of sample artifacts organized by performance measures.) Written artifacts can serve two purposes. First, they can supplement observation and provide more evidence that is relevant to an observation. For example, a supervisor may observe a school data retreat and then review the school improvement plan as an artifact.

⁴ New Leaders, Inc. *Putting Principal Evaluation into Practice*, (New York: New Leaders, 2012).

In another example, if the supervisor is observing classrooms for the quality of instruction and planning, evidence collection should include a review of lesson plans, professional learning plans, records of observations, and feedback for teachers. The second purpose of artifacts is to provide evidence on sections of the rubric that might be more difficult to observe directly.

To ensure artifact collection is focused, at the beginning of the year supervisors and principals should discuss which artifacts will be collected and analyzed as part of the evidence collection plan. 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.

4. School data are concrete results of a principal's work including but not limited to leading indicators, direct evidence of student performance, and stakeholder feedback.

Evidence collection in these four areas should provide the basis for actionable feedback, shape and inform the professional growth needs of a principal, and become the basis for a principal's summative evaluation.

Analyzing and Judging Evidence

Principal supervisors should have deep knowledge of the state's performance measures and know what these look like in practice. Their understanding of the evaluation process is a critical foundation for understanding the relevant evidence. After principal supervisors make judgments on observations of direct and indirect evidence, supervisors can map these results to the district performance measures and indicators.

As an example, the supervisor may be observing a principal lead a PLC meeting. As evidence, the supervisor notes the meeting has started on time and there is a shared agenda on instructional strategies with stated outcomes. The principal reviews the agenda with teachers and asks if there are questions on the agenda. A teacher asks, "Will there be follow-up training on the instructional strategies?" The principal answers, "The two following PLCs will be devoted to learning the strategies with opportunities for practice."

The supervisor then makes judgments associated with the events. Because the meeting started on time and there was an agenda, the supervisor makes the judgment that the principal is organized, values the time of her staff, and has an instructional focus and strategy. Because there will be follow-up training the supervisor makes the judgment that the principal supports teacher's ongoing professional learning and drives for school improvement outcomes by focusing on improving instruction over time as described by the two follow-up meetings.

Using this same example of the principal supervisor observing a PLC, the judgments of what was observed can be mapped to the model's performance measures and indicators as follows:

- The strategy focus of the PLC can be mapped to indicator 1B: Identifies school-wide priorities, establishes rigorous, measurable and aligned goals for student learning and implements a strategic plan to achieve those goals.

- The PLC focus on instructional strategies can be mapped to indicator 2B: Supports teachers in implementing high-quality, effective classroom instructional strategies to meet diverse student learning needs, increase intellectual challenge, and drive increases in student achievement.
- The use of PLCs can be mapped to learning teams and professional development in indicator 3C: Facilitates learning teams and professional development opportunities to meet staff growth needs.

The principal supervisor can use the rubric descriptors for each indicator to assign levels of performance for the principal.

Discussing and Planning

Feedback from the principal supervisor to the principal after each observation should be timely, specific, and actionable. It should be directed to the professional growth goals of the principal and related to the pertinent model's performance standards and at the level the principal is currently performing.

Feedback is best delivered in a give and take format with the supervisor asking mediational questions and the principal responding and asking questions, especially on how to improve performance and on how the district might support this.

In terms of planning, the supervisor and principal should create action steps to improve the principal's practice and professional growth.

Coaching During Discussion and Planning

The evaluation process can be a coaching opportunity for principal supervisors. Information on how coaching strategies can be incorporated into principal evaluation and supervision can be found in the *Guide to Coaching Principals: Incorporating Coaching Strategies into Principal Development and Evaluation*, found on the [Coaching School Principals](http://education.state.mn.us/MDE/dse/prev/supres/coach/) webpage (<http://education.state.mn.us/MDE/dse/prev/supres/coach/>).

Summary

A principal supervisor's observations, evidence collection and the judgments drawn from the evidence are at the heart of the feedback that informs a principal's professional growth. Evidence is the basis of actionable feedback. The skills of the supervisor in helping to identify what evidence to collect, in observing a principal, in making appropriate judgments, and conducting conversations with a principal are critical to the improvement of a principal's practice.

Regular and frequent interactions between principals and supervisors can foster collegiality and trust that will have powerful effects on the quality of school leadership and on the instruction that students receive. There is no statutory requirement on the number of observations a principal supervisor should make. However, research shows that ongoing feedback is a critical feature of a strong evaluation system.

Appendix D.

Sample Artifact Collection

Organized by Minnesota Performance Measures⁵

ARTIFACTS	SHARED VISION FOR HIGH STUDENT ACHIEVEMENT	INSTRUCTIONAL LEADERSHIP	HIGH QUALITY AND EFFECTIVE STAFF	PERSONAL LEADERSHIP	SYSTEMS AND OPERATIONS
School vision and mission statement	X				
School goals	X	X			
Stakeholder surveys	X	X	X	X	X
School improvement plans	X	X			
Minutes of planning sessions	X	X	X	X	X
Progress on school improvement plans	X	X			X
Formative reviews		X	X	X	
School/staff meeting agendas	X	X	X		X
Curriculum alignment documents		X			X
Changes in curriculum and instruction based on student data		X			
Data notebooks/data retreats		X			
Teacher action research		X			
Records of involvement in professional associations		X			
Staffing plans		X	X		
Teacher lesson plans		X			
Schedules and meetings of professional learning communities	X	X	X		

⁵ Adapted from the *South Dakota Principal Effectiveness Handbook*. South Dakota Department of Education and the South Dakota Department of Teaching and Learning. 2015.

ARTIFACTS	SHARED VISION FOR HIGH STUDENT ACHIEVEMENT	INSTRUCTIONAL LEADERSHIP	HIGH QUALITY AND EFFECTIVE STAFF	PERSONAL LEADERSHIP	SYSTEMS AND OPERATIONS
Documentation of instructional practices used in the school		X	X		X
Teachers' professional learning opportunities		X			X
Hiring calendar and process		X			X
School budget					X
Teacher turnover rates			X		
Completed teacher evaluations		X	X		X
Teacher professional growth plans		X	X		
Community partnerships and their outcomes	X				
Estimated community resources leveraged by the school	X				X
Public services supported by the school					X
Parent and student handbooks	X				X
Communication logs and other feedback	X				X
Discipline referrals	X				X
Parent newsletters	X				
Parent association rosters	X				
Family engagement in school based activities	X				
School website				X	X
Mentoring/internship		X			
Principal professional growth plan		X			X
Media relations	X				
Other					

Appendix E.

Determining the Summative Rating

Overview

The collection of evidence across multiple measures provides a more accurate and nuanced picture of a principal's performance and its impact on student learning. Multiple measures can include performance rubrics and evidence from observations and artifacts, etc. The use of performance standards to rate principal professional practice helps define professional expectations, identifies areas to focus improvement, and recognizes performance that is of exceptional quality.

Evidence, including artifacts and school data, can not only be used to provide more detailed feedback throughout the evaluation process but may also be discussed during the summative review to confirm the accuracy of a principal's ratings.

Evidence used to inform a summative rating typically represent two types of data: quantitative and qualitative. Quantitative data is information about elements that can be measured and recorded with numbers. Examples include student outcome scores, a principal's score on a rubric that measures performance on an indicator, or survey results using different categories of stakeholders' perceptions of a principal's performance.

Qualitative data is information about elements or aspects of leadership performance that can't actually be reduced to numerical values. Qualitative data may be a supervisor's perspective and judgment on how well a principal is progressing on working with and engaging a school leadership team to support the school improvement plan.

Qualitative data collection often requires professional judgment by the supervisor. For example, the supervisor's professional judgment might include a synthesis of the school context, ways and the extent a principal's practice grew over the year, a principal's response to feedback, a principal's adaption of his or her practice to the current situation, and other appropriate factors that cannot be directly accounted for in a rubric.

It's the combination of multiple measures—both quantitative and qualitative—in a principal's evaluation that provides the depth, richness, detail, and accuracy that leads to an evaluation that promotes a principal's professional growth.

Combining Measures

The principal practice, and student outcome measures are combined to create the summative rating. Minnesota statute requires that a minimum of 35 percent of a principal's evaluation be based on student academic growth.

Three steps are used to create a summative rating:

1. Develop a student outcome rating.
2. Develop a principal professional practice rating.
3. Combine the two component ratings into a final summative rating.

Step 1--Student Outcomes Component Rating

At the beginning of the cycle, during the goal-setting conference, the principal supervisor and the principal set clear expectations and targets for what student outcome results are required to achieve each rating level on the student outcome portion of the evaluation. In the example below (table 1) the achievement gap is weighted twice as much as the other student outcome measures.

Table 1. Determining a Student Outcome Score Example

Student Outcome Goals	Baseline	Goal Target	Actual	Rating	Weight	Score
1. Individual student growth--Math	50%	55%	52%	Development Needed (2)	1	2
2. Student proficiency--Reading	58%	64%	60%	Development Needed (2)	1	2
3. Achievement gap--Math	65%	70%	69%	Effective (3)	2	6
4. Attendance	88%	90%	90%	Effective (3)	1	3
Student outcome score total						13
Average student outcome score (Score A)				EFFECTIVE		3.25

Table 2. Score Range Table

EXEMPLARY / 4 (Exceeds target)	EFFECTIVE / 3 (Meets target)	DEVELOPMENT NEEDED / 2 (Made progress toward target)	UNSATISFACTORY / 1 (Made zero progress toward target or regressed)
3.5 – 4.0	2.5 – 3.49	1.5 – 2.49	1 – 1.49

In this example, the principal supervisor provides a score for the student outcome portion of the principal evaluation that integrates results against all student outcome goals and reflects the expectations set during the goal-setting process. The student outcome score total is divided by the number of goals, and the principal receives an average indicator score of 3.25. This falls in the “EFFECTIVE” range (see table 2).

Step 2--Principal Professional Practice Component Rating

The rating of each principal’s professional practice is based on the preponderance of evidence for each performance standard. Evidence from direct and indirect observations of principal practice, artifacts, and school data should be reviewed together for a comprehensive view of principal professional practice. Principals are generally rated on most if not all of the performance measures and indicators. Specific attention should be paid to leadership areas identified as priority areas for development.

The different measures of principal performance are quantified and either added or averaged in order to generate a single principal effectiveness score. A determination of “Exemplary” is given a “4,” “Effective” a “3,” “Needs development” a “2,” and “Unsatisfactory” a “1.” See Appendix G for performance level descriptions.

In a numerical approach the calculation may involve a straight average or a weighted average in which some measures are adjusted to contribute more than others before they are combined into a single score. By weighting select performance areas differently, the district clearly indicates which measures have greater overall value or emphasis. Weighting measures differently can also reflect a supervisor’s and principal’s priorities for the evaluation cycle. While the weights may need to be changed over time, it is essential that the weighting system is clearly established in the beginning of the annual cycle.

Score ranges are then established to arrive at a summative professional practice performance rating. Table 3 illustrates a “weighted average” average approach.

Table 3: Determining a Professional Practice Score Example

Performance Measures	Score	Weight	Weighted Score
1. Shared Vision for High Student Achievement	2	20%	.4
2. Instructional Leadership	4	25%	1.0
3. High Quality & Effective Staff	3	20%	.6
4. Personal Leadership	3	25%	.75
5. Systems & Operations	4	10%	.4
Professional Practice Weighted Score Total (Score B)		100%	3.15
Professional Practice Level Rating			EFFECTIVE

Table 4. Score Range Table

EXEMPLARY	EFFECTIVE	DEVELOPMENT NEEDED	UNSATISFACTORY
3.5 – 4.0	2.5 – 3.49	1.5 – 2.49	1 – 1.49

In this example, the principal’s professional practice performance rating is the sum of the weighted scores on the district’s five performance measures. The principal receives an average indicator score of 3.15 and

this falls in the “EFFECTIVE” range, as shown in table 4. (If desired, the supervisor can drill down further and score and weight each of the 21 individual indicators, contained within the five measures.)

In this approach a supervisor reviews the body of evidence, looking for patterns in performance and trends over time, and compares the evidence to the performance measures using the rubric. The principal supervisor then interprets the evidence within the context of the performance measure’s benchmarks to draw conclusions about the principal’s performance in each of the five standards. This approach acknowledges that a supervisor uses professional judgment when combining evidence from multiple sources of evidence into a single rating.

The Role of Professional Judgment

Assessing professional practice requires evaluators to constantly apply their professional judgment. No evaluation model or rubric, however detailed, can capture all of the nuances of school leadership. To synthesize multiple sources of evidence into a rating is inherently more complex than using checklists or numerical averages. Accordingly, the model provides a comprehensive process for continuous growth and development, for observing practice and professionalism, and for collecting evidence. A holistic approach allows evaluators to consider all evidence collected and to use professional judgment in synthesizing a rating.

In short, evaluators use professional judgment—including the specific context of schools and communities, the ways and extent to which practices grew over the year, responses to feedback, how leaders apply their practices to their current contexts, and the many other appropriate factors—when evidence places performance in “gray areas” between performance ratings defined by the rubric.

Step 3—Final Summative Rating

The last step involves combing the two separate component ratings. The quantified ratings, or scores, for the two component ratings are weighted and added for a final summative score. In the example below (table 5), the student outcome component is weighted at 35%, and the principal professional practice component is weighted at 65%. The Score Range Table (table 4) is then used to determine the final performance rating.

Table 5. Calculating the Principal’s Final Performance Rating

EVALUATION COMPONENT	AVERAGE	WEIGHT	SCORE
Student Outcome Component (Score A)	3.25	35%	1.14
Principal Professional Practice Component (Score B)	3.15	65%	2.05
Final Performance Level Score		100%	3.19
Final Performance Level Rating			EFFECTIVE

In this example, the principal supervisor takes the student outcome score (Score A) and multiplies it by 35% and the principal practice score (Score B) and multiplies it by 65%, and. Adding the two weighted scores,

the supervisor assigns the principal a final performance level score of 3.19, and a summative performance level rating of “EFFECTIVE” (see table 4).

Table 4. Score Range Table

EXEMPLARY	EFFECTIVE	DEVELOPMENT NEEDED	UNSATISFACTORY
3.5 – 4.0	2.5 – 3.49	1.5 – 2.49	1 – 1.49

The four levels of performance are defined as follows:

Exemplary: Principals rated “Exemplary” distinguish themselves by building the capacity of others and by building systems to sustain improvements over time. They continuously demonstrate an accomplished, expert level of performance on all of the performance measures and by meeting or exceeding student outcome targets.

Effective: Principals rated “Effective” consistently implement effective leadership practices, demonstrate a satisfactory level of performance on almost all of the performance measures, and meet the student outcome targets.

Development Needed: Principals rated “Development Needed” demonstrate the knowledge and awareness of effective leadership practices, but do not consistently or effectively execute those practices. They may demonstrate appropriate effort but show limited evidence of impact. They may not be consistent in meeting student outcome targets. Novice leaders may find that they are rated “Development Needed” in some performance measures as they are developing their practice.

Unsatisfactory: Principals rated “Unsatisfactory” have not met the standard and have not demonstrated acceptable levels of performance on the performance measures, and often do not meet student outcome targets. Their practice and outcomes are unacceptable and require immediate attention and monitoring.

Novice Principals: When evaluating a principal in his/her first year, the model should be adapted to reflect the fact that the right principal actions generally take at least a year to result in improved student outcomes. Specifically, when combining leadership practice ratings and student outcome ratings, it is reasonable for the practice ratings to take precedence. For example, a “2” on outcomes and a “3” on practice might result in an “Effective” rating for a novice principal, while resulting in a “Development Needed” rating for a veteran principal.

The Growth and Improvement Plan

All principals end the annual cycle with a growth plan. The roles of the principal and supervisor in developing the growth plan depend on the principal's final performance rating.

- **4 - Exemplary:** The principal develops a self-directed growth plan with support and input from the supervisor. The principal should be considered for additional leadership roles and responsibilities and encouraged to assume a role of mentor or coach.
- **3 - Effective:** The principal develops a self-directed growth plan with support and input from the supervisor.
- **2 - Development Needed:** The principal and supervisor develop a growth plan collaboratively. The plan specifically identifies areas for improvement and defines measurable goals. If consensus between the principal and supervisor is not reached, the supervisor develops the Growth Plan.
- **1 - Unsatisfactory:** The supervisor develops a one year improvement plan with input from the principal. The plan includes a limited number of items targeted for improvement and recommended areas of growth. See "Essential Components of an Improvement Plan" below for details.

The growth plan should be based on feedback from the summative evaluation and should guide professional learning activities during the next cycle. The plan is intended to inform professional goals for the next cycle, empower principals to control their own professional development, and set individual professional development on outcome-based goals.

Improvement Plans

Minnesota Statutes, section 123B.147, specifies that when a district has "principals not meeting standards of professional practice or other criteria under this subdivision, [the district must] implement a plan to improve the principal's performance and specify the procedure and consequence if the principal's performance is not improved."

Essential Components of an Improvement Plan:

- Identification of the specific deficiencies and recommended area(s) for growth
- Measurable goals for improving the deficiencies to satisfactory levels
- Clear and specific professional growth activities to accomplish the goal(s)
- Identified and accessible resources for each professional growth activity
- Procedures and evidence that must be provided and/or behaviors to determine that the goal(s) was met
- Timelines, including intermediate progress checkpoints and a final completion date
- Clear consequences for a principal who does not meet goals (e.g. remaining on improvement plan, recommendation for dismissal, etc.)
- Completion of Improvement Plan form, signed and dated by the principal and the principal supervisor

The principal and principal supervisor should review the Principal Growth and Improvement Plan form before the Improvement Plan Conference. This gives each time to prepare for discussion. At the Improvement Plan Conference, the principal and principal supervisor finalize a plan using the Principal Growth and Improvement Plan form

Principals, principal supervisors, and other professionals that may be named in the Improvement Plan are accountable for the implementation and completion of the plan. If amendments to the plan are necessary, all parties affected by the amendment must discuss the changes and document them in the appropriate

space on the Improvement Plan. The principal and principal supervisor, at a minimum, must also sign the amendment to indicate their agreement.

Upon completion of the plan, the principal and principal supervisor shall sign the Principal Growth and Improvement Plan form, documenting the completion of the plan. If the principal has not attained the goals outlined in the improvement plan by the completion date, then the appropriate consequences, as detailed in the Improvement Plan Form, should be carried out.

Available Forms (see appendix H):

- *Principal's Summative Self-Evaluation*
- *Principal Evaluation Summary Report*
- *Principal Growth and Improvement Plan*

Appendix F.

New Leaders' Three Steps in Assessing Principals on Student Outcomes

Step 1- Select the right measures

Step 2- Set the right targets

Step 3- Determine how many targets need to be met to reach proficiency

We describe four outcome categories of measure to include in principal evaluations:

CATEGORY	DESCRIPTION
A. Academics: Growth model results for core subjects	These are measures of growth of all students in core academic areas (e.g., expected value-added improvement for all students in mathematics). Targets for expected growth are usually set at the state or district level.
B. Academics: Results in core subjects for all students and for student groups	These are measure of growth and/or performance for all students and for specific student groups in specific core subject areas (e.g., increasing proficiency in reading for English learners). Targets are usually determined locally.
C. Academics: Results for “non- tested” grades and subjects	These are measures of growth and /or performance for grades and subjects where there is not a state assessment (e.g., reading in 1 st grade, foreign language in high school). The particular assessment and the target are usually determined locally.
D. Career and College Readiness	These are measures, other than assessments results, predictive of high school graduation and success in postsecondary education . The targets are usually set locally and applicable for middle and high schools.

Within these categories states and districts should select approximately 8 to 10 specific measures as a basis for principal evaluation. Significantly fewer than 8 and you risk an incomplete view of school performance. Significantly greater than 10 and you risk diluting the power of any of them.

CATEGORY	ELEMENTARY / MIDDLE / HIGH
A. Academics: Growth model results for core subjects	1. Growth model results in math 2. Growth model results in ELA (or reading)
B. Academics: Student group results in core subjects	3. ELA, math or other core subject proficiency of English Learners 4. ELA, math or other core subject proficiency of students in poverty 5. ELA, math or other core subject proficiency of students with disabilities 6. ELA, math or other core subject proficiency of African Americans students

CATEGORY	ELEMENTARY	MIDDLE	HIGH
C. Academics: Results for “non- tested” grades and subjects	7. Kindergarten and grade 1 reading 8. Kindergarten and grade 1 math	7. Grade 8 capstone writing project 8. Grade 7 social studies/history portfolio	7. Grade 11 capstone writing project 8. Grade 12 Student–chosen performance assessment (in social-studies, arts, or other non-tested subject)
D. Career and College Readiness	n/a	9. Passing grades in all subjects 10. Enrollment and pass rates in higher rigor courses (e.g. algebra)	9. Credit accumulation at the end of grade 10 10. Graduation rate

While states and districts may have other measures to include, we stand by these as critical measures of student success.

As shown in the table above, measures differ by grade level. They also may differ from school to school. We recommend that the process for selecting measures occur between a principal and his/her supervisor and that the supervisor bring a clear point of view to the conversation about the measures that are central to top district priorities.

Appendix G.

Minnesota Principal Development and Evaluation Rubric

Introduction

The Minnesota Principal Evaluation Rubric is a tool designed to help principal supervisors to effectively support and evaluate principal practice. The rubric provides common language for evaluators and principals to use in assessing practice and focuses on the actions that principals take to improve achievement for all student groups in Minnesota public schools. As such, it can be used both for development purposes – identifying areas of strength and areas of growth for individual principals; and for accountability purposes – providing the evidentiary basis for human resource decisions related to principals. The first version of the rubric was developed through a collaborative process involving key stakeholders in Minnesota. This refined version of the rubric, developed with the support of [New Leaders](http://www.newleaders.org) (www.newleaders.org) and with further input from key state stakeholders, makes a number of refinements designed to help users better differentiate among performance levels and more accurately interpret language. This refined version addresses overlaps in concepts across actions and indicators, and focuses the rubric on fewer actions to be measured. The current version also incorporates language from the National Professional Board for Educational Administration’s 2015 Professional Standards for Educational Leaders (formerly known as the ISLLC standards). The publication of the NPBEA-PSEL provided an opportunity to examine the Minnesota Principal Evaluation Rubric against nationally-developed standards for principals.

Notes on the Structure of the Rubric

The following terms are important for understanding the structure of the rubric:

Performance Measure: A high-level category of leadership relevant to the practice of school principals. The rubric includes five performance measures:

1. Develops, Advocates for, and Enacts a Shared Vision for High Student Achievement Supported by a Culture of High Expectations and Family Engagement
2. Provides Instructional Leadership for High Student Academic Performance
3. Develops and Maintains a High-Quality, Effective Staff
4. Demonstrates Ethical Personal Leadership through Relationship Building, Effective Communication, and Self-Reflection
5. Strategically Manages and Monitors School Systems and Operations

Indicator: A more specific category of leadership relevant to the practice of school principals. For each performance measure, there are between three and five indicators. The titles of the indicators appear at the top of each section of the rubric and are denoted by letters. For example, the first indicator under Performance Measure 1 is “A: Develops and enacts a shared vision for high achievement and postsecondary success for all students.” Evaluators and principals can refer to this indicator as 1A.

Actions: Highly specific leadership practices undertaken by school principals. There are multiple actions for each indicator, each of which has an action title and detailed descriptions across four levels of performance (see below).

Examples of Evidence: Descriptions of practices and outcomes that might be visible if a principal’s practice reflects the effective performance level associated with the indicator. Note that the examples of evidence (which can be found below each section of the rubric) cut across multiple actions, since they represent possible evidence at the indicator level. Note also that these are not sources of evidence (e.g., direct observations of principal practice, review of school improvement plans, etc.). However, the Minnesota Department of Education has created a companion document describing sources of evidence that evaluators might use to find evidence of principal practice (*Principal Leadership Evidence-Gathering Tool for Minnesota Principal Supervisors*).

Performance descriptions: Descriptions of principal practice in each action across four levels of performance. The four levels are defined as follows:

Exemplary: Principals rated “Exemplary” distinguish themselves by building the capacity of others and by building systems to sustain improvements over time. They continuously demonstrate an accomplished, expert level of performance on all of the performance measures. Specifically, they

- Ensure students from all identified student groups receive rigorous, individualized instruction to drive them to high levels of achievement.
- Build and sustain a positive culture of high expectations that supports the development of all students’ academic skills and social emotional learning development.
- Build the capacity of others to assume leadership roles in the school.
- Consistently implement systems, structures, and policies that support student learning and adult development.

Effective: Principals rated “Effective” consistently implement effective leadership practices and demonstrate a satisfactory level of performance on almost all of the performance measures. Specifically, they

- Ensure students from all identified student groups receive sound instruction to support high levels of student achievement.
- Build and sustain a positive culture of high expectations that supports the development of students’ academic skills and social emotional learning development.
- Develop some staff capacity to take on additional responsibilities and leadership roles.
- Consistently implement systems and structures that support student learning.

Development Needed: Principals rated “Development Needed” demonstrate the knowledge and awareness of effective leadership practices, but do not consistently or effectively execute those practices. They may demonstrate appropriate effort but show limited evidence of impact. Novice leaders may find that they are rated “Development Needed” in some performance measures as they are developing their practice. Specifically, they

- Create structures that aim to support instruction and to improve achievement with limited implementation.
- Attempt to develop a culture that supports the development of students’ academic skills and social emotional learning development.
- Demonstrate basic knowledge and awareness of how to develop capacity in others but limits this work to a select group of staff.
- Develop systems for student learning that are inconsistently implemented.

Unsatisfactory: Principals rated “Unsatisfactory” have not met the standard and have not demonstrated acceptable levels of performance on the performance measures. Their practice and outcomes are unacceptable and require immediate attention and monitoring. Specifically, they

- Make decisions that negatively impact instruction, student achievement, and equitable outcomes.
- Build a culture that negatively impacts the development of students’ academic skills and social emotional learning development.
- Restrict the involvement of key staff in making key decisions about the school.
- Are unable or unwilling to implement structures, systems, or processes that support student learning.

Summary of Performance Measures and Indicators

Performance Measure #1: Develops, Advocates for, and Enacts a Shared Vision for High Student Achievement Supported by a Culture of High Expectations and Family Engagement

- A. Develops and enacts a shared vision for high achievement and postsecondary success for all students
- B. Identifies school-wide priorities, establishes rigorous, measureable and aligned goals for student learning and implements a strategic plan to achieve those goals
- C. Builds a sense of community where all students and adults are valued and fosters a shared commitment to high expectations for student and adult behaviors aligned to the vision
- D. Develops cultural competence in the school community and promotes responsiveness to both the resources and the biases connected to race, culture and diversity
- E. Engages families and communities in the academic success of students

Performance Measure #2: Provides Instructional Leadership for High Student Academic Performance

- A. Ensures implementation of curricula and assessments aligned to career and college readiness standards
- B. Supports teachers in implementing high-quality, effective classroom instructional strategies to meet diverse student learning needs, increase intellectual challenge, and drive increases in student achievement
- C. Tracks and analyzes multiple forms of qualitative and quantitative student data to drive instructional and intervention strategies and to monitor the effectiveness of those strategies
- D. Provides coherent systems of academic and social supports and services to meet the range of learning needs of each student

Performance Measure #3: Develops and Maintains a High-Quality, Effective Staff

- A. Implements a cohesive approach to recruiting, selecting, assigning, and retaining effective staff
- B. Facilitates high-quality professional learning for teachers and other staff
- C. Increases teacher and staff effectiveness through high-quality observations, actionable feedback, coaching, and evaluation
- D. Selects, develops and supports a high-performing instructional leadership team with a diverse skill set

Performance Measure #4: Demonstrates Ethical Personal Leadership through Relationship Building, Effective Communication, and Self-Reflection

- A. Models appropriate personal, professional, and ethical behavior that is respectful and fair
- B. Maintains a relentless focus on student learning and demonstrates resiliency in the face of challenge
- C. Constructively manages and adapts to change and employs problem-solving strategies with the ultimate goal of improving student achievement
- D. Demonstrates strong interpersonal, communication and facilitation skills for multiple audiences
- E. Models self-awareness, reflection and ongoing learning

Performance Measure #5: Strategically Manages and Monitors School Systems and Operations

- A. Organizes and manages resources (e.g., time, money, technology) in alignment with school priorities and goals
- B. Maintains a safe, secure and respectful learning environment for all students and adults
- C. Ensures the school is in compliance with local, state, and federal laws, standards, regulations, and district initiatives

Performance Measure #1: Develops, Advocates for, and Enacts a Shared Vision for High Student Achievement Supported by a Culture of High Expectations and Family Engagement

A: Develops and enacts a shared vision for high achievement and post-secondary success for all students

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Develops shared vision	Shares leadership in developing a vision for academic and postsecondary success for all identified student groups	Engages stakeholders in developing a school vision for high student achievement and postsecondary success for all identified student groups	Develops a school vision for high student achievement and postsecondary success and provides some opportunities for staff and students to provide input on the school vision	Adopts a vision that lacks a focus on student achievement or postsecondary success or fails to develop or communicate a school vision
Implements shared vision	Inspires all adults and students in the school and community to adopt and enact the vision; builds the capacity of staff to implement effective instructional strategies to achieve the vision; ensures all decisions are aligned to and support the vision	Supports adults and students in the school and community in taking ownership of the vision; works with the leadership team to implement effective instructional strategies to achieve the vision; makes decisions aligned to and in support of the vision	Broadly communicates the vision to adults and students in the school community; identifies instructional strategies that may align to the vision; may consider the vision when making decisions	Makes limited attempts to implement the vision; makes decisions without considering alignment with the vision

Examples of Evidence

- Written values and beliefs reflect high expectations for all groups of students
- School vision is clearly articulated and understood by all staff
- School vision includes a focus on student academic achievement and social/emotional development

Performance Measure 1

B: Identifies school-wide priorities, establishes rigorous, measurable and aligned goals for student learning and implements a strategic plan to achieve those goals

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Uses data to establish goals for student learning	Builds the capacity of staff to collaboratively and continuously analyze summative and interim learning outcomes for identified student groups, predictive indicators, and school practices; builds the capacity of staff to diagnose the current state of the school, set school priorities and goals, and establish grade level targets using disaggregated data	Engages school leaders in a comprehensive analysis of the school’s strengths and growth areas by analyzing student outcomes and school practices; diagnoses the current state of the school and sets school priorities and goals; engages staff in developing specific, measurable grade level targets using disaggregated data	Confers with a subset of the leadership team to review summative student achievement results and selected school practices; omits key data that would support an accurate diagnosis of the school and precise goal setting; informs teachers of the targets for their classrooms	Completes a cursory review of the school’s strengths and weaknesses using annual student achievement results; may misinterpret data patterns; may set goals unrelated to student learning and/or not adequately specific or measurable
Implements a coherent strategic plan for instruction	Engages staff in developing and implementing a strategic plan that describes weekly and monthly milestones and strategies for implementing rigorous classroom content and effective instructional practices to support students in achieving learning targets; builds the capacity of staff to examine practices based on practical evidence and research and to identify misalignments between school and district priorities	Develops and implements a strategic plan that identifies weekly and monthly milestones and describes strategies for implementing rigorous classroom content and effective instructional practices to support students in achieving the learning targets; examines school practices on the basis of practical evidence and research and identifies misalignments between school and district priorities	Drafts a strategic plan that identifies monthly milestones and some strategies for effective instruction to support students in working toward learning targets; references evidence from research and practice in judgments about the effectiveness of school practices, may miss some misalignments between school and district priorities	Rarely shares school priorities or baseline student learning goals with staff; rarely formalizes strategies or plans to reach school priorities or goals; does not use evidence from research or practice to inform judgments about the effectiveness of school practices; misses opportunities to align strategies

<i>Action</i>	Exemplary	Effective	Development Needed	Unsatisfactory
Monitors progress toward goals and adjusts strategies for continuous improvement	Supports staff ownership of and accountability for monitoring progress toward student learning goals; builds the capacity of staff to use disaggregated formative and summative data and other leading indicators to monitor, track, and review progress, systematically adjusting strategies where needed	Develops and implements systems to track and analyze disaggregated formative and summative data and other leading indicators to monitor progress toward student learning goals; implements revised strategies as supported by the data	Periodically reviews data but shows limited ability to adjust strategies and practices in order to reach goals	Monitors annual student data but does not relate it to progress toward student learning or use it to inform adjustment to classroom strategies

Examples of Evidence

- Protocols and processes to diagnose the current state of the school (including review of data, school practices, and instructional practices) are clear and transparent to all staff
- Each grade and identified student group has specific student outcome targets, clear milestones, and benchmarks to track student outcomes and school practice implementation
- Strategic plan priorities are public – stakeholders share a common understanding of short and long-term milestones and goals
- Teacher leaders and members of the leadership team focus weekly discussions on student learning outcomes

Performance Measure 1

C: Builds a sense of community where all students and adults are valued and fosters a shared commitment to high expectations for student and adult behaviors aligned to the vision

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Promotes equity and high expectations	Publicly models beliefs in the potential of every student to achieve at high levels; confronts adults who display low assumptions about student potential	Builds expectation for students, staff, and parents that success is possible for all students and challenges low expectations; confronts adults who display low assumptions about student potential	Asserts belief that all students can achieve at high levels with staff and school community; attempts to learn about and to share successes in an effort to challenge low expectations	Rarely demonstrates confidence in the potential of every student to achieve at high levels; avoids confronting staff who have low expectations for some or all students
Implements consistent behavior expectations aligned with school values	Builds the capacity of staff and students to translate the school's values into specific expectations for adults and students; consistently models and teaches the school's values and ensures staff explicitly teach expectations to students; consistently and fairly implements positive behavior interventions and supports; tracks discipline data to ensure equitable application of positive and negative consequences	Translates the school's values into specific expectations for adults and students; ensures staff explicitly teach expectations to students; consistently and fairly implements positive behavior interventions and supports	Communicates the school's values to staff and students; implements positive behavior interventions and supports; attempts to fairly apply positive and negative consequences	Sends inconsistent messages about the school's values and behavioral expectations; inconsistently applies positive behavior interventions and supports; tolerates discipline violations and allows positive student and staff behavior to go unrecognized
Supports positive relationships	Develops school-wide capacity to establish trusting relationships and supports positive relationships among and between all stakeholder groups; ensures that each student is valued through systems that foster and facilitate strong connections with other students and adults	Enhances and maintains trusting relationships among and between stakeholder groups; fosters strong connections among students and adults by ensuring that every student has at least one trusting and supportive adult connection	Articulates a belief that building and maintaining relationships is important and works to establish or enhance relationships; supports meaningful connections between students and adults	Does not consistently develop positive relationships and/or undermines positive relationships that exist

Examples of Evidence

- School-wide code of conduct aligned with district and school priorities is in place and consistently implemented across all classrooms
- A system of positive behavior interventions and supports is in place and is consistent with the school values
- Behavior data indicates no over-representation of any identified student groups in exclusionary discipline practices such as suspension
- Values and behaviors are referenced in daily school structures
- Students are known well by multiple adults and report a strong sense of belonging

- Students hold one another accountable for student conduct

Performance Measure 1

D: Develops cultural competence in the school community and promotes responsiveness to both the resources and the biases connected to race, culture and diversity

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Promotes diversity in the school community	Recruits individuals within the community and establishes and/or joins networks with families, community partners, and underrepresented populations to develop relationships to solve problems, pursue shared purposes, and enhance the learning environment	Utilizes the community’s cultural, social, economic, and intellectual resources to enhance the learning environment both school-wide and within classrooms	Acknowledges the community’s cultural, social, economic, and intellectual resources	Rarely or inconsistently demonstrates an appreciation of and need for the cultural, social, economic, and intellectual diversity of the school community
Confronts biases and engages in conversations about diversity	Confronts and corrects intolerant statements directed at individuals or groups; builds the school’s collective capacity to engage in conversations about race, diversity and culture as well as how they may impact student learning; leads staff through a process to understand how their personal experiences shape their interpretation of the world and leads them through a process to identify students’ strengths and assets	Confronts and corrects intolerant statements directed at individuals or groups; initiates conversations about race, diversity and culture as well as about how they may impact student learning; provides formal and informal professional development to staff to improve their understanding of how their personal experiences inform their assumptions about students and the school community	Attempts to address intolerant statements that intimidate individuals or groups; responds reactively to conversations about race, diversity and culture, but rarely initiates conversations; provides whole group undifferentiated professional development about working in and supporting a diverse community	Rarely addresses policies or practices that systematically exclude groups from participating in the school environment; avoids conversations about race and diversity and demonstrates limited awareness of the impact of diversity on student learning; rarely addresses or corrects intolerant statements directed at individuals or groups and does not create an environment that supports all students
Promotes culturally responsive practice	Builds the capacity of school leaders to implement and monitor culturally responsive teaching strategies and school practices	Promotes and monitors the implementation of culturally responsive teaching strategies and school practices	Encourages teachers and staff to use culturally responsive teaching strategies and school practices	Does not promote or monitor the implementation of culturally responsive teaching strategies and school practices

Examples of Evidence

- Adults and students monitor themselves and hold each other accountable for language, attitudes, and behaviors that are offensive or uninformed around racial or cultural differences
- Staff participate in and lead learning experiences where they explore their personal assumptions and their approach to diversity

- Community conversations about culture and diversity occur regularly
- Staff dialogue about families reflects high student expectations and positive perceptions of families

Performance Measure 1

E: Engages families and communities in the academic success of students

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Welcomes families and community members in to the school	Creates a school-wide culture in which all families and community members are welcomed into the school; shares the school vision for high student achievement with all visitors	Builds the capacity of staff to welcome all family and community members into the school and to share the school’s vision for high student achievement with all visitors	Sets expectations for staff on the process/tone for welcoming families and community members into the school	Rarely or inconsistently welcomes families or community members into the school
Supports student learning at home	Develops, implements a and monitors systems to engage families as learning partners, including setting shared goals for their children’s academic achievement and using research-based strategies for supporting student learning at home; builds the capacity of staff to regularly communicate with students and parents about student progress	Implements strategies to engage families as learning partners, including setting shared goals for their children’s academic achievement and using research-based strategies for supporting student learning at home; develops and implements protocols to ensure frequent communication with students and parents about student progress	Promotes the use of strategies to engage families as learning partners, but does not monitor implementation; communicates student accountability and assessment data to students and parents through mandated reporting systems	Does not promote the use of strategies to engage families as learning partners; does not accurately communicate student assessment and accountability data with students or parents

Examples of Evidence

- Families say they feel included and invested in the school
- Families are given strategies and tools to support student learning outside the school day
- Families have multiple ways to communicate with staff
- Communications from families and stakeholders are responded to in a timely manner, with appropriate tone, and with a tailored message

Performance Measure #2: Provides Instructional Leadership for High Student Academic Performance

A: Ensures implementation of curricula and assessments aligned to career and college readiness standards

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Implements curricula aligned to career and college readiness standards	Builds the capacity of staff to develop and implement curriculum aligned to career and college readiness standards; ensures curricular alignment across grades and subject areas at student transition points, in and out of the school	Engages the leadership team and other key staff in developing and implementing curriculum aligned to career and college readiness standards; Ensures curriculum is aligned vertically and horizontally within the standards	Provides opportunities for horizontal standard alignment through grade-level or team meetings, with attempts to align curriculum to career and college readiness standards	Allows classroom curriculum to be a matter of individual teacher discretion and autonomy and does not monitor for alignment to career and college readiness standards
Supports the development and implementation of standards-based lesson and unit plans	Builds the capacity of staff to analyze standards, curricula, and aligned assessments to develop and implement standards-based lesson and unit plans linked to year-end goals; implements ongoing systems to review and improve unit and lesson plans based on student outcomes	Leads analyses of standards, curricula, and aligned assessments to develop and implement standards-based lesson and unit plans linked to year-end goals; oversees revisions to unit and lesson plans based on student outcomes	Encourages teachers to analyze standards, curricula, and aligned assessments to develop and implement their own lesson and unit plans; oversees revisions to some unit and lesson plans based on student outcomes	Supports staff use of misaligned lesson and units that are disconnected from year-end goals; rarely encourages teachers to adjust lesson or unit plans based on student outcomes

Examples of Evidence

- Systems ensure that lesson and unit plans align to the scope and sequence and prepare students to be on a career and college readiness track
- Instructional decisions, including student grouping and targeting for interventions, are based on periodic assessments, classroom tests, and teacher designed tests
- Lesson plans, unit plans, and curricular materials are aligned to content standards

Performance Measure 2

B: Supports teachers in implementing high-quality, effective classroom instructional strategies to meet diverse student learning needs, increase intellectual challenge, and drive increases in student achievement

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Implements effective instructional strategies and assessments to meet student learning needs	Builds the capacity of staff to effectively implement a variety of rigorous instructional strategies and assessments that meet student needs and drive learning for all identified student groups	Supports staff in effectively implementing a variety of rigorous strategies and assessments that meet student needs and drive student learning	Provides staff limited support in the use of instructional strategies and assessments that support student learning	Rarely ensures instructional strategies or assessments support student learning;
Monitors the level of student engagement and instructional rigor	Builds the capacity of staff to regularly collect, analyze, reflect, and act on data related to the level of student engagement of and challenge in classrooms	Creates and implements a system for gathering and acting on data related to the level of student engagement and challenge across all classrooms, including seeking feedback from students and teachers	Observes classrooms to identify the level of student engagement and challenge and provides feedback to teachers on those observations	Rarely reinforces the importance of differentiation of instruction and student engagement in student achievement

Examples of Evidence

- Classroom activities engage students in cognitively challenging work aligned to standards
- Instructional staff (teachers, coaches, and administrators) effectively incorporate a broad repertoire of pedagogical approaches into lesson plans
- Students report that they are consistently challenged intellectually

C: Tracks and analyzes multiple forms of qualitative and quantitative student data to drive instructional and intervention strategies and to monitor the effectiveness of those strategies

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Tracks student-level data to drive continuous improvement	Uses multiple sources of quantitative and qualitative data to assess and monitor instruction; creates systems for collaborative work to collect and monitor data; uses data appropriately to identify student outcome trends, prioritize needs, and drive continuous improvement	Uses multiple sources of data to monitor instruction, identify student outcome trends, and prioritize needs; creates system for consistent data monitoring that involves teachers and staff; uses data to inform continuous improvement	Uses limited forms of data and does not ensure consistent collection of data for analysis; draws conclusions about instruction with limited data	Inconsistently uses data to evaluate instruction; rarely uses data appropriately to identify trends or prioritize needs
Supports data-driven instructional planning by staff	Develops staff ability to analyze student data, determining team and individual goals, prioritize student learning needs, guide student grouping and re-teaching, and prioritize staff needs and areas for continuous improvement	Designs and implements processes that support teachers' individual and collaborative review of data to drive instructional decisions, teaching plans, and changes in practice for individual teachers	Attempts to support staff in using data to drive instructional decisions; does not monitor consistent use of data	Rarely supports staff in using data to drive instructional decisions

Examples of Evidence

- Student performance data is readily available and can be organized by cohort, grade, subject, student group, etc.
- Elementary students who are not yet proficient (basic) are identified and supported to ensure they make progress; secondary students are closely tracked to ensure that they remain “on track” to graduate in four years
- Data are used and reviewed in every teacher team meeting to improve instruction, to determine differentiation, and to drive re-teaching
- Staff monitor student progress through frequent checks for understanding

D: Provides coherent systems of academic and social supports and services to meet the range of learning needs of each student

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Designs and implements academic interventions based on rigorous analysis of data	Engages all staff in analyzing disaggregated student-specific data to determine appropriate differentiations and interventions based on individual students' learning needs that will close achievement gaps; works with staff to use data to make frequent updates to the intervention plan for students or identified student groups not making progress	Focuses staff on analyzing disaggregated student-specific data to determine appropriate differentiations and interventions; uses data to make updates to the intervention plan for students or identified student groups not making progress	Provides limited guidance to teachers regarding differentiation in instruction and implementation of academic interventions for high need students; proposes and implements limited adjustments to interventions	Rarely attempts to ensure that instruction is differentiated based on student need or that students receive appropriate interventions
Supports students' social and emotional development	Builds the capacity of staff to identify key areas of need related to students' self-awareness, self-management, social awareness, relationship skills, and responsible decision-making; supports teachers to measure improvements in students' social and emotional learning based on implemented strategies	Works with the leadership team to identify key areas of need related to students' self-awareness, self-management, social awareness, relationship skills, and responsible decision-making; supports teachers to learn and consistently implement practices designed to address these needs	Provides teachers with some ideas and supports for how to help students with core social and emotional development skills	Provides minimal or inadequate support for students' social and emotional development needs
Supports external partnerships to maximize student supports and services	Supports staff leadership of partnerships with community-based organizations designed to expand learning for students; regularly measures the impact of such partnerships on student learning goals	Establishes and sustains partnerships with community-based organizations to meet key school needs that are not otherwise addressed through school-based resources	Establishes partnerships with community-based organizations that have limited connection to school goals	Does not engage in productive external partnerships or engages in partnerships that do not align to the school goals

Examples of Evidence

- Students receive rapid, data-driven interventions matched to current needs
- Intervention assignments and schedules are frequently updated to reflect student needs and progress
- Core components of social, emotional, and behavioral supports are in place to support student learning
- School improvement plan ties partnership activities to student improvement targets

Performance Measure #3: Develops and Maintains a High-Quality, Effective Staff

A: Implements a cohesive approach to recruiting, selecting, assigning, and retaining effective staff

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Recruits and selects effective teachers	Identifies multiple pipelines within and beyond the district for high-quality recruits; engages all staff in developing and implementing clear, specific selection criteria and hiring processes; proactively identifies vacancies to inform selection; fills vacancies early to ensure the school has a diverse expertise and skill set; builds the capacity of staff to lead and participate in selection and hiring processes	Identifies pipelines within and beyond the district for high quality recruits; develops clear selection criteria and hiring processes; identifies and fills vacancies early to ensure the school has diverse expertise and skill set; involves teacher leaders and the leadership team in selection and hiring processes	Utilizes district resources to identify high quality recruits; drafts basic criteria for selecting and hiring staff; includes some members of the leadership team in selection and hiring processes	Ineffectively utilizes district resources to identify recruits; implements selection criteria that differs by applicant; rarely involves others in the hiring or selection process and lacks transparency in the process
Strategically assigns teachers	Strategically places both new and existing staff in grade levels and content areas to meet overall student needs and to maximize exposure of students needing the most improvement to expert teaching	Places teachers in grade level and content areas based on their qualifications and demonstrated effectiveness	Places teachers in grade level and content areas based on their qualifications	Rarely assesses qualifications when placing teachers; allows teachers to remain in specific grades regardless of their impact; does not share information about placement decisions
Retains effective teachers	Uses multiple data sources including teacher evaluations, surveys, and student learning data to inform a formal retention and improvement process that creates opportunities for growth, development, recognition, and additional leadership roles	Identifies effective teachers and recruits them for leadership roles; implements a formal retention strategy that recognizes effective staff through performance evaluation; and gives retention offers based on effectiveness and student performance	Implements a formal retention process that uses teacher evaluations and student achievement data to determine teachers to be retained, teachers needing improvement, and teachers to be removed	Does not make an effort to recognize or retain effective teachers

Examples of Evidence

- School has intensive recruitment, selection (demo lesson, formal interview, interview with a panel of stakeholders), induction and mentoring for any new staff
- Selection and assignment processes focus on placing effective teachers with more students or with the students most in need of support and improvement
- Each staff position has clear performance expectations aligned with school mission and school-wide expectations for instruction and culture
- High percentage of teachers rated effective stay in the school
- Teachers report that the principal supports them to improve and to take risks

B: Facilitates high-quality professional learning for teachers and other staff

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Establishes professional learning priorities	Builds the capacity of teachers and other staff to analyze a variety of student learning results and current research to determine staff learning priorities consistent with school-wide priorities	Works with the leadership team to analyze a variety of student learning results and current research to determine staff learning priorities consistent with school-wide priorities	Analyzes student achievement patterns, reviews current research, and consults with teacher leaders to determine staff learning priorities	Uses personal experience and/or generalized student achievement results to determine staff learning priorities
Creates and monitors structures for professional learning	Provides consistent support, development, coaching/mentoring, and peer learning opportunities for individuals and teacher teams; works with leadership team to design, implement, and monitor the success of a job-embedded professional learning system aligned with curricular, instructional, and assessment needs; provides consistent support, development, coaching/mentoring, and peer learning opportunities	Creates multiple structures for teacher learning including large group, grade level and content team professional development; aligns activities with curricular, instructional, and assessment needs; and dedicates staff time for professional development activities	Relies on whole-group professional development sessions; attempts to align sessions with student learning priorities; only leverages scheduled professional days for staff learning	Offers professional development that is disconnected from student learning priorities; often uses staff learning time for communication of administrative issues rather than focusing on professional learning

Examples of Evidence

- Teachers are taught how to use a variety of instructional strategies
- Teacher-driven professional development focuses on student learning challenges and progress toward goals and includes teacher team meetings and peer visitations

Performance Measure 3

C: Increases teacher and staff effectiveness through high-quality observations, actionable feedback, coaching, and evaluation

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Collects high quality observational data	Builds and develops the capacity of the leadership team to conduct frequent, formal and informal observations to collect evidence of teacher practice; tailors teacher observations to the needs of each teacher and to school-wide initiatives; develops interrater reliability with the leadership team by co-observing	Conducts frequent formal and informal observations to collect evidence of teacher practice; tailors teacher observations based on teacher need	Designs a classroom observation approach to gather evidence of teacher practice with limited implementation; attempts to differentiate observations based on teacher need	Observes teachers when they request a formal observation; rarely gathers evidence of teacher practice
Supports individual teacher growth and development	Facilitates continuous, individualized, growth-focused conversations with teachers that provide actionable and timely feedback based on evidence collected from observations and student learning data; facilitates the development and implementation of individual growth and development plans for staff based on evaluation results; develops and implements a transparent system for allocating coaching and other resources to meet most significant needs	Provides, frequent individualized, actionable and timely feedback based on evidence collected from observations and student learning data; monitors the implementation of individual growth and development plans for staff based on evaluation results; ensures that all teachers have some access to coaching and other resources to meet their needs	Provides high level feedback using either observational or student learning data; encourages the development of individual growth and development plans to improve performance based on evaluation results; makes coaching and other resources available	Provides limited, confusing feedback to teachers based on limited data; does not provide staff the opportunity to develop professional growth plans to improve performance based on evaluation results; does not offer coaching or other resources for improvement

<i>Action</i>	Exemplary	Effective	Development Needed	Unsatisfactory
Completes and uses staff evaluations	Implements, monitors and refines a rigorous, consistent evaluation system aligned to district requirements; ensures final evaluation ratings are evidence-driven and incorporate multiple examples of student outcomes and teacher practice; works with the leadership team to incorporate evaluation results into school planning and decisions about staffing	Implements a consistent evaluation system aligned to district requirements; incorporates evidence of student outcomes and teacher practice in final evaluation ratings; uses evaluation results to inform staffing decisions	Oversees an evaluation system aligned to district requirements; incorporates some evidence of student outcomes and teacher practice to determine final evaluation ratings; sometimes uses evaluation results to inform staffing decisions	Completes required staff evaluation documentation based on limited evidence; rarely incorporates student outcomes or evidence of teaching practice; does not use evaluation results to inform staffing decisions

Examples of Evidence

- Instructional feedback builds effective teacher practice and observable changes in teacher practice
- Rigorous evaluation process is completed for every teacher
- Evaluation process, measures and targets are established at the beginning of the year
- Staff is aware of evaluation components, timeline and processes
- Ineffective teachers receive opportunities to improve and are exited if performance does not improve in a timely fashion

Performance Measure 3

D: Selects, develops and supports a high-performing instructional leadership team with a diverse skill set

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Develops a highly-effective leadership team	Establishes an effective leadership team with a relentless focus on student learning; selects highly effective teachers and ensures the team has a variety of skill sets; builds the capacity of the team to oversee complex projects, lead teacher teams and oversee improvement strategies	Establishes a leadership team made up of highly-effective teachers with a range of skill sets; works with leadership team members to lead teacher teams and oversee improvement strategies	Defines the role of the leadership team and selects some members based on skill; develops a plan to and attempts to support the leadership team	Allows ineffective or misaligned staff to serve on the leadership team; rarely provides support to the leadership team

Examples of Evidence

- Multiple staff members serve as instructional leaders in the school
- Staff members proactively assume leadership roles
- Leadership team is comprised of fully aligned and highly skilled staff
- Leadership team members consistently lead teacher teams across the school

Performance Measure #4: Demonstrates Ethical Personal Leadership through Relationship Building, Effective Communication, and Self-Reflection

A: Models appropriate personal, professional, and ethical behavior that is respectful and fair

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Demonstrates professionalism and ethical behavior	Articulates and communicates appropriate and respectful behavior to all stakeholders, including parents and the community; demonstrates sound judgment and self-control even in the most difficult and confrontational situations, and provides assistance to colleagues on the techniques of emotional intelligence; supports all staff to protect student, family, and staff confidentiality appropriately	Uses appropriate and respectful behavior at all times; regularly maintains sound judgment and self-control in difficult situations and is attentive to others' emotional needs; protects student, family, and staff confidentiality appropriately, and expects staff to do both as well	Uses appropriate and respectful behavior inconsistently; does not consistently attend to others' emotional needs; does not always protect student, family, and staff confidentiality appropriately	Rarely uses appropriate or respectful behavior; loses his or her temper and or avoids conversations on difficult topics; does not adequately protect student, family, and/or staff confidentiality

Examples of Evidence

- Public meetings are characterized by open discourse and respectful behavior
- Teachers and parents report feeling able to speak their minds without fear of consequence

B: Maintains a relentless focus on student learning and demonstrates resiliency in the face of challenge

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Demonstrates resiliency	Builds the capacity of staff to relentlessly maintain the focus of all conversations and initiatives on improving student achievement, closing achievement gaps, and finding solutions despite adversity; actively identifies solutions and remains focused on solutions when faced with set-backs; capitalizes on challenges as opportunities to grow and develop themselves and their staff	Persistently maintains staff focus on improving student achievement and closing achievement gaps despite adversity; identifies solutions when faced with set-backs; supports staff growth and development in the face of challenges	Maintains personal belief in the potential for improving student achievement, but may struggle when faced with adversity; attempts to remain solutions-oriented; partners with a limited number of staff to respond to challenges as they arise	Reacts with visible frustration to challenges and setbacks; easily loses focus on improving student achievement; rarely demonstrates a solutions orientation

Examples of Evidence

- Message about goals or possibility does not change in moments of challenge or adversity
- Staff is aware of and can share missteps, mistakes, tactics that were unsuccessful, and how they were used as learning opportunities

C: Constructively manages and adapts to change and employs problem-solving strategies with the ultimate goal of improving student achievement

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Manages change	Facilitates opportunities for staff to raise questions, doubts, and feelings about change and to adapt to change; builds the capacity of staff to embrace and support changes that are in the best interest of the students; proactively manages reactions to change and capitalizes on forward moving momentum	Positively supports staff as they raise questions, doubts, and feelings about change and as they adapt to change; embraces changes that are in the best interest of the students; anticipates reactions to change and initiates forward-moving momentum	Provides minimal time for staff to process or adapt to change; supports changes that may be in the best interest of the students; understands that change could raise emotions and attempts to support staff	Passively manages school change while ignoring the role change may have on the school community and rarely provides support to staff during times of change
Resolves conflicts through effective problem-solving	Encourages open dialogue, including soliciting information from those that are contrary to those of authority or in relation to potentially discordant issues; creates and implements collaborative structures for resolving conflicts	Regularly provides opportunities for staff members to express opinions; resolves school-based problems in a fair, democratic way; discusses with staff and implements solutions to address potentially discordant issues	Meets with staff to discuss and implement solutions for potential conflicts; demonstrates awareness of potential problems and areas of conflict within the school	Does not include staff in determining solutions to potential conflicts; ignores or is not aware of potential problems and areas of conflict within the school

Examples of Evidence

- Staff are supported through change processes
- School improvement outlines multiple tactics and strategies that can be adapted to reach identified goals
- School improvement plan and long-term school-wide goals are not lowered or adjusted based on negative feedback or because of current or past challenges in making progress
- Staff meetings include specific structures and protocols for encouraging multiple voices before decisions are made.

Performance Measure 4

D: Demonstrates strong communication, facilitation and interpersonal skills for multiple audiences

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Communicates with internal and external stakeholders	Implements effective two-way written and verbal communication structures with district/system managers and all stakeholders; strategically focuses conversations on school goals and values; builds the capacity of staff to lead and participate in conversations and meetings and to tailor messages to the intended audience	Conducts and supports effective two-way written and verbal communication with all stakeholders; strategically engages stakeholders in conversations about school goals and values; works with the leadership team to lead conversations and meetings and tailor messages to the intended audience	Creates systems to share information with stakeholders; hosts conversations and meetings with stakeholders about school goals; supports staff in developing their communication skills	Rarely engages stakeholders in meaningful conversations about the school; rarely communicates the school's goals with stakeholders; rarely supports development of communication skills among staff

Examples of Evidence

- Principal supervisor is well informed about key activities and issues at the school
- Systems, processes, and structures are in place to share the current state of the school and solicit feedback
- Meetings have a clear purpose and are well-run and engaging

Performance Measure 4

E: Models self-awareness, reflection and ongoing learning

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Demonstrates self-awareness and reflection	Models in their own practice and builds the capacity of staff to constantly seek feedback on their own practice, self-reflect, and adapt their leadership practice; takes advantage of multiple learning opportunities aligned with student needs; accepts personal responsibility for mistakes and uses them as learning opportunities	Seeks feedback, self-reflects, and adapts own leadership practice; engages in learning opportunities aligned with student needs; accepts personal responsibility for mistakes	Demonstrates a non-defensive attitude in receiving feedback from staff members and makes minor adjustments to own leadership practice; seeks some learning opportunities aligned with student needs; accepts partial responsibility for mistakes	Does not accept feedback or adjust leadership practice; resists participating in learning opportunities or accepting responsibility for mistakes

Examples of Evidence

- Principal and others publicly share personal failures and the lessons learned from them
- There are structures and opportunities for continuous reflection on performance by individuals and teams

Performance Measure #5: Strategically Manages and Monitors School Systems and Operations

A: Organizes and manages resources (e.g., time, money, technology) in alignment with school priorities and goals

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Maximizes time for instruction and professional collaboration	Seeks creative ways to support instructional time for students during and beyond the traditional school day, and monitors the effect of the school schedule on collaborative planning and student achievement	Ensures that instruction is focused, and time is protected to support quality, intensity and student learning; engages staff in planning the schedule in order to maximize the available time for instruction and collaborative planning	Ensures that instructional time meets state requirements, but it is not necessarily protected and/or staff is not engaged to maximize the use of time for instruction and collaborative planning	Does not engage staff in planning effective use of instructional and planning time and allows interruptions during instructional time
Strategically manages resources and maintains operational systems	Maintains a collaborative and transparent process for establishing high-priority goals for student learning and aligning resources to them; procures additional resources by writing grants and developing partnerships to support high-priority goals; develops collaborative processes for oversight of operational systems; focuses own time on instructional priorities	Ensures resources are aligned to a small number of high-priority goals for student learning; designs transparent systems to manage finances; maintains all operational systems; preserves time in own calendar for instructional priorities	Implements district rules and procedures for resource allocation, procurement, and management of operational systems	Does not manage resources in an effective manner and/or exceeds resources; does not maintain most operational systems (e.g., physical safety, legal requirements, daily operations, maintenance of facility, materials and technology resources)
Integrates new learning tools	Ensures students and staff are provided opportunities to learn and utilize best practices in the integrated use of 21 st century instructional tools, including technology, to solve problems	Includes integration of 21 st century instructional tools, including technology, in instructional expectations and provides learning experiences for staff that support technology's role in students' learning experiences	Provides students and staff access to 21 st century instructional tools, including technology	Does not address technology as a tool for achieving goals

Examples of Evidence

- Detailed daily/weekly schedule of classes, student interventions, teacher team meetings, and PD sessions are public and managed by leadership team members and are flexible enough to adjust to new priorities and needs
- School calendar of professional development, interim assessments and re-teaching is in place
- Finances and other resources are aligned with strategic priorities
- Students have access to 21st century learning tools

Performance Measure 5

B: Maintains a safe, secure and respectful learning environment for all students and adults

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Reinforces an environment of safety and respect	Ensures themes of respect, caring, and safety are taught, reinforced, celebrated, and publicized in classrooms and the school; develops and implements structures, outreach, and training to ensure that staff develops the skill set to treat all people equitably; meets all legal requirements for work relationships	Establishes norms of respect, caring, and safety in the school and confronts behaviors that violate those norms; takes appropriate action when inappropriate conduct is reported or observed; meets all legal requirements for work relationships	Promotes themes of respect, caring, and safety in school activities; meets all legal requirements for work relationships	Establishes a school environment focused only on maintaining compliance; does not promote themes of respect, caring, and safety; does not take appropriate actions when inappropriate conduct is reported or observed

Examples of Evidence

- Students report feeling safe at school
- Students, parents, and teachers all report that they feel respected and that violations of the school’s code of conduct are addressed swiftly and fairly

C: Ensures the school is in compliance with district initiatives and with local, state and federal laws, standards and regulations

Action	Exemplary	Effective	Development Needed	Unsatisfactory
Implements responsibilities associated with laws, regulations and district initiatives	Actively participates in the development of district goals and initiatives directed at improving student achievement; works with leadership team to integrate district initiatives into school planning and operations; ensures compliance with federal, state and district mandates, while acting to influence local, district, stat, and national decisions affecting student learning	Implements district initiatives directed at improving student achievement; aligns school plans and operations with district initiatives; ensures compliance with federal, state and district mandates	Shows awareness of district goals and initiatives directed at improving student achievement but takes limited action to align school plans and operations with district initiatives; attempts to comply with federal, state and district mandates	Shows limited understanding of district goals and initiatives directed at improving student achievement and/or does not include district initiatives in school plans and operations; does not demonstrate knowledge of applicable federal, state and district mandates

Examples of Evidence

- School can effectively respond to any claims of violations of rules and regulations
- Staff can articulate focus on district initiatives and how they align with school goals

Appendix H.

Principal Development and Evaluation State Model Forms

[Principal Evaluation Summary Form](#)

[Principal Evaluation Summary Report](#)

[Principal Growth and Improvement Plan](#)

[Principal Midyear Review Report](#)

[Principal Self-Assessment and Goal Setting](#)

[Principal's Summative Self Evaluation Report](#)