



RISE

Evaluation and
Development System

Indiana Department of Education

**Indiana Principal
Effectiveness
Framework**

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Table of Contents

I.	Overview	3
II.	Effectiveness Rubric	5
	a. Domain 1: Teacher Effectiveness	5
	b. Domain 2: Leadership Actions	11
III.	Summary and Ratings	15

Overview

What is the purpose of the Principal Effectiveness Rubric?

The Principal Effectiveness Rubric was developed for three key purposes:

- **To Shine a Spotlight on Great Leadership:** The rubric is designed to assist schools and districts in their efforts to increase principal effectiveness and ensure the equitable distribution of great leaders across the state.
- **To Provide Clear Expectations for Principals:** The rubric defines and prioritizes the actions that effective principals must engage in to lead breakthrough gains in student achievement.
- **To Support a Fair and Transparent Evaluation of Effectiveness:** The rubric provides the foundation for accurately assessing school leadership along four discrete proficiency ratings, with student growth data used as the predominant measure.

Who developed the Principal Effectiveness Rubric?

A representative group of teachers and leaders from across the state, along with staff from the Indiana Department of Education (IDOE), contributed to the development of the rubric.

What research and evidence support the Principal Effectiveness Rubric?

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

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

How is the Principal Effectiveness Rubric organized?

The rubric is divided into two domains:

Domain 1: Teacher Effectiveness

Domain 2: Leadership Actions

Discrete competencies within each domain target specific areas that effective principals much focus upon.

What about other areas (e.g. student discipline, school climate and safety)?

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

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

This is not to say that principals should not be evaluated in these other areas. In fact, schools and districts that elect to utilize the rubric are encouraged to add or develop additional indicators. Any additions should supplement, not supplant, the indicators already outlined in the rubric

How do I ensure the effective implementation of the Principal Effectiveness Rubric?

The devil is in the details. Even the best principal evaluation tool can be undermined by poor implementation. Successful implementation of the Principal Effectiveness Rubric will require a focus on four core principles¹:

1. **Training and support:** Administrators responsible for the evaluation of principals must receive rigorous training and ongoing support so that they can make fair and consistent assessments of performance and provide constructive feedback and differentiated support.
2. **Accountability:** The differentiation of principal effectiveness must be a priority for district administrators, including the superintendent, and one for which they are held accountable. Even the best evaluation tool will fail if the information it produces is of no consequence.
3. **Credible distribution:** If the rubric is implemented effectively, ineffective ratings will not be anomalous, surprising, or without clear justification. The performance distribution of principals must be closely monitored and a vehicle established to declare evaluations invalid if results are inflated.
4. **Decision-making:** Results from the principal evaluation must be fully integrated with other district systems and policies and a primary factor in decisions such as how principals are assigned and retained, how principals are compensated and advanced, what professional development principals receive, and when and how principals are dismissed.

¹ Informed by The New Teacher Project's *The Widget Effect* (2009).

Domain 1: Teacher Effectiveness

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

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	
1.1 Human Capital Manager					
1.1.1	Hiring and retention	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> Monitoring the effectiveness of the systems and approaches in place used to recruit and hire teachers; Demonstrating the ability to increase the entirety or significant majority of teachers' effectiveness as evidenced by gains in student achievement and teacher evaluation results; Articulating, recruiting, and leveraging the personal characteristics associated with the school's stated vision (i.e. diligent individuals to fit a rigorous school culture). 	<p>Principal recruits, hires, and supports teachers by:</p> <ul style="list-style-type: none"> Consistently using teachers' displayed levels of effectiveness as the primary factor in recruiting, hiring, and assigning decisions; Demonstrating ability to increase most teachers' effectiveness as evidenced by gains in student achievement and growth; Aligning personnel decisions with the vision and mission of the school. 	<p>Principal recruits, hires, and supports effective teachers by:</p> <ul style="list-style-type: none"> Occasionally using teachers' displayed levels of effectiveness as the primary factor in recruiting, hiring, and assigning decisions OR using displayed levels of effectiveness as a secondary factor; Demonstrating ability to increase some teachers' effectiveness; Occasionally applying the school's vision/mission to HR decisions. 	<p>Principal <u>does not</u> recruit, hire, or support effective teachers who share the school's vision/mission by:</p> <ul style="list-style-type: none"> Rarely or never using teacher effectiveness as a factor in recruiting, hiring, or assigning decisions²; Rarely or never demonstrating the ability to increase teachers' effectiveness by moving teachers along effectiveness ratings; Rarely or never applying the school's vision/mission to HR decisions.
1.1.2	Evaluation of teachers	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> Monitoring the use of time and/or evaluation procedures to consistently improve the evaluation process. 	<p>Principal prioritizes and applies teacher evaluations by:</p> <ul style="list-style-type: none"> Creating the time and/or resources necessary to ensure the accurate evaluation of every teacher in the building; Using teacher evaluations to credibly differentiate the performance of teachers as evidenced by an alignment between teacher evaluation results and building-level performance; Following processes and procedures outlined in the corporation evaluation plan for all staff members 	<p>Principal prioritizes and applies teacher evaluations by:</p> <ul style="list-style-type: none"> Creating insufficient time and/or resources necessary to ensure the accurate evaluation of every teacher in the building; Using teacher evaluations to partially differentiate the performance of teacher; Following most processes and procedures outlined in the corporation evaluation plan for all staff members. 	<p>Principal <u>does not</u> prioritize and apply teacher evaluations by:</p> <ul style="list-style-type: none"> Failing to create the time and/or resources necessary to ensure the accurate evaluation of every teacher in the building; Rarely or never using teacher evaluation to differentiate the performance of teachers ; Failing to follow all processes and processes outlined in the corporation evaluation plan for staff members.

² For new teachers, the use of student teaching recommendations and data results is entirely appropriate.

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
1.1.3 Professional development	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> – Frequently creating learning opportunities in which highly effective teachers support their peers; – Monitoring the impact of implemented learning opportunities on student achievement; – Efficiently and creatively orchestrating professional learning opportunities in order to maximize time and resources dedicated to learning opportunities. 	<p>Principal orchestrates professional learning opportunities by:</p> <ul style="list-style-type: none"> – Providing learning opportunities to teachers aligned to professional needs based on student academic performance data and teacher evaluation results; – Providing learning opportunities in a variety of formats, such as instructional coaching, workshops, team meetings, etc. – Providing differentiated learning opportunities to teachers based on evaluation results. 	<p>Principal orchestrates aligned professional learning opportunities tuned to staff needs by:</p> <ul style="list-style-type: none"> – Providing generalized learning opportunities aligned to the professional needs of some teachers based on student academic performance data; – Providing learning opportunities with little variety of format; – Providing differentiated learning opportunities to teachers in some measure based on evaluation results. 	<p>Principal <u>does not</u> orchestrate aligned professional learning opportunities tuned to staff needs by:</p> <ul style="list-style-type: none"> – Providing generic or low-quality learning opportunities unrelated to or uninformed by student academic performance data; – Providing no variety in format of learning opportunities; – Failing to provide professional learning opportunities based on evaluation results.
1.1.4 Leadership and talent development	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> – Encouraging and supporting teacher leadership and progression on career ladders; – Systematically providing opportunities for emerging leaders to distinguish themselves and giving them the authority to complete the task; – Recognizing and celebrating emerging leaders. 	<p>Principal develops leadership and talent by:</p> <ul style="list-style-type: none"> – Designing and implementing succession plans (e.g. career ladders) leading to every position in the school; – Providing formal and informal opportunities to mentor emerging leaders; – Promoting support and encouragement of leadership and growth as evidenced by the creation of and assignment to leadership positions or learning opportunities. 	<p>Principal develops leadership and talent by:</p> <ul style="list-style-type: none"> – Designing and implementing succession plans (e.g. career ladders) leading to some positions in the school; – Providing formal and informal opportunities to mentor some, but not all, emerging leaders; – Providing moderate support and encouragement of leadership and growth as evidenced by assignment to existing leadership positions without expanding possible positions to accommodate emerging and developing leaders. 	<p>Principal <u>does not</u> develop leadership and talent by:</p> <ul style="list-style-type: none"> – Rarely or never designing and implementing succession plans (e.g. career ladders leading to positions in the school); – Rarely or never provides mentorship to emerging leaders; – Providing no support and encouragement of leadership and growth; – Frequently assigns responsibilities without allocating necessary authority.
1.1.5 Delegation	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> – Encouraging and supporting staff members to seek out responsibilities; – Monitoring and supporting staff in a fashion that develops their ability to manage tasks and responsibilities. 	<p>Principal delegates tasks and responsibilities appropriately by:</p> <ul style="list-style-type: none"> – Seeking out and selecting staff members for increased responsibility based on their qualifications, performance, and/or effectiveness; – Monitoring the progress towards success of those to whom delegations have been made; – Providing support to staff members as needed. 	<p>Principal delegates tasks and responsibilities appropriately by:</p> <ul style="list-style-type: none"> – Occasionally seeking out and selecting staff members for increased responsibility based on their qualifications, performance and/or effectiveness; – Monitoring completion of delegated tasks and/or responsibilities, but not necessarily progress towards completion; – Providing support, but not always as needed. 	<p>Principal <u>does not</u> delegate tasks and responsibilities appropriately by:</p> <ul style="list-style-type: none"> – Rarely or never seeking out and selecting staff members for increased responsibility based on their qualifications, performance, and/or effectiveness; – Rarely or never monitoring completion of or progress toward delegated task and/or responsibility; – Rarely or never providing support.

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
1.1.6 Strategic assignment³	At Level 4, a principal fulfills the criteria for Level 3 and additionally: <ul style="list-style-type: none"> – Leveraging teacher effectiveness to further generate student success by assigning teachers and staff to professional learning communities or other teams that compliment individual strengths and minimize weaknesses. 	Principal uses staff placement to support instruction by: <ul style="list-style-type: none"> – Strategically assigning teachers and staff to employment positions based on qualifications, performance, and demonstrated effectiveness (when possible) in a way that supports school goals and maximizes achievement for all students; – Strategically assigning support staff to teachers and classes as necessary to support student achievement. 	Principal uses staff placement to support instruction by: <ul style="list-style-type: none"> – Systematically assigning teachers and staff to employment positions based on several factors without always holding student academic needs as the first priority in assignment when possible. 	Principal <u>does not</u> use staff placement to support instruction by: <ul style="list-style-type: none"> – Assigning teachers and staff based to employment positions purely on qualifications, such as license or education, or other determiner not directly related to student learning or academic needs.
1.1.7 Addressing teachers who are in need of improvement or ineffective	At Level 4, a principal fulfills the criteria for Level 3 and additionally: <ul style="list-style-type: none"> – Staying in frequent communication with teachers on remediation plans to ensure necessary support; – Tracking remediation plans in order to inform future decisions about effectiveness of certain supports. 	Principal addresses teachers in need of improvement or ineffective by: <ul style="list-style-type: none"> – Developing remediation plans with teachers rated as ineffective or in need of improvement; – Monitoring the success of remediation plans; – Following statutory and contractual language in counseling out or recommending for dismissal ineffective teachers. 	Principal addresses teachers in need of improvement or ineffective by: <ul style="list-style-type: none"> – Occasionally monitoring the success of remediation plans; – Occasionally following statutory and contractual language in counseling out or recommending for dismissal ineffective teachers. 	Principal <u>does not</u> address teachers in need of improvement or ineffective by: <ul style="list-style-type: none"> – Occasionally, rarely or never developing remediation plans with teachers rated as ineffective or in need of improvement; – Rarely or never monitoring the success of remediation plans; – Rarely or never following statutory and contractual language in counseling out or recommending for dismissal ineffective teachers.

³ This indicator obviously assumes there is ability of leader to make these decisions.

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	
1.2 Instructional Leadership					
1.2.1	Mission and vision	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> – Defining long, medium, and short-term application of the vision and/or mission; – Monitoring and measuring progress toward the school’s vision and/or mission; – Frequently revisiting and discussing the vision and/or mission to ensure appropriateness and rigor; – Cultivating complete commitment to and ownership of the school’s vision and/or mission fully within the school and that spreads to other stakeholder groups. 	<p>Principal supports a school-wide instructional vision and/or mission by:</p> <ul style="list-style-type: none"> – Creating a vision and/or mission based on a specific measurable, ambitious, rigorous, and timely; instructional goal(s); – Defining specific instructional and behavioral actions linked to the school’s vision and/or mission; – Ensuring all key decisions are aligned to the vision and/or mission; – Cultivating commitment to and ownership of the school’s vision and/or mission within the majority of the teachers and students, as evidenced by the vision/mission being communicated consistently and in a variety of ways, such as in classrooms and expressed in conversations with teachers and students. 	<p>Principal supports a school-wide instructional vision and/or mission by:</p> <ul style="list-style-type: none"> – Creating a vision and/or mission based on a specific measurable, ambitious, rigorous, and timely; instructional goal(s); – Making significant key decisions without alignment to the vision and/or mission; – Cultivating a level of commitment to and ownership of the school’s vision and/or mission that encapsulates some, but not all, teachers and students. 	<p>Principal <u>does not</u> support a school-wide instructional vision and/or mission by:</p> <ul style="list-style-type: none"> – Failing to adopt a school-wide instructional vision and/or mission; – Defining a school-wide instructional vision and/or mission that is not applied to decisions; – Implementing a school-wide instructional vision without cultivating commitment to or ownership of the vision and/or mission, as evidenced by a lack of student and teacher awareness.
1.2.2	Classroom observations	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> – Creating systems and schedules ensuring all teachers are frequently observed, and these observations are understood by the principal, teachers, and students to be an absolute priority; – Monitoring the impact of feedback provided to teachers. 	<p>Principal uses classroom observations to support student academic achievement by:</p> <ul style="list-style-type: none"> – Visiting all teachers frequently (announced and unannounced) to observe instruction; – Frequently analyzing student performance data with teachers to drive instruction and evaluate instructional quality; – Providing prompt and actionable feedback to teachers aimed at improving student outcomes based on observations and student performance data. 	<p>Principal uses classroom observations to support student academic achievement by:</p> <ul style="list-style-type: none"> – Occasionally visiting teachers to observe instruction; – Occasionally analyzing student performance data to drive instruction evaluate instructional quality; – Providing inconsistent or ineffective feedback to teachers and/or that is not aimed at improving student outcomes. 	<p>Principal uses classroom observations to support student academic achievement by:</p> <ul style="list-style-type: none"> – Rarely or never visiting teachers to observe instruction; – Rarely or never analyzing student performance data OR lacking ability to derive meaning from analysis of data; – Rarely or never providing feedback to teachers or consistently providing feedback to teachers that is completely unrelated to student outcomes.
1.2.3	Teacher collaboration	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> – Monitoring collaborative efforts to ensure a constant focus on student learning; – Tracking best collaborative practices to solve specific challenges; – Holding collaborating teams accountable for their results. 	<p>Principal supports teacher collaboration by:</p> <ul style="list-style-type: none"> – Establishing a culture of collaboration with student learning and achievement at the center as evidenced by systems such as common planning periods; – Encouraging teamwork, reflection, conversation, sharing, openness, and collective problem solving; – Aligning teacher collaborative efforts to the school’s vision/mission. 	<p>Principal supports teacher collaboration by:</p> <ul style="list-style-type: none"> – Establishing a culture of collaboration without a clear or explicit focus on student learning and achievement; – Supporting and encouraging teamwork and collaboration in a limited number of ways; – Occasionally aligning teacher collaborative efforts to instructional practices. 	<p>Principal <u>does not</u> support teacher collaboration by:</p> <ul style="list-style-type: none"> – Failing to establish or support a culture of collaboration through not establishing systems such as common planning periods; – Discouraging teamwork, openness, and collective problem solving by failing to provide staff with information pertaining to problems and/or ignoring feedback; – Rarely or never aligning teacher collaborative efforts to instructional practices.

PLEASE NOTE: THIS MODEL EVALUATION RUBRIC IS STILL IN DRAFT FORM! The rubric will be tested in the RISE pilot corporations in 2011-2012 and modified based on feedback. However, because IDOE understands the high level of interest across the state with regard to evaluations, we elected to share this DRAFT to give educators an in-depth look at the basic components of what a principal evaluation rubric **can** look like. The IDOE **will not** require any Indiana school to use this or any specific evaluation tool. While local leaders may adopt this model rubric as is if they so choose, IDOE recruited educators from across the state to develop this model to support local corporations in crafting the best possible evaluation rubric to meet the needs of both students and professionals. IDOE will release the **FINAL** version of this model rubric when collaboration with teachers, administrators, and other education stakeholders is complete.

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	
1.3 Leading Indicators of Student Learning					
1.3.1	Planning and Developing Student Learning Objectives	At Level 4, a principal fulfills the criteria for Level 3 and additionally: <ul style="list-style-type: none"> Utilizing SLOs as the basis of school-wide goals, and/or the vision and mission; Communicating with community members, parents, and other stakeholders the purpose and progress towards SLOs; Ensuring students are aware of and can communicate the academic expectations inherent in teacher SLOs; Empowering teachers, staff, and students to participate in the monitoring of progress towards SLOs; Revisiting the use and design of teacher and school-wide tracking tools. 	Principal supports the planning and development of Student Learning Objectives (SLOs) by: <ul style="list-style-type: none"> Organizing and leading opportunities for collaboration within departments and across grades in developing SLOs; Collaborating with teachers to identify standards or skills to be assessed; Collaborating with teachers to develop/select assessments to evaluate overall student progress; utilizing assessments that accurately and reliably measure student learning; Helping teachers to assess baseline student performance to drive the development of SLOs that appropriately take students' starting points into account; Systematically working with teachers to monitor and revisit SLOs throughout year as necessary. Utilizing a tracking tool to monitor school-wide progress on SLOs; Ensuring teachers utilize a tracking tool to show student progress towards SLOs. 	Principal supports the creation of Student Learning Objectives (SLOs) by: <ul style="list-style-type: none"> Organizing, but only occasionally leading or participating in opportunities for collaboration, or developing the systems and processes necessary for collaboration to occur; Occasionally collaborating with teachers to identify standards or skills to be assessed; Focusing on teachers with existing common assessments, but failing to help those who need the most help in developing assessments; Working with teachers only occasionally throughout the year to measure progress towards goals; Occasionally ensuring most teachers utilize a tracking tool to show student progress OR tracking tools utilized do not measure progress towards SLOs. 	Principal <u>does not</u> support the creation of Student Learning Objectives by: <ul style="list-style-type: none"> Failing to organize/provide opportunities for teacher collaboration; Failing to meet with teachers to look at baseline data, select assessments, and set SLOs; Not meeting with teachers throughout the year to look at progress towards goals.
1.3.2	Rigorous Student Learning Objectives	At Level 4, a principal fulfills the criteria for Level 3 and additionally: <ul style="list-style-type: none"> Utilizing rigorous SLOs to define and lead a school's culture and sense of urgency; Establishing an on-going culture of looking at data and progress towards SLOs involving all staff members in the school regularly meeting to talk about data and instructional practice. 	Principal creates rigor in SLOs by: <ul style="list-style-type: none"> Ensuring teachers' SLOs define desired outcomes; Ensuring assessments used correspond to the appropriate state content standards; Ensuring outcomes are benchmarked to high expectations, such as international standards and/or typical to high growth; Ensuring an analysis of previous year's student performance is included in the development of SLOs; Ensuring SLOs are focused on demonstrable gains in students' mastery of academic standards -as measured by achievement and/or growth. 	Principal creates rigor in SLOs by: <ul style="list-style-type: none"> Allowing teachers to set lower expectations for the growth of some students than others, and this is reflected in SLOs; Assessing baseline data that may not be effectively used to assess students' starting points; Selecting and allowing for assessments that may not be appropriately aligned to state content standards. 	Principal creates rigor in SLOs by: <ul style="list-style-type: none"> Allowing for outcomes to be benchmarked to less than typical growth; Failing to assess baseline knowledge of students; Failing to select assessments that are appropriately aligned to content standards.

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1.3.4	Instructional time	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> - Systematically monitors the use of instructional time to create innovative opportunities for increased and/or enhanced instructional time. 	<p>Principal supports instructional time by:</p> <ul style="list-style-type: none"> - Removing all sources of distractions of instructional time; - Promoting the sanctity of instructional time; - Ensuring every minute of instructional time is maximized in the service of student learning and achievement, and free from distractions. 	<p>Principal supports instructional time by:</p> <ul style="list-style-type: none"> - Removing major sources of distractions of instructional time; - Attempting to promote sanctity of instructional time but is hindered by issues such as school discipline, lack of high expectations, etc; - Occasionally allowing unnecessary non-instructional events and activities to interrupt instructional time. 	<p>Principal <u>does not</u> support instructional time by:</p> <ul style="list-style-type: none"> - Failing to establish a culture in which instructional time is the priority, as evidenced by discipline issues, attendance, interruptions to the school day, etc; - Rarely or never promoting the sanctity of instructional time; - Frequently allowing and/or encouraging unnecessary non-instructional events and activities to interrupt instructional time.
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Domain 2: Leadership Actions

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

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	
2.1 Personal Behavior					
2.1.1	Professionalism	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> Articulates and communicates appropriate behavior to all stakeholders, including parents and the community; Creates mechanisms, systems, and/or incentives to motivate students and colleagues to display professional, ethical, and respectful behavior at all times 	<p>Principal displays professionalism by:</p> <ul style="list-style-type: none"> Modeling professional, ethical, and respectful behavior at all times; Expecting students and colleagues to display professional, ethical, and respectful behavior at all times. 	<p>Principal supports professionalism by:</p> <ul style="list-style-type: none"> Failing to model professionalism at all times but understanding of professional expectations as evidenced by not acting counter to these expectations; Occasionally holding students and colleagues to professional, ethical, and respectful behavior expectations. 	<p>Principal <u>does not</u> support professionalism by:</p> <ul style="list-style-type: none"> Failing to model professionalism at all times, and occasionally modeling behaviors counter to professional expectations; Rarely or never holding students and colleagues to professional, ethical, and respectful behavior expectations.
2.1.2	Time management	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> Monitoring progress toward established yearly, monthly, weekly, and daily priorities and objectives; Monitoring use of time to identify areas that are not effectively utilized; 	<p>Principal manages time effectively by:</p> <ul style="list-style-type: none"> Establishing yearly, monthly, weekly, and daily priorities and objectives; Identifying and consistently prioritizing activities with the highest-leverage on student achievement. 	<p>Principal manages time effectively by:</p> <ul style="list-style-type: none"> Establishing short-term and long-term objectives that are not clearly aligned and connected by intermediate objectives; Occasionally prioritizes activities unrelated to student achievement. 	<p>Principal manages time effectively by:</p> <ul style="list-style-type: none"> Rarely or never establishing timely objectives or priorities; Regularly prioritizing activities unrelated to student achievement;
2.1.3	Using feedback to improve student performance	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> Developing and implementing systems and mechanisms that generate feedback and advice from students, teachers, parents, community members, and other stakeholders to improve student performance; Identifying the most efficient means through which feedback can be generated. 	<p>Principal uses feedback to improve student performance by:</p> <ul style="list-style-type: none"> Actively soliciting feedback and help from all key stakeholders; Acting upon feedback to shape strategic priorities to be aligned to student achievement. 	<p>Principal uses feedback to improve student performance by:</p> <ul style="list-style-type: none"> Accepts feedback from any stakeholder when it is offered but does not actively seek out such input; Occasionally acting upon feedback to shape strategic priorities aligned to student achievement. 	<p>Principal <u>does not</u> use feedback to improve student performance by:</p> <ul style="list-style-type: none"> Regularly avoiding or devaluing feedback; Rarely or never applying feedback to shape priorities.

		<ul style="list-style-type: none"> – Establishing “feedback loops” in which those who provide feedback are kept informed of actions taken based on that feedback. 			
2.1.4	Initiative and persistence	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> – Exceeding typical expectations to accomplish ambitious goals; – Regularly identifying, communicating, and addressing the school’s most significant obstacles to student achievement; – Engaging with key stakeholders at the district and state level, and within the local community to create solutions to the school’s most significant obstacles to student achievement. 	<p>Principal displays initiative and persistence by:</p> <ul style="list-style-type: none"> – Consistently achieving expected goals; – Taking on voluntary responsibilities that contribute to school success; – Taking risks to support students in achieving results by identifying and frequently attempting to remove the school’s most significant obstacles to student achievement; – Seeking out potential partnerships with groups and organizations with the intent of increasing student achievement. 	<p>Principal displays initiative and persistence by:</p> <ul style="list-style-type: none"> – Achieving most, but not all expected goals; – Occasionally taking on additional, voluntary responsibilities that contribute to school success; – Occasionally taking risks to support students in achieving results by attempting to remove the school’s most significant obstacles to student achievement; – Infrequently seeking out potential partnerships with groups and organizations with the intent of increasing student achievement. 	<p>Principal <u>does not</u> display initiative and persistence by:</p> <ul style="list-style-type: none"> – Rarely or never achieving expected goals; – Rarely or never taking on additional, voluntary responsibilities that contribute to school success; – Rarely or never taking risks to support students in achieving results; – Never seeking out potential partnerships.

Indicator		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
2.2 Building Relationships					
2.2.1	Culture of urgency	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> Ensuring the culture of urgency is sustainable by celebrating progress while maintaining a focus on continued improvement; 	<p>Principal creates an organizational culture of urgency by:</p> <ul style="list-style-type: none"> Aligning the efforts of students, parents, teachers, and other stakeholders to a shared understanding of academic and behavioral expectations; Leading a relentless pursuit of these expectations. 	<p>Principal creates an organizational culture of urgency by:</p> <ul style="list-style-type: none"> Aligning major efforts of students and teachers to the shared understanding of academic and behavioral expectations, while failing to include other stakeholders; Occasionally leading a pursuit of these expectations. 	<p>Principal <u>does not</u> create an organizational culture of urgency by:</p> <ul style="list-style-type: none"> Failing to align efforts of students and teachers to a shared understanding of academic and behavior expectations; Failing to identify the efforts of students and teachers, thus unable to align these efforts.
2.2.2	Communication	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> To the extent possible, messaging key concepts in real time; Tracking the impact of interactions with stakeholders, revising approach and expanding scope of communications when appropriate; Monitoring the success of different approaches to communicating to identify the most appropriate channel of communicating in specific situations. 	<p>Principal skillfully and clearly communicates by:</p> <ul style="list-style-type: none"> Messaging key concepts, such as the school's goals, needs, plans, success, and failures; Interacting with a variety of stakeholders, including students, families, community groups, central office, teacher associations, etc; Utilizing a variety of means and approaches of communicating, such as face-to-face conversations, newsletters, websites, etc. 	<p>Principal skillfully and clearly communicates by:</p> <ul style="list-style-type: none"> Messaging most, but not all, key concepts; Interacting with a variety of stakeholders but not yet reaching all invested groups and organizations; Utilizing a limited number of means and approaches to communication. 	<p>Principal <u>does not</u> skillfully and clearly communicate by:</p> <ul style="list-style-type: none"> Rarely or never messaging key concepts; Interacting with a limited number of stakeholders and failing to reach several key groups and organizations; Not utilizing a variety of means or approaches to communication OR ineffectively utilizing several means of communication.
2.2.3	Forging consensus for change and improvement	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> Guides others through change and addresses resistance to that change; Monitors the success of strategies and revises based on strengths and weaknesses; Creates cultural changes that reflect and support building a consensus for change. 	<p>Principal creates a consensus for change and improvement by:</p> <ul style="list-style-type: none"> Using effective strategies to work toward a consensus for change and improvement; Systematically managing and monitoring change processes; Securing cooperation from key stakeholders in planning and implementing change and driving improvement. 	<p>Principal creates a consensus for change and improvement by:</p> <ul style="list-style-type: none"> Identifying areas where agreement is necessary and has not yet begun to implement strategies to achieve that agreement; Managing change and improvement processes without building systems and allies necessary to support the process; Asking for feedback but not yet successful in securing cooperation in delivering input from all stakeholders. 	<p>Principal <u>does not</u> create a consensus for change and improvement by:</p> <ul style="list-style-type: none"> Failing to identify areas in which agreement and/or consensus is necessary; Rarely or never managing or developing a process for change and/or improvement; Rarely or never seeking out feedback or securing cooperation – making unilateral, arbitrary decisions.

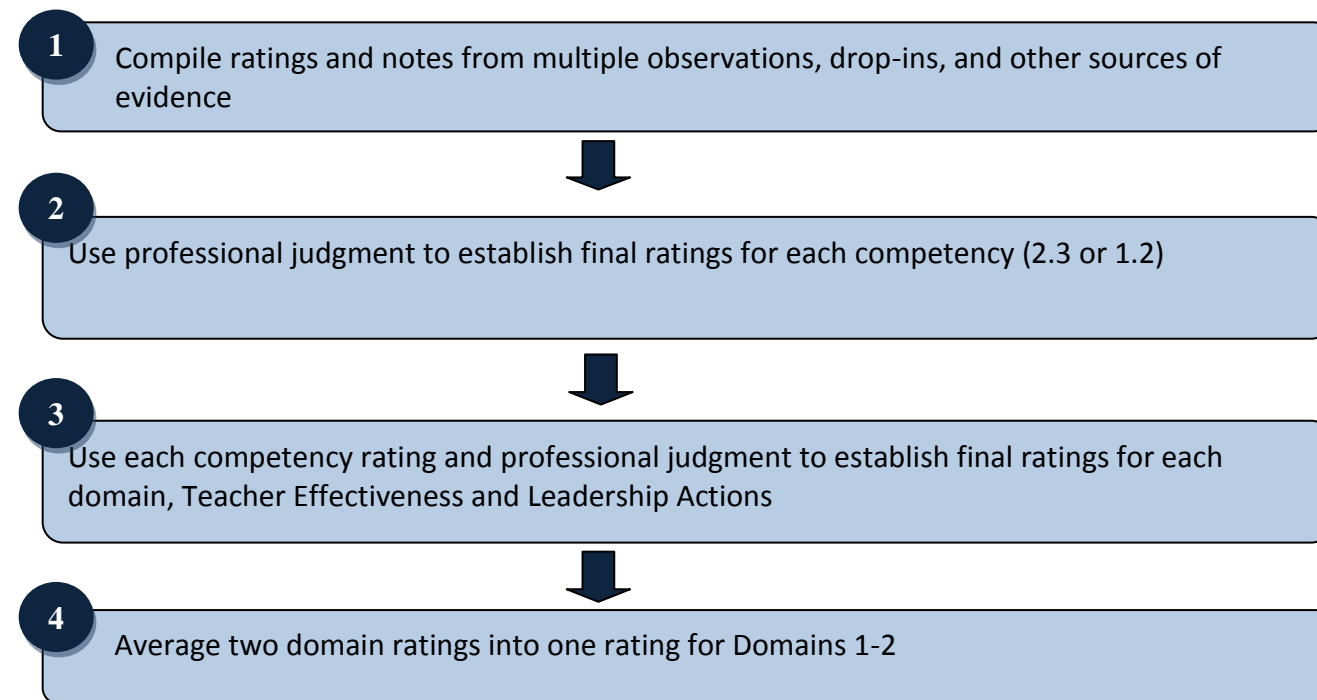
Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	
2.3 Culture of Achievement					
2.3.1	High expectations	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> – Incorporating community members and other partner groups into the establishment and support of high academic and behavior expectations; – Benchmarking expectations to the performance of the state’s highest performing schools; – Creating systems and approaches to monitor the level of academic and behavior expectations; – Encouraging a culture in which students are able to clearly articulate their diverse personal academic goals. 	<p>Principal creates and supports high academic and behavior expectations by:</p> <ul style="list-style-type: none"> – Empowering teachers and staff to set high and demanding academic and behavior expectations for every student; – Empowering students to set high and demanding expectations for themselves; – Ensuring that students are consistently learning, respectful, and on task; – Setting clear expectations for student academics and behavior and establishing consistent practices across classrooms; – Ensuring the use of practices with proven effectiveness in creating success for all students, including those with diverse characteristics and needs. 	<p>Principal creates and supports high academic and behavioral expectations by:</p> <ul style="list-style-type: none"> – Setting clear expectations for student academics and behavior but occasionally failing to hold students to these expectations; – Setting expectations but failing to empower students and/or teachers to set high expectations for student academic and behavior. 	<p>Principal <u>does not</u> create or support high academic and behavior expectations by:</p> <ul style="list-style-type: none"> – Accepting poor academic performance and/or student behavior; – Failing to set high expectations or sets unrealistic or unattainable goals.
2.3.2	Academic rigor	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> – Creating systems to monitor the progress towards rigorous academic goals, ensuring wins are celebrated when goals are met and new goals reflect achievements. 	<p>Principal establishes academic rigor by:</p> <ul style="list-style-type: none"> – Creating ambitious academic goals and priorities that are accepted as fixed and immovable. 	<p>Principal establishes academic rigor by:</p> <ul style="list-style-type: none"> – Creating academic goals that are nearing the rigor required to meet the school’s academic goals; – Creating academic goals but occasionally deviates from these goals in the face of adversity. 	<p>Principal <u>has not</u> established academic rigor by:</p> <ul style="list-style-type: none"> – Failing to create academic goals or priorities OR has created academic goals and priorities that are not ambitious; – Consistently sets and abandons ambitious academic goals.
2.3.3	Data usage in teams	<p>At Level 4, a principal fulfills the criteria for Level 3 and additionally:</p> <ul style="list-style-type: none"> – Data used as basis of decision making is transparent and communicated to all stakeholders; – Monitoring the use of data in formulating action plans to identify areas where additional data is needed. 	<p>Principal utilizes data by:</p> <ul style="list-style-type: none"> – Orchestrating frequent and timely team collaboration for data analysis; – Developing and supporting others in formulating action plans for immediate implementation that are based on data analysis. 	<p>Principal utilizes data by:</p> <ul style="list-style-type: none"> – Occasionally supporting and/or orchestrating team collaboration for data analysis; – Occasionally developing and supporting others in formulating action plans for implementation that are based on data analysis. 	<p>Principal <u>does not</u> utilize data by:</p> <ul style="list-style-type: none"> – Rarely or never organizing efforts to analyze data; – Rarely or never applying data analysis to develop action plans.

PLEASE NOTE: THIS MODEL EVALUATION RUBRIC IS STILL IN DRAFT FORM! The rubric will be tested in the RISE pilot corporations in 2011-2012 and modified based on feedback. However, because IDOE understands the high level of interest across the state with regard to evaluations, we elected to share this DRAFT to give educators an in-depth look at the basic components of what a principal evaluation rubric **can** look like. The IDOE **will not** require any Indiana school to use this or any specific evaluation tool. While local leaders may adopt this model rubric as is if they so choose, IDOE recruited educators from across the state to develop this model to support local corporations in crafting the best possible evaluation rubric to meet the needs of both students and professionals. IDOE will release the **FINAL** version of this model rubric when collaboration with teachers, administrators, and other education stakeholders is complete.

SUMMARY AND RATING

At the end of the year, evaluators may want to determine a final professional practice rating. **PLEASE NOTE: The rating described here only refers to professional practice and does not include school wide measures of student learning. Per Senate Bill 1, a summative evaluation rating for principals must include measures of student learning. For the RISE model, the rating obtained here will feed into a larger calculation for the summative score which involves multiple measures of school wide data. Information regarding this scoring system for RISE will be released no later than January 31, 2012.**

The final professional practice rating for RISE will be calculated by the evaluator in a four step process:



1 Compile ratings and notes from multiple observations, drop-ins, and other sources of evidence.

At the end of the school year, evaluators should have collected a body of evidence representing professional practice from throughout the year. To aid in the collection of this evidence, corporations should consider through the process of establishing a regular bi-weekly walk through and monthly conferences between leaders and their evaluators. It is recommended that evaluators assess evidence mid-way through the year and then again at the end of the year.

2 Use professional judgment to establish final ratings for each competency.

After collecting evidence, the evaluator must assess where the principal falls within each competency and use professional judgment to assign ratings. It is not recommended that the evaluator average competency scores to obtain the final domain score, but rather use good judgment to decide which competencies matter the most for leaders in different contexts and how leaders have evolved over the course of the year.

3 Use professional judgment to establish final ratings in Teacher Effectiveness and Leadership Actions

After collecting evidence, the evaluator must assess where the principal falls within each in each of the two domains. The final, two domain ratings should reflect the body of evidence available to the evaluator. In the summative conference, the evaluator should discuss the ratings with the leader, using evidence to support the final decision. At this point, each evaluator should have ratings in the two domains that range from 1 (Ineffective) to 4 (Highly Effective).

	D1:Teacher Effectiveness	D2: Leadership Actions
Final Rating	3 (E)	2 (IN)

4

Average two domain ratings into one final practice score.

At this point, each of the two final domain ratings is averaged together to form one score.

$3+2/2=2.5$ final practice score

* Remember the final practice score then feeds in to a larger calculation for an overall summative rating including school wide measures of student learning.