

# Indiana Superintendent Evaluation Process

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A JOINT PROJECT BY

THE INDIANA SCHOOL BOARDS ASSOCIATION  
&  
THE INDIANA ASSOCIATION OF  
PUBLIC SCHOOL SUPERINTENDENTS

INDIANA SCHOOL BOARDS ASSOCIATION  
One North Capitol Avenue, Suite 1215  
Indianapolis, IN 46204  
317-639-0330 / fax 317-639-3591

INDIANA ASSOCIATION OF PUBLIC SCHOOL SUPERINTENDENTS  
One North Capitol Avenue, Suite 1215  
Indianapolis, IN 46204  
317 639-0336 / fax 317-639-4360

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The 2012 revision of the Superintendent Evaluation Manual has been carefully reviewed and is being offered to school boards and superintendents as a viable process to conduct a meaningful and formative evaluation of the professional performance of public school superintendents throughout Indiana. This manual provides a complete process for the superintendent evaluation, but should be considered to be a reference, or a guide to that process. Additional assistance may be obtained from ISBA or IAPSS. The material contained in this manual is the result of the research, discussions, and conclusions expressed by the joint revision committee representing ISBA and IAPSS.

The revision committee extends our appreciation to the Indiana Department of Education for their support and to Dr. Dennis Brooks for his contributions to this effort.

**The revision committee members:**

- ISBA: Dr. Michael Adamson- Director of Board Services  
Lisa Tanselle, Esq. -Staff Attorney
- IAPSS: Dr. Thomas Little- Superintendent, M.S.D. of Perry Township  
Dr. Kevin Caress- Superintendent, Clark Pleasant Community School Corporation  
Dr. Sherry Grate- Superintendent, DeKalb County Central U.S.D.  
Dr. Scott Hanback- Superintendent, Tippecanoe School Corporation

# Purpose and Value of Evaluation

The superintendent evaluation is one of the fundamental responsibilities of the school board. However, with the 2011 adoption of IC 20-28-11.5-4, regarding annual performance evaluations for certificated employees, there is an even greater reason for careful consideration when selecting an evaluation instrument, as well as how the entire evaluation process is conducted. Critical to this exercise is a mutual understanding of the value and overall purpose of the evaluation process.

This manual provides both school boards and superintendents a structure they may follow and an evaluation instrument that satisfies the Indiana Department of Education (IDOE) expectations that are defined in the "Indiana Content Standards for Educators: School Leader- District Level" (See Appendix A). Personalities and personal relationships are largely removed from the process with the emphasis placed on the professional attributes of the superintendent's job performance.

The Indiana School Boards Association (ISBA) and the Indiana Association of Public School Superintendents (IAPSS) endorse the IDOE position regarding superintendent evaluation which stresses that,

The development of robust superintendent evaluations is important because the success of the evaluation of Indiana's teachers and principals may depend on strong accountability for district leaders. Superintendents can make a better case for holding educators to high levels of accountability when they themselves are being judged based on student outcomes and Indiana's educators are more likely to accept strong accountability when they see themselves as being part of a broader system that has rigorous criteria built into it from top to bottom.

An evaluation instrument adopted by a local school board may cover a range of attributes in several categories; however, every evaluation instrument must minimally be able to show compliance to the State Standards for School Leaders- District Level. To that end, the proposed evaluation process contains proficiency elements that address the following state standards:

1. Human Capital Management
2. Instructional Leadership
3. Personal Behavior
4. Building Relationships
5. Culture of Achievement
6. Organizational, Operational, and Resource Management

Additionally, the evaluation contains:

- I. Instructions and directions for the evaluators (school board);
2. Clearly stated performance expectations based on professional standards and as defined in leading research by educational leadership authorities;
3. A means to measure individualized goal and/or objective performance;
4. Student growth criteria; and,
5. A section that provides instructions to superintendents on preparation for the evaluation process.

Lastly, there are guidelines for boards and superintendents to effectively weigh various elements of the evaluation in consideration of the range and scope of superintendent responsibilities, depending on the size of the school corporation, number of subordinate administrators, past performance, etc.

It is important to stress that evaluations should predominantly be limited to an objectively measurable criterion, illustrated by such things as work samples, observations, reports, and conferences with the superintendent. The objective is for the evaluation to support the process for improvement and goal attainment, as well as to encourage the continuing evolution of professional growth.

This evaluation *isformzative* in substance, identifying areas where job performance can be improved through intentional activities that support and enhance the superintendent's job performance. The evaluation is not simply a *summative* review of what did or did not happen according to plans. Consequently, it is important to allow for some flexibility in the process, remembering to differentiate between those goals that can be reasonably expected to be achieved and those goals that are more subject to circumstances beyond the superintendent's ability to control.

The school board should strive to accomplish the following objectives through the evaluation process:

1. To clarify the superintendent's role as seen by the board;
2. To develop a harmonious working relationship between the board and the superintendent;
3. To encourage job performance improvement and development; and
4. To establish goals and objectives for the future.

Strengthening the board/superintendent relationship is vital to the continuing health and productive performance of a school system's leadership team. Consequently, the superintendent should be an active participant in the evaluation as well as establishing the performance goals and a method of monitoring and reporting his or her progress to the board at regular intervals throughout the year.

The evaluation process is not an exercise that can be accomplished without considerable thought and effort. Board members and superintendents must become familiar with the process, adapt and apply the performance criteria to the expectations and responsibilities of the superintendent and the needs and character of the school corporation. A good evaluation process, carefully administered and completed, is not only a record of annual performance, but is both a necessary and constructive accountability tool for school boards and superintendents.

# Different Evaluation Instruments

The school board is responsible to choose an evaluation instrument that meets the school corporation's needs. Developing or choosing the right evaluation form is as important as writing a comprehensive job description. Certainly, the board should select an evaluation instrument that best represents both the board and the superintendent's interests, but it must also meet the criteria for evaluation of certificated employees established by IC 20-28-11.5-4 (see Appendix C).

The goal of the evaluation instrument should be to objectively measure performance characteristics that reflect the priorities jointly established by the board and superintendent, as well as to assess a superintendent's performance in critical areas of job performance. Additionally, the evaluation instrument should be reasonably easy to use.

It is important to remember that the purpose of the superintendent's evaluation is to determine how the superintendent is performing his or her duties and responsibilities as objectively as possible, nothing else. Its purpose is to evaluate professional performance only!

The board should always include the superintendent in the evaluation process. It is a fairly common practice for a superintendent to complete a self-evaluation, using the same evaluation instrument as the board, with the results of that self-assessment shared with the board after their assessment is completed.

Selecting the best evaluation form, one that meets the board's purposes, is mutually acceptable, and reasonably easy to use, is worthy of expending the time necessary to choose or develop. There are many types of instruments readily available; however, most do not meet the current intent of evaluations as defined in Indiana statute (see Appendix C). If an evaluation instrument meets the requirements of your corporation, it is perfectly acceptable to use it *as is*. However, it is permissible and in some cases preferable, to customize a form to more accurately reflect the mission of your individual school corporation.

Choosing the correct evaluation form and type should not be done solely by the board, or solely by the superintendent. It is important that choosing the evaluation instrument and devising the performance criteria be a joint activity between the board and superintendent. Each has a vested interest in the tool and if all parties are comfortable with the procedure, the results of the evaluation will be more beneficial and will focus on ways to enhance job performance.

Various evaluation instruments have been commonly used in the superintendent evaluation process and school boards are responsible for choosing the evaluation type and process that best fits their purposes and the criteria that is now in statute. The more common of these evaluations types are explained below:

## *The Rubric Instrument*

An increasingly popular evaluation method is a rubric evaluation instrument. This method is commonly utilized by classroom teachers as a means of objective course and assignment evaluations. More recently, the rubric style of assessment has been modeled by IDOE in their RISE rubric evaluation, an evaluation instrument for school corporations' use in teacher and principal evaluations.

The merit in using a rubric instrument is that each indicator, question, skill set, or attribute is assigned values that describe various levels of performance or compliance. It is scored similar to Likert scale models, but instead of a number or letter with a subjective value, each performance level has an accompanying description that clearly defines the performance attributes that should be present for each indicator being assessed.

The rubric provides excellent formative evaluation information that is especially beneficial to continuous improvement goals. One of the difficulties with this instrument is that formulating the instrument is a research-based activity that is probably best facilitated by an outside consultant.

#### *The Likert Scale Instrument*

The Likert Scale instrument is one of the more common approaches used in superintendent evaluations. In this summative process, the evaluation consists of a list of responsibilities and tasks that are to be ranked, using a scale to indicate the superintendent's performance. Often there is a space for comments at the end of each category to permit the board to describe performance areas where they would like to see improvement and to identify areas where they believe the superintendent excels. This counters feelings that the evaluation is based on a series of subjective opinions. This evaluation instrument can be completed by the board individually and then averaged, or as a group by reaching consensus. Some of the advantages of the checklist instrument are:

1. It allows board members to use a numerical scale to evaluate how well the administrator is performing his or her duties;
2. It allows board members to give a priority ranking to the various tasks; and
3. It helps the board reach consensus regarding satisfactory or unsatisfactory assessments.

Some instruments have an additional scale for each category, asking board members to indicate their level of understanding or proficiency in each evaluation category. This adds an element of fairness to the evaluation by allowing a board member who does not thoroughly understand a particular performance category to be exempted from assessing the superintendent's skills in that area. Similarly, the additional scale may be used to evaluate a board member's perception of a category's value to the superintendent's overall job performance. This allows performance in areas deemed more critical to receive a stronger focus in the evaluation.

#### *The Attribute Instrument*

The short question and answer format consists of a few simple questions or statements that focus on the superintendent's basic responsibilities and how well he or she is fulfilling these responsibilities. Some questions frequently used are:

1. What are the primary responsibilities of the superintendent?
2. Which of these responsibilities has the superintendent done well?
3. What could the board do to help the superintendent improve job performance?
4. What could the superintendent do to improve the school system?

Board members should have the superintendent's job description to review as they answer these questions to assure their assessments reflect the responsibilities assigned by the job description.

Having the superintendent complete the evaluation from his or her perspective is also valuable for discussion purposes when the superintendent meets with the board to discuss the evaluation.

In this format, a designated board representative should act as the evaluation chairperson to record board consensus regarding job performance and targets for the superintendent in the upcoming year.

#### *The Narrative Instrument*

The narrative instrument requires the superintendent to write an assessment of his or her performance for the past year, relying on all the major performance responsibilities contained in the superintendent's job description.

The board is responsible to review the assessment and to respond with its own report, emphasizing areas of agreement and outlining any disagreements, including proposing areas for improved job performance.

# The Indiana Superintendent Evaluation Process

SBA and IAPSS are recommending the Indiana Superintendent Evaluation Process to all school boards and superintendents to consider using for superintendent evaluations beginning with school year 2012-13. The Indiana Superintendent Evaluation Process has three primary components:

1. The Evaluation Instrument (Rubric)
2. Superintendent Goals and/or Objectives (Minimum of two per year)
3. The Corporation Accountability Grade (A-F)

Most importantly is that this evaluation process completely meets the requirements of the General Assembly's intent in IC 20-28-11.5-4.

## Setting the Evaluation Metrics Percentages

The evaluation metrics are critical to the process and must be taken seriously. The percentages represent the weight that is to be given to each of the three evaluation categories: the rubric, goals and/or objectives, and corporation accountability grade (see Figure 6). Obviously, if the entire process represents 100%, then each of these categories individually represents a value less than the total. All three percentages must have a combined total of 100%.

Metrics Percentages	
for school year	<input type="text"/>
Date Established	<input type="text"/>
Assessment Instrument	<input type="text"/>
Corporation Accountability Grade	<input type="text"/>
Goals / Objectives	<input type="text"/>
Total	<input type="text"/>

Figure 6- Metrics Percentages

The advice of SBA and IAPSS is that the greater weight of evaluation should always be placed in the rubric. Neither goals and objectives, nor accountability grades should be weighed more than the rubric assessment. Additionally, it is highly recommended that no category be weighed at 0% of the total. The evaluation is about accountability and it is never advisable to misrepresent the importance of key

performance measures to unfairly skew evaluation results. However, it is recognized that flexibility is important; it will be more important to some boards for their superintendent to fulfill goals and objectives than for him or her to spend as much time to improve the corporation accountability grade, especially if the corporation has processes and procedures in place for the school that supports higher accountability grades. Other boards will feel just the opposite.

Consequently, it will be important for every school board and their superintendent to spend some time discussing the weights of each category, to arrive at a defensible position for the weight that will be applied to each category. Most importantly, category weighting should be determined at the beginning of each evaluation period and not be altered without official board action.

## The Evaluation Rubric

The rubric consists of 25 questions distributed within the six primary categories reflected in "Indiana Content Standards for Educators: School Leader- District Level." Each of the six categories has between two and six indicators that describe a specific performance to be evaluated. Next to each indicator, there are four performance descriptions: Highly Effective, Effective, Needs improvement, and Ineffective, which describe varying levels of performance (see Figure 1).

Indicator	Performance Descriptions
<p>Indicator 1: Monitor and evaluate the school's performance in meeting the needs of all students, including those who are economically disadvantaged, students with disabilities, students who are gifted and talented, students who are English language learners, and students who are at risk of dropping out of school.</p>	<p>Highly Effective (4): The superintendent consistently monitors and evaluates the school's performance in meeting the needs of all students, including those who are economically disadvantaged, students with disabilities, students who are gifted and talented, students who are English language learners, and students who are at risk of dropping out of school. The superintendent consistently provides evidence of the school's performance in meeting the needs of all students, including those who are economically disadvantaged, students with disabilities, students who are gifted and talented, students who are English language learners, and students who are at risk of dropping out of school.</p>
<p>Indicator 2: Monitor and evaluate the school's performance in meeting the needs of all students, including those who are economically disadvantaged, students with disabilities, students who are gifted and talented, students who are English language learners, and students who are at risk of dropping out of school.</p>	<p>Effective (3): The superintendent monitors and evaluates the school's performance in meeting the needs of all students, including those who are economically disadvantaged, students with disabilities, students who are gifted and talented, students who are English language learners, and students who are at risk of dropping out of school. The superintendent provides evidence of the school's performance in meeting the needs of all students, including those who are economically disadvantaged, students with disabilities, students who are gifted and talented, students who are English language learners, and students who are at risk of dropping out of school.</p>
<p>Indicator 3: Monitor and evaluate the school's performance in meeting the needs of all students, including those who are economically disadvantaged, students with disabilities, students who are gifted and talented, students who are English language learners, and students who are at risk of dropping out of school.</p>	<p>Improvement Necessary (2): The superintendent monitors and evaluates the school's performance in meeting the needs of all students, including those who are economically disadvantaged, students with disabilities, students who are gifted and talented, students who are English language learners, and students who are at risk of dropping out of school. The superintendent provides evidence of the school's performance in meeting the needs of all students, including those who are economically disadvantaged, students with disabilities, students who are gifted and talented, students who are English language learners, and students who are at risk of dropping out of school.</p>
<p>Indicator 4: Monitor and evaluate the school's performance in meeting the needs of all students, including those who are economically disadvantaged, students with disabilities, students who are gifted and talented, students who are English language learners, and students who are at risk of dropping out of school.</p>	<p>Ineffective (1): The superintendent does not monitor and evaluate the school's performance in meeting the needs of all students, including those who are economically disadvantaged, students with disabilities, students who are gifted and talented, students who are English language learners, and students who are at risk of dropping out of school. The superintendent does not provide evidence of the school's performance in meeting the needs of all students, including those who are economically disadvantaged, students with disabilities, students who are gifted and talented, students who are English language learners, and students who are at risk of dropping out of school.</p>

Figure 1-Rubric indicators and performance descriptions

The board member reads the indicator and, after reviewing the objective evidence of performance provided by the superintendent in his or her annual performance portfolio, marks the appropriate level of performance on the corresponding Rubric Score Sheet (see Appendix D). See Figure 2, below.

Area of Achievement-School district superintendents develop a district wide culture of achievement aligned to the vision of success for every student.					
Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
5.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.4	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Score					

Place an "X" in the correct box matching the exhibited level of performance.

Figure 2- Rubric score sheet

## Performance-Based Goals / Objectives

**F**ormalized evaluations give boards an opportunity to provide guidance to their superintendents regarding desired changes in the area of job performance, as well as the reinforcement of existing strengths that serve the school corporation. Plus, it is an opportunity for the superintendent and school board to discuss formative improvements.

It is extremely important that everyone is working toward the same goals. School boards and superintendents cannot achieve corporation goals if the board and the superintendent are working at cross purposes, or if the superintendent does not have a clear vision of where the school corporation should be headed. What are the priorities? What are the guidelines?

Consequently, it is critical that the superintendent be involved throughout the process of setting his or her annual performance-based goals. There are a number of ways to approach this activity, but the most effective way is to do it jointly. After performance objectives have been identified, the superintendent should draft a set of goals to meet those objectives. It is wise to have the superintendent also incorporate actions steps that include scheduled feedback to the board at regular intervals throughout the year.

Little will be accomplished unless the board gives clear guidance to the superintendent regarding specific objectives and/or goals to pursue. An effective evaluation process not only suggests the importance of individual objective and goal performance but includes it as an integral part of the overall evaluation process.

It is critical that boards work with their superintendent during this stage of the evaluation process to establish mutually agreed upon goals and objectives. The superintendent serves as the board's educational expert and should be the primary author of objectives and goals, but board members need to also be included in the formative stages of that process. Objectives and/or goals are the primary ingredient in the evaluation process. If the superintendent's goals are not determined, the evaluation process is ineffective. Assuming that objectives and/or goals are in place, some guidelines to follow include:

Be sure the objectives and/or goals are:

- !• **Written**

This is the only way to ensure future reference to the goals and to avoid disputes regarding what was said. The goals should be stated in a manner that allows the board to monitor the superintendent's progress. Be as specific as possible regarding what you want to achieve. Avoid generalities and broad, sweeping statements.

- !• **Measurable**

When and how will you know the superintendent has achieved the established performance targets?

- !• **Attainable**

Do the goals you are asking the superintendent to achieve relate to the overall mission of the school corporation? Goals that are unimportant, or irrelevant, defeat the purpose of performance evaluations. Do not ask the superintendent to spend time pursuing something that is not really important to your school corporation.

- !• **Established with reasonable time-frames for completion**

When does the board expect the goals to be achieved? Establish deadlines and ask for periodic progress reports to determine whether the action plan is proceeding as planned. However, do not over-burden the superintendent to the degree that goal-reporting interferes with his or her normal duties and do not expect all goals to be completed at the same time. Some goals are and need to be ongoing. For those goals that may be extended for more than one evaluation period, it is critical that planned progress towards goal completion be monitored and the evaluation be based on that progress.

The superintendent should report his or her progress at various intervals throughout the year; however, a summary report should be prepared for the board prior to the annual evaluation. The process recommends a minimum of two goals and/or objectives per evaluation cycle, but the number may exceed two. The evaluation process form allows for up to six (see Figure 3). Each goal and/or objective is evaluated as Highly Effective, (exceeding its target), Effective, (met its target), Needs Improvement, (met a portion of its target), Ineffective, (failed to meet its target), after which it is scored based on a scale of 1-4, with 4= Highly Effective, 3= meeting all targets, perhaps exceeding in some, 2= meeting half of the targets, and 1=meeting less than half of the targets. The final score (1-4) is placed in the box next to the Goals/Objectives Score.

Superintendent Goals/Objectives					
Goal / Objective	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Figure 3- Superintendent Goals/Objectives

It is important that the goals and/or objectives and their measurement criteria be defined sufficiently to eliminate any subjectiveness in the assessment regarding completion or progress to completion. Vague goals and/or objectives, or insufficient milestones to mark progress towards completion, will hinder the process and drive subjectiveness into the evaluation that will make scoring difficult, if not impossible, to justify.

The Superintendent Goals /Objectives worksheet computes a rating for each goal based upon the average of all board members' scores. The numerical value of the ratings is computed in the Goals/Objectives Score and the results tabulated in the Process Evaluation Workbook (see Figure 4- Supt. Goals & Objectives).

Superintendent Goals / Objectives																					
School Corporation: <input type="text"/>										<table border="1"> <tr> <td>Exceeds all goals</td> <td>E=4</td> </tr> <tr> <td>Meets all goals, may exceed in some</td> <td>E=3</td> </tr> <tr> <td>Meets half of goals</td> <td>I=2</td> </tr> <tr> <td>Meets less than half of goals</td> <td>I=1</td> </tr> </table>				Exceeds all goals	E=4	Meets all goals, may exceed in some	E=3	Meets half of goals	I=2	Meets less than half of goals	I=1
Exceeds all goals	E=4																				
Meets all goals, may exceed in some	E=3																				
Meets half of goals	I=2																				
Meets less than half of goals	I=1																				
Number of Goals / Objectives: <input type="text"/>																					
Board Members																					
Goal	1	2	3	4	5	6	7	8	9	10	11	12	Board Consensus Rating								
1																					
2																					
3																					
4																					
5																					
6																					
Goals/Objectives Score = <input type="text"/>																					

Figure 4- Supt. Goals & Objectives

## Corporation Accountability Grade

The accountability grade is the overall corporation's overall grade in English and Math achievement as assigned by the IDOE. This grade appears as an "A" through "F" and each grade has a corresponding point value. The numerical equivalent for each grade is: "A" = 4, "B" = 3, "C" = 2, "D" or "F" = 1 and these grades are available from the IDOE in August of each year for the previous year's

progress. Consequently, while the rubric and goals and objectives categories can be assessed earlier, the final evaluation rating will have to wait until the accountability grade is available to add to the overall evaluation rating.

When the accountability grade is available, it is to be entered in the process analysis workbook in the Accountability Grade sheet. See Figure 5.

Corporation Accountability Grade	
School/Corporation: <input type="text"/>	Date: <input type="text"/>
	Grade: <input type="text"/> Points: <input type="text"/>
Accountability Grade = <input type="text"/>	
<b>A - F Grade Scoring Criteria</b>	
A	HE = 4
B	E = 3
C	I = 2
D or F	IN = 1

Figure 5-Accountability Grade

Once the grade has been entered, the corresponding point value is automatically entered in the Auto Metrics Summary worksheet.

Following this basic process will enable the school board to deliver a responsible annual performance evaluation of the superintendent. However, it warrants repeating that a clear, initial understanding of the goals and/or objectives criteria for performance will expedite the process, as well as an understanding of the evidentiary data to show the level of compliance in response to the rubric questions.

## Superintendent Preparation

Preparation for the evaluation should be an ongoing activity, beginning at the start of the evaluation period and concluding at the formal evaluation. This format is foreign to many administrators, but especially those who have not been accustomed to regular evaluations or who have only received verbal affirmation of their performance from year-to-year.

It is critical that the superintendent communicate with his or her board prior to the beginning of the evaluation period. First, performance goals and/or objectives must be identified for the evaluation period. Most often, these recommendations will come from the superintendent, but the board may also contribute their ideas and suggestions to the process. A minimum of two goals and/or objectives are recommended during each evaluation cycle along with the criteria upon which the board can objectively ascertain performance progress. Secondly, the superintendent and school board must determine the weight of each of the three evaluation performance areas, the rubric, goals and/or objectives, and corporation grade rank.

Additionally, if there are areas within the rubric where it is unclear what documentation the superintendent should provide as evidence of performance, those areas should be thoroughly discussed and consensus reached regarding the evidence the board will accept as evidence of performance.

Finally, the superintendent and board should discuss and agree upon the method of providing the supporting evidence for the final evaluation. One suggestion is for the superintendent to maintain a performance portfolio with documents catalogued according to category and indicator. Maintaining a performance portfolio throughout the year assures that the documentation is readily available for the board's review at the end of the evaluation period and can be assembled for board review with minimal effort.

There is nothing that precludes a school board or a superintendent from engaging in an interim evaluation at a mid-point in the evaluation period. In fact, it is strongly recommended if the superintendent is new to the corporation or to the position. An informal, mid-term evaluation is an effective means of providing good feedback regarding performance, making sure that goals and/or objectives are progressing to expectation, or to address specific concerns or questions by either the superintendent or the school board.

Most importantly is that once the evaluation criteria has been established and the evaluation period begins, the criteria should not be changed without the express consent of both the superintendent and the school board.

# Board Member Preparation

The key to preparing a high-quality evaluation is the conscientious participation of every member of the school board. Furthermore, it is impossible to conduct a thorough and complete superintendent evaluation without members' intentional preparation and the allocation of more than a few brief minutes to conduct the evaluation. Board members should be prepared to thoroughly review the superintendent's performance evidence against the rubric descriptions and/or agreed upon criteria for each indicator and for each goal or objective in the evaluation.

It is important that the board clearly establish its expectations at the beginning of the evaluation period regarding how the evidence of performance is to be presented to the board for its review. To facilitate this process, it is suggested that the board and superintendent work collaboratively to develop the review criteria to insure that there are no misunderstandings regarding how and when the superintendent is to provide the performance evidence to the board for this annual evaluation.

Keep in mind that the process goal of this evaluation is to yield an objective evaluation. To that end, the rubric instrument helps to insure that the superintendent is being evaluated against objective criteria that can be supported by documentation representing the evidence of his or her performance. In today's current educational climate and increasing demands for greater transparency and accountability, the superintendent's evaluation is one of the most effective ways for the school board to validate its support of the superintendent's leadership of the local school corporation.

Lastly, the annual evaluation process should not reveal any *surprises* to either the superintendent or the school board. School board members should not attempt to use the evaluation process to forward a personal agenda or to subjectively rank the superintendent's performance to the evaluation criteria for ulterior motives.

## The Evaluation Schedule

The frequency of evaluation has been defined by statute to be annually, but the actual time of the year can be set to a mutually satisfactory time that appropriately aligns with the board's and superintendent's schedules. Most boards utilize the time between school dismissal in the spring and the beginning of the fall term to conduct the evaluation. Regardless, once the annual time for evaluation has been established, every effort to maintain that schedule should be taken.

The following are the steps to be included in the evaluation timeline:

- );. Step 1
  - The board and superintendent meet at the beginning of the evaluation period to establish the evaluation metrics percentages for the evaluation instrument, the corporation accountability grade, and the superintendent's goals and/or objectives. The combined total must equal 100%, but the percentages of each are to be determined locally between the school board and the superintendent.
  - Once established, the board president enters these percentages into the *Metrics Percentages* worksheet of the Excel Process Analysis Workbook.
- );. Step 2
  - The board president provides each member with a rubric score sheet
  - The superintendent delivers his or her performance portfolio to the board for their reference in completing the rubric score sheet.
- );. Step 3
  - The board president inputs the information into the *General Data* worksheet of the Excel Process Analysis Workbook.
  - The board president collects the individual members' rubric score sheets and inputs their results into the *Evaluation Summary* and *Supt. Goals and Objectives* worksheets in the Excel Process Analysis Workbook.
- );. Step 4
  - The board president inputs the school corporation's accountability grade into the *Accountability Grade* worksheet in the Excel Process Analysis Workbook. (Note: this grade is not available from the Indiana Department of Education until August of each year.)
- );. Step 5
  - The board president prints the *Auto Metrics Summary* worksheet of the Excel Process Analysis Workbook.
  - All board members sign the completed assessment
- );. Step 6
  - The superintendent is presented with the evaluation summary a minimum of one week prior to the evaluation meeting with the school board.
- );. Step 7
  - The board and superintendent meet in executive session (if desired) to provide clarification or ask any questions regarding the superintendent's performance.
  - A copy of the evaluation is placed in the superintendent's file.

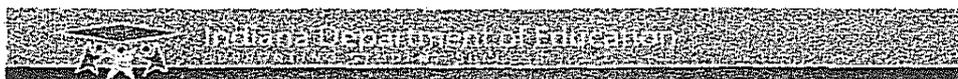
It is understood that the evaluation process has been the topic of a thorough discussion between the superintendent and the school board at the beginning of the year or the period to be evaluated, that superintendent goals and/or objectives were identified at that time, and nothing is being *invented* immediately prior to conducting the evaluation.

Every board member should dedicate sufficient time to complete the evaluation process. It is important to remember that, in addition to being a requirement by statute, the purpose of the evaluation is two-fold:

1. To provide the superintendent with a formative evaluation of his or her performance that is based on objective data.
2. To promote the accountability of both the school board and the superintendent through the evaluation process.

This process requires more than a cursory overview to complete, yet board members do not need to be educators to understand and perform the superintendent's evaluation responsibly and effectively. Likewise, superintendents who are unaccustomed to a rubric type of evaluation process will need to adapt to this model of evaluation and a new process for providing evidence of performance. Ultimately, the process will become second-nature; it will become standard. However, it is what is needed in today's educational environment and as a response to increasing demands for accountability.

## APPENDIX A



## Indiana Content Standards for Educators

### SCHOOL LEADER-DISTRICT LEVEL

The School District Leader standards reflect the most current research on effective educational leadership and advance a new and powerful vision of superintendent effectiveness. The standards define those skills and abilities that district leaders must **POSSESS** to produce greater levels of success for all students. Bringing significant improvement to student achievement and building leader effectiveness requires an unapologetic focus on the superintendent's role as driver of student growth and achievement.

The standards provide a basis for professional preparation, growth, and accountability. However, the standards should not be viewed as ends in themselves; rather, they provide a guide for district leaders about the actions they are expected to take in order to drive student achievement and building leader effectiveness outcomes.

December 2010

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## *f* School Leader-District Level Educator Standards

The Indiana standards for School Leader-District Level consist of "core" and "supplementary" content and skills. In this document, content and skills considered "core" are indicated with bold text. Supplementary content and skills are indicated with nonbold text. It should be noted that all of Standard 6 is supplementary, including both the standard and the essential elements of knowledge within the standard.

### Standard 1: Human Capital Management

School district leaders use their role as human capital manager to drive improvements in building leader effectiveness and student achievement.

### Standard 2: Instructional Leadership

School district leaders are acutely focused on effective teaching and learning, possess a deep and comprehensive understanding of best instructional practices, and continuously promote activities that contribute to the academic success of all students.

### Standard 3: Personal Behavior

School district leaders model personal behavior that sets the tone for all student and adult relationships in the district.

### Standard 4: Building Relationships

School district leaders build relationships to ensure that all key stakeholders work effectively with each other to achieve transformative results.

### Standard 5: Culture of Achievement

School district leaders develop a districtwide culture of achievement aligned to the district's vision of success for every student.

### Standard 6: Organizational, Operational, and Resource Management

School district leaders leverage organizational, operational, and resource management skills to support district improvement and achieve desired educational outcomes;

## School Leader-District level Educator Standards

### Standard 1: Human Capital Management

School district leaders use their role as human capital manager to drive improvements in building leader effectiveness and student achievement, including:

- 1.1 recruiting, hiring; assigning, retaining, and supporting effective building leaders who share the district's vision/mission.
- 1.2 prioritizing the evaluation of building leaders over competing commitments and using evaluation systems that credibly differentiate the performance of building leaders  
ensuring that principals prioritize teacher evaluation over competing commitments and use teacher evaluation systems that credibly differentiate the performance of teachers
- 1.4 orchestrating aligned, high-quality coaching; workshops; team meetings; and other professional learning opportunities tuned to staff needs based on student performance
- 1.5.i designing and implementing succession plans (e.g., career ladders) for every position in the district, and providing formal and informal opportunities to mentor emerging leaders and promote leadership and growth
- 1.6 delegating tasks and responsibilities appropriately to competent staff members, monitoring their progress, and providing support as needed
- 1.7 counseling out or recommending the dismissal of ineffective building leaders, and ensuring that building leaders counsel out or recommend the dismissal of ineffective teachers, carefully following contractual requirements
- 1.8 strategically assigning building leaders and other staff to support district goals and maximize achievement for all students

## School Leader-District Level Educator Standards

### Standard 2: Instructional leadership

School district leaders are acutely focused on effective teaching and learning, possess a deep and comprehensive understanding of best instructional practices, and continuously promote activities that contribute to the academic success of all students, including:

- 2.1 cultivating commitment to and ownership of the district's instructional vision, mission, values, and organizational goals, and ensuring that all key decisions are aligned to the vision
- 2.2 planning, organizing, supervising, and supporting a rigorous district instructional program based on research-supported best practices regarding curriculum, instruction, and assessment using student performance data to evaluate instructional quality, and regularly providing school leaders and staff with prompt, high-quality feedback aimed at improving student outcomes
- 2.4 establishing a culture of collaboration in which teamwork, reflection, conversation, sharing, openness, and problem-solving about student learning and achievement, are aligned to clear instructional priorities
- 2.5 ensuring the use of practices with proven effectiveness in promoting academic success for students with diverse characteristics and needs, including English Learners and students with exceptionalities, including high-ability and twice exceptional students
- 2.6 promoting the sanctity of instructional time, and ensuring that every minute is maximized in the service of student learning and achievement

### Standard 3: Personal Behavior

School district leaders model personal behavior that sets the tone for all student and adult relationships in the district, including:

- 3.1 modeling professional, ethical, and respectful behavior at all times and expecting the same behavior from others
- 3.2 establishing yearly, monthly, weekly, and daily priorities and objectives, relentlessly keeping the highest-leverage activities front and center
- 3.3 actively soliciting and using feedback and help from all key stakeholders in order to drive student achievement
- 3.4 going above and beyond typical expectations to attain goals, taking on voluntary responsibilities that contribute to district success, and taking risks to achieve results
- 3.5 using reflection, self-awareness, ongoing learning, and resiliency to increase effectiveness in leading district improvement efforts

## School leader-District level Educator Standards

### Standard 4: Building Relationships

School district leaders build relationships to ensure that all key stakeholders work effectively with each other to achieve transformative results, including:

- 4.1 establishing an organizational culture of urgency in which building leaders, students, parents/guardians, teachers, staff, and other key stakeholders relentlessly pursue academic and behavioral excellence
  - skillfully and dearly communicating district goals, needs; plans, and successes (and failures) to all stakeholders (e.g., school board members, building leaders, students, teachers, parents/guardians, the central office, the community, businesses) using a variety of means {e.g., face to face, newsletters, Web sites)
  - using effective strategies to forge consensus for change, manage and monitor change, and secure cooperation from key stakeholders in planning and implementing change
  - working collaboratively with individuals and groups inside and outside the system, striving for an atmosphere of trust and respect but never compromising in prioritizing the needs of students
  - demonstrating awareness of the public and political nature of the school district leader position, and deftly engaging the public in addressing controversial issues

### Standard 5: Culture of Achievement

School district leaders develop a district-wide culture of achievement aligned to the district's vision of success for every student, including:

- 5.1 empowering building leaders, teachers, and staff to set high and demanding academic and behavior expectations for every student, and ensuring that students are consistently learning
- 5.2 establishing rigorous academic goals and priorities that are accepted as fixed and immovable
- 5.3 orchestrating high-quality team collaboration to analyze interim assessment results and formulate action plans for immediate implementation
- 5.4 implementing systems to promote and enforce individual accountability for results
- 5.5 ensuring all students full and equitable access to educational programs, and available supports
- 5.6 ensuring the use of positive and equitable behavior management systems and the consistent implementation of rules and routines
- U** guiding building-level staff to build productive and respectful relationships with parents/guardians and engage them in their children's learning
- developing family and community partnerships that increase access to resources (e.g., classroom volunteers, funds, equipment), as long as they dearly align with and do not distract from the district's goals for student growth and achievement

### School leader-District level Educator standards

**Standard 6: Organizational, Operational, and Resource Management**

School district leaders leverage organizational, operational, and resource management skills to support district improvement and achieve desired educational outcomes, including:

- 6.1 using data to identify needs and priorities within the organization and to address organizational barriers to attaining student achievement goals
- 6.2 using technological tools and systems to facilitate communication and collaboration, manage information, and support effective management of the organization
- 6.3 Overseeing the use of practices for the safe, efficient, and effective operation of the district's physical plant, equipment, and auxiliary services (e.g., food services, student transportation)
- 6.4 planning, managing, and monitoring district budgets aligned to district improvement goals, and creatively seeking new resources to support district programs and/or reallocating resources from programs identified as ineffective or redundant
- 6.5 managing and supervising compliance with laws and regulations, such as those governing building management and reporting; human resource management; financial management; school safety and emergency preparedness; student safety and welfare; and the rights and responsibilities of students, families, and school staff

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Alignment of Educator Standards  
with State and National Standards

Indiana Educator Standards for School Leader-District Level	Indiana Department of Education Principal Effectiveness Rubric (Draft)	CCSSO-ISLLC Educational Leadership Policy standards	NPBEA Standards for Advanced Programs in Educational Leadership	ISTE National Educational Technology Standards
<p><u>Standard 2: Human Capital Management</u> School district leaders use their role as human capital manager to drive improvements in building leader effectiveness and student-achievement.</p>	<p>2.1.1 2.1.2 2.1.3 2.1.4 2.1.5 2.i.6</p>	<p>1.D 2.F 3,6, D S.D</p>	<p>2.3.a, b 2.4.a, b 3.1.b, c 3.3.a, b</p>	
<p><u>Standard 2: Instructional Leadership</u> School district leaders are acutely focused on effective teaching and learning, possess a deep and comprehensive understanding of best instructional practices, and continuously promote activities that contribute to the academic success of all students.</p>	<p>2.2.1 2.2.2 2.2.3</p>	<p>1.A, 6, C, D, E 2.A, B, D, E, -F, G, I 3.E s.E</p>	<p>1.3.a, b 1.4;b 2.2.a, b 2.3.a, b, c, d 2.4.a, b 3.La, c, d</p>	
<p><u>Standard 3: Personal Behavior</u> School district leaders model personal behavior that sets the tone for all student and adult relationships in the district.</p>	<p>3.1.1 3.1.2 3.1.3 3.1.4</p>	<p>5.6, D</p>	<p>1.S.a 2.4.c 3.1.c 4.1.a 5;1.a s.2.a 5.3.a</p>	

Alignment of Educator Standards  
with State and National Standards

Indiana Department of Education Standards for School Principals	Indiana Education Effectiveness Standards	Indiana Educational Standards	NPBEA standards for Programs in Educational Technology	ISTE National Educational standards
<b>Standard 4: Building Relationships</b> School district leaders build relationships to ensure that all key stakeholders effectively with each other to achieve transformative results.	3.2.2 3.2.3	12.A 4.C, 0 6.8	1.2.c 1.3.a 3.2.a, b 4.1.b, C, e, g, h	
<b>Standard 5: Culture of Achievement</b> School district leaders develop a districtwide culture of achievement aligned to the district's vision of success for every student.	3.3.1 3.3.2 3.3.3	1.B, C, D, E 12.A, B, 4.8, 0 S.A, C, E	1.3.a, b 1.S.a 2.1.a 2.2.b 3.Lb, d, e	
<b>Standard 6: Organizational, Operational, and Resource Management</b> School district leaders leverage organizational, operational, and resource management skills to support district improvement and address educational outcomes.		LB J A, B, C 4-A 15, 0	3.2.d 4.1.a, b, c, d, h 4.3.a 1.2.2.b, -d 3.1.a, b, c, d, e 3.2.b 3.3.a, b, d 4.3.c 5.1.a 5.3.a 6.1.a, c, f	hc, 4e

APPENDIX B

1.0 Human Capital Manager -The superintendent uses the role of human capital manager to drive improvements in building leader effectiveness and student achievement.					
1.1	The superintendent effectively recruits, hires, assigns, and retains school leaders.	The superintendent consistently considers an administrator's effectiveness as the primary factor when recruiting, hiring, assigning, or retaining the leader and monitors the effectiveness of the personnel process utilized throughout the school corporation.  The superintendent consistently considers school or corporation goals when making personnel decisions.	The superintendent consistently considers an administrator's effectiveness as the primary factor when recruiting, hiring, assigning, or retaining the leader.  The superintendent consistently considers school or corporation goals when making personnel decisions.	The superintendent occasionally considers an administrator's effectiveness as the primary factor when recruiting, hiring, assigning, or retaining the leader.  The superintendent occasionally considers school or corporation goals when making personnel decisions.	The superintendent rarely considers an administrator's effectiveness when recruiting, hiring, assigning, or retaining the leader.  The superintendent does not consider school or corporation goals when making personnel decisions.
1.2	The superintendent creates a professional development system for school leaders based on proficiencies and needs.	The superintendent has developed a system of job-embedded professional development that differentiates training and implementation based on individual administrator needs.  The superintendent uses data from performance evaluations to assess proficiencies and identify priority needs to support and retain effective administrators.	Some effort has been made to differentiate and embed professional development to meet the needs of individual administrators.	The superintendent is aware of the differentiated needs of administrators, but professional development is only embedded in meetings at this time, rather than incorporating the use of collaboration, study teams, etc.	Professional development is typically "one size fits all," and there is little or no evidence of recognition of individual administrator needs.
1.3	The superintendent identifies and mentors emerging leaders to assume key leadership responsibilities.	The superintendent has identified and mentored multiple administrators or instructional personnel who have assumed administrative positions and/or administrative responsibilities.	The superintendent has identified and mentored at least one emerging leader to assume leadership responsibility in an instructional leadership role or at an administrative level, with positive results.	The superintendent has provided some training to an emerging school leader or administrator, who has the potential to independently assume a leadership role.	There is no evidence of effort to develop any leadership skills in others.  Persons under the superintendent's direction are unable or unwilling to assume added responsibilities.

	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
<p>1.4 The superintendent provides evidence of delegation and trust in subordinate leaders.</p>	<p>Employees throughout the corporation are empowered in formal and informal ways.</p> <p>Instructional personnel participate in the facilitation of meetings and exercise leadership in committees and task forces; other employees, including noncertificated employees, exercise appropriate authority and assume leadership roles where appropriate.</p> <p>The climate of trust and delegation in the school corporation contributes directly to the identification and empowerment of the next generation of leadership.</p>	<p>There is a clear pattern of delegated decisions, with authority to match responsibility at every level in the school corporation.</p> <p>The relationship of authority and responsibility and delegation of authority is clear in personnel documents, such as evaluations, and also in the daily conduct of meetings and corporation business.</p>	<p>The superintendent sometimes delegates, but also maintains decision-making authority that could be delegated to others.</p>	<p>The superintendent does not afford subordinates the opportunity or support to develop or to exercise independent judgment.</p>
<p>1.5 The superintendent provides formal and informal feedback to the administrative team with the "exclusive purpose of improving individual and organizational performance.</p>	<p>The superintendent uses a variety of creative ways to provide positive and constructive feedback to the administrative team.</p> <p>The entire corporation reflects the superintendent's focus on accurate, timely, and specific recognition.</p> <p>The superintendent balances individual recognition with team and corporation-wide recognition.</p> <p>Corrective and positive feedback is linked to corporation goals and both the superintendent and administrative team can cite examples of where feedback is used to improve individual and corporation performance.</p>	<p>The superintendent provides formal feedback to the administrative team that is consistent with the corporation's personnel policies, and provides informal feedback to reinforce effective/highly effective performance and highlight the strengths of the administrative team.</p>	<p>The superintendent adheres to the corporation's personnel policies in providing formal feedback to the administrative team, although the feedback is <i>just</i> beginning to provide details that improve corporation performance.</p>	<p>Formal feedback to the administrative team is nonspecific.</p> <p>Informal feedback to the administrative team is rare, nonspecific, and not constructive.</p>

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
<p><b>2.0 Instructional Leadership -The superintendent acutely focuses on effective teaching and learning, possesses a deep and comprehensive understanding of best instructional practices, and continuously promotes activities that contribute to the academic success of all students.</b></p>				
<p>2.1 The superintendent demonstrates the use of student achievement data to make instructional leadership decisions.</p>	<p>The superintendent can specifically document examples of decisions in teaching, assignment, curriculum, assessment, and intervention that have been made on the basis of data analysis.</p> <p>The superintendent has coached school administrators to improve their data analysis skills.</p>	<p>The superintendent uses multiple data sources, including state, corporation, school, and classroom assessments, and has at least three years of data.</p> <p>The superintendent systematically examines data at the subscale level to find strengths and challenges.</p> <p>The superintendent empowers teaching and administrative staff to determine priorities from data.</p> <p>Dam insights are regularly the subject of faculty meetings and professional development sessions.</p>	<p>The superintendent is aware of state, corporation, and school results and has discussed those results with staff, but has not linked specific decisions to the data.</p>	<p>The superintendent is unaware of or indifferent to the data.</p>
<p>2.2 The superintendent demonstrates evidence of student improvement through student achievement results.</p>	<p>A consistent record of improved student achievement exists on multiple indicators of student success.</p> <p>Student success occurs not only on the overall averages, but in each group of historically disadvantaged students.</p> <p>Explicit use of previous data indicates that the superintendent has focused on improving performance. In areas of previous success, the superintendent aggressively identifies new challenges, moving proficient performance to the competency level</p> <p>Where new challenges emerge, the superintendent highlights the need, creates effective interventions, and reports improved results.</p>	<p>The superintendent reaches the targeted performance goals for student achievement.</p> <p>The average of the student population improves, as does the achievement of each group of students that has previously been identified as needing improvement.</p>	<p>Some evidence of improvement exists, but there is insufficient evidence of changes in leadership, teaching, and curriculum that will create the improvements necessary to achieve student performance goals.</p>	<p>Indifferent to the data, the superintendent blames students, families, and external characteristics.</p> <p>The superintendent does not believe that student achievement can improve.</p> <p>The superintendent has not taken decisive action to change time, teacher assignment, curriculum, leadership practices, or other variables in order to improve student achievement.</p>

	Indicator /	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
Z.3	The superintendent actively solicits and uses feedback and help from all key stakeholders in order to drive student achievement.	The superintendent has a very open and support seeking attitude towards all stakeholders in the school corporation in regards to matters related to the improvement in student achievement.  The superintendent regularly surveys staff and other school community groups in this area regarding their views.	The superintendent frequently seeks input from various stakeholders in matters related to the improvement in student achievement.	The superintendent regularly seeks and solicits feedback in matters related to the improvement in student achievement.	The superintendent is perceived by stakeholders as being top-down oriented in all decisions related to the improvement in student achievement.

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	
<p><b>3.0 Personal Behavior- The superintendent models personal behaviors that set the tone for all student and adult relationships in the school corporation.</b></p>					
<p>3.1</p>	<p>The superintendent models professional, ethical, and respectful behavior at all times and expects the same behavior from others.</p>	<p>The superintendent is an exemplary model of appropriate professional behavior to all and encourages a positive and professional response from all members of the school community.</p>	<p>On a regular basis the superintendent has displayed appropriate and professional responses to members of the school community.</p>	<p>Occasionally the superintendent has not responded to school community members with acceptable levels of professionalism.</p>	<p>The superintendent does not display and use common courtesy regularly and respectful professional responses when dealing with members of the school community.</p>
<p>3.2</p>	<p>The superintendent organizes time and projects for effective leadership.</p>	<p>Personal organization allows the superintendent to consider innovations and be available to engage in leadership activities and collaborate with people at all levels.</p> <p>The superintendent applies project management to systems thinking throughout the organization.</p>	<p>The use of organizational development tools is evident by supporting documentation provided by the superintendent.</p> <p>Project/ task accomplishments are publicly celebrated and project challenges are open for input from a wide variety of sources.</p>	<p>Projects are managed using lists of milestones and deadlines, but are infrequently updated.</p> <p>The impact of changes is rarely documented.</p>	<p>Project management is haphazard or absent</p> <p>There is little or no evidence of lists of milestones and deadlines.</p>

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
<b>4.0 Building Relationships -The superintendent builds relationships to ensure that all key stakeholders work effectively with each other to achieve transformative results.</b>				
4.1	<p>The superintendent demonstrates effective communication with parents and community.</p> <p>There is clear evidence of parent-centered and community-centered communication, including open forums, focus groups, surveys, personal visits, and effective use of technology.</p> <p>Survey data suggests that parents and community members feel empowered and supportive of educational objectives.</p> <p>The superintendent uses relationships and school/ community partnerships to affect community-wide change that improves both the community and work of the school corporation.</p> <p>The superintendent manages an ever broadening portfolio of partnerships and collaborations that support and help to advance the strategic plan of the school corporation.</p>	<p>The superintendent assumes leadership roles in important local organizations (e.g., serving on boards of directors, chairing important committees or task forces, leading new community initiatives).</p> <p>The superintendent actively and effectively develops community trust in the school corporation through individual parent contact, speaking engagements, town hall meetings, public forums, media outlets, events, and other approaches.</p> <p>The superintendent seeks out and creates new opportunities for meaningful partnerships or collaborative endeavors.</p>	<p>The superintendent occasionally participates in local organizations but does not assume a leadership role in furthering communications.</p> <p>Initiative for communication more regularly comes from outside entities and not from the superintendent.</p>	<p>The superintendent does not identify groups and potential partners within the community.</p> <p>The superintendent fails to ensure that all parental and community involvement activities honor the cultures and traditions of the local community.</p> <p>The superintendent fails to interact with parents and community groups that have a critical role in developing support for the school corporation.</p>
4.2	<p>The superintendent forges consensus for change and improvement throughout the school corporation.</p> <p>The superintendent uses effective strategies to achieve a consensus for change and improvement.</p> <p>Guides others through change and addresses resistance to that change.</p> <p>Systemically monitors, implements and sustains the success of strategies for change.</p>	<p>The superintendent uses effective strategies to work toward a consensus for change and improvement.</p> <p>Directs change and improvement processes by identifying and securing the systems and allies necessary to support the process.</p> <p>Secures cooperation from key stakeholders in planning and implementing change and driving improvement.</p>	<p>The superintendent occasionally identifies areas where consensus is necessary.</p> <p>Has identified areas in which consensus is needed but has yet to implement a process for change and/or improvement.</p> <p>Asks for feedback from stakeholders but is not yet successful in securing cooperation.</p>	<p>The superintendent fails to forge consensus for change.</p> <p>Fails to identify areas in which consent and/or consensus is necessary.</p> <p>Rarely or never directs or develops a process for change and/or improvement.</p> <p>Rarely or never seeks feedback or secures cooperation and makes unilateral decisions.</p>

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
4.3 The superintendent understands the role of the superintendent in engaging the public in controversial issues.	<p>The superintendent consistently employs a variety of strategies to resolve conflicts and forge consensus within the school corporation community in a constructive and respectful manner.</p> <p>The superintendent consistently encourages open dialogue, considers diverse points of view, and empowers; and supports administrators in utilizing these conflict resolution strategies.</p>	<p>The superintendent employs a non-confrontational approach to resolve conflicts and forge consensus within the school corporation community in a constructive and respectful manner.</p> <p>The superintendent frequently encourages open dialogue, considers diverse points of view, and often empowers and supports administrators in utilizing these conflict resolution strategies.</p>	The superintendent employs a limited number of strategies to resolve conflicts and forge consensus within the school corporation community with varying degrees of success.	The superintendent does not respond to conflict in a solution-oriented and/or respectful manner and attempts at consensus building around critical decisions are unsuccessful.
4.4 The superintendent keeps the school board informed on issues, needs, and the overall operations of the school corporation.	The superintendent communicates with all school members routinely, using a variety of mechanisms, such as weekly notes, up-dates, and telephone calls.	The superintendent communicates with all school board members periodically.	The superintendent communicates with selected school board members when needed.	The superintendent has little communication with the school board outside of meetings.
4.5 The superintendent encourages open communication and dialogue with school board members.	<p>The superintendent has created an environment where input feedback and from all school board members is both sought and encouraged.</p> <p>The superintendent engages in open discussion with the school board on a consistent basis.</p>	The superintendent seeks input and feedback from all school board members on a frequent basis.	The superintendent seeks input and feedback from only a few school board members and usually to garner support for decisions made by the superintendent	The superintendent rarely seeks input from the school board and tends to make unilateral decisions.
4.6 The superintendent provides the school board with a written agenda and background material before each board meeting.	The superintendent creates an agenda that prioritizes items related to student achievement and provides complete and thorough background material so that the board can make an informed decision.	The superintendent routinely focuses on student achievement issues and provides enough background material to allow the board to make an informed decision.	The superintendent occasionally includes items related to student achievement and provides limited background material.	The superintendent creates an agenda that focuses only on operational matters and provides insufficient background material.

Indicator	Highly Effective (4)	Effective (3)	Improveillent Necessary (2)	Ineffective (1)
5.0 Culture of Achievement- The superintendent develops a corporation-wide culture of achievement aliened to the school corporation's vision of success for every student.				
5.1 The superintendent empowers building leaders to set high and demanding academic and behavior expectations for every student and ensures that students are consistently learning.	<p>The superintendent leads and involves the administrative team in a comprehensive annual analysis of school and corporation performance.</p> <p>Multiple data sources are utilized to analyze corporation and schools' strengths and weaknesses and a collaborative process is used to develop focused and results-orientf:d goals.</p> <p>Clear expectations are established and administrators and educators arc provided differentiated resources and support to disaggrcgate data and to assist in identifying and meeting each student's academic, social, emotional, and behavioral needs.</p>	<p>The superintendent guides the administrative team in an annual analysis of school and corporation performance.</p> <p>Data sources are utilized to analyze the corporation and schools' strengths and Weaknesses and a collaborative process is used to develop measurable goals.</p> <p>Oear expectations are established and administrators and educators are provided differentiated resources and support to disaggregote data and to assist in identifying and meeting each student's academic, social, emotional, and behavioral needs.</p>	<p>The superintendent reques that the administrative team utilize data sources to analyze corporonntion and school strengths and weaknesses.</p> <p>Goals are established that may not be focused or measurable.</p> <p>General expectations are established and limited resources and occ.:tsional supports are provided to support the disaggregation of data and to assist in identifying and meeting each student's academic, social, emotional, and behavioral needs.</p>	<p>The superintendent does not work with the administrative team to gather and utilize data sources to analyze corporation and school strengths and weaknesses.</p> <p>Limited data is available and a lack of goal-setting is evident tlthoughout the corporation.</p> <p>The superintendent does not establish clear expectations or provide the necessary support for the disaggregation of data and to assist in identifying and meeting each student's academic, social, emotional, and behavioral needs.</p>
5.2 The superintendent establishes rigorous academic goals and priorities that are systematically monitored for continuous improvement.	<p>The superint dent regularly reports on the progress of rigorous academic goals and corporation academic priorities that have been established by the superintendent and approved by the school board.</p> <p>The monitoring of goals and regular revising and updating of such plans is an ongoing process conducted by the superintendent and the board.</p>	<p>The superintendent has presented goals for board approval that clearly articulate the academic rigor and academic priorities of the corporations program.</p> <p>Approved goals are shared and available for the entire community.</p>	<p>The superintendent has occasionally made some reference to academic goals and school improvement priorities, but there are no established written goals or formats for academic rigor or improvement approved by the board.</p>	<p>The employees of the school corporation and the school community are unaware of the school co.tporation academic goals and priorities and there is no apparent and definitive academic direction established by the superintendent.</p>

	Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
5.3	The superintendent ensures that all students have full and equitable access to educational programs, curricula, and available supports.	The superintendent establishes clear expectations and provides resources that enable administrators and teachers to identify each student's academic, social, emotional, and behavioral needs.	The superintendent establishes clear expectations and provides resources that enable administrators and teachers to identify a majority of students' academic, social, emotional, and behavioral needs.	The superintendent establishes general expectations and resources are limited to students who are struggling academically or behaviorally.	The superintendent does not set expectations and resources are not allocated on the basis of any identified needs of students.
5.4	The superintendent guides building-level staff to build productive and respectful relationships with parents/ guardians and engage them in their children's learning.	The superintendent sets clear expectations and provides resources to support administrators to consistently and regularly engage all families in supporting their children's learning at school and home.	The Superintendent sets clear expectations and provides support for administrators to regularly engage families in supporting their children's learning at school and home.	The superintendent sets general expectations and provides occasional support for administrators to engage families in supporting their children's learning at school and home.	The superintendent does not set expectations or provide support for administrators to regularly communicate with families on ways to support their children's learning at school and home.

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
<b>6.0 Organizational, Operational, and Resource Management -The superintendent leverages organizational, operational, and resource management skills to support school corporation improvement and achieve desired educational outcomes.</b>				
6.1 The superintendent employs factual basis for decisions, including specific reference to internal and external data on student achievement and objective data on curriculum, teaching practices, and leadership practices.	<p>Decision making is neither by consensus nor by leadership mandate, but is consistently based on the data.</p> <p>Data is reflected in all decisions, ranging from course and classroom assignments to the discontinuance of programs.</p> <p>The superintendent can cite specific examples of practices that have been changed, discontinued, and/or initiated based on data analysis.</p> <p>A variety of data sources, including qualitative and quantitative, are used.</p> <p>Data sources include state, corporation, school and classroom assessments.</p> <p>Inferences from data are shared widely outside the school community to identify and replicate the most effective practices.</p>	The pattern of decision-making reflects a clear reliance on state and corporation student achievement data as well as on curriculum, instruction, and leadership practices data.	Some decisions are based on data, but others are the result of personal preference and tradition.	<p>Data is rarely used for decisions.</p> <p>The predominant decision making methodology is mandated from the superintendent or based on what is popular.</p>
6.2 The superintendent demonstrates personal proficiency in technology implementation and utilization.	<p>The superintendent creates new opportunities for technological learning and empowers the administrative team to use new technology initiatives.</p> <p>The superintendent serves as a model for technology implementation.</p>	<p>The superintendent personally uses email, word processing, spreadsheets, presentation software, and other software such as student data management systems.</p> <p>The superintendent utilizes technology within his/her daily responsibilities.</p>	<p>The superintendent has mastered some, but not all, software required for proficient performance.</p> <p>The superintendent takes the initiative to learn new technology but rarely becomes proficient in its use.</p>	<p>The superintendent has limited literacy with technology.</p> <p>There is little or no evidence of the superintendent taking a personal initiative to learn new technology.</p>

Indicator	Highly Effective (4)	Effective (3)	ImProvi!n:iCnt Necess:ItY (_2)	Ineffective (1)
<p>6.3 The superintendent oversees the use of practices for the safe, efficient, and effective operation of the school corporation's physical plan equipment, and auxiliary services (e.g., food services, student transportation).</p>	<p>The superintendent ensures there are procedures in place to address the safety of students and staff in the event of a disaster.</p> <p>Staff members have a working knowledge of procedures.</p> <p>The superintendent ensures staff is properly trained and competent to carry out their duties with respect to the corporation's physical plant, equipment, and auxiliary services.</p> <p>Monitoring steps are in place to measure operation efficiencies.</p>	<p>The superintendent ensures there are procedures in place to address the safety of students and staff in the event of a disaster.</p> <p>Periodic review of these procedures is in place.</p> <p>The superintendent provides opportunities for staff training in order to carry out their duties with respect to the corporation's physical plant, equipment, and auxiliary services.</p>	<p>The superintendent has procedures in place to address the safety of students and staff in the event of a disaster.</p> <p>The superintendent attempts to provide a safe and efficient operation of the corporation's physical plant, equipment, and auxiliary services.</p>	<p>The superintendent has limited or no procedures in place to address the safety of students and staff in the event of a disaster.</p> <p>The superintendent pays little or no attention to the oversight of the safe and efficient operation of the corporation.</p>
<p>6.4 The superintendent provides responsible fiscal stewardship.</p>	<p>The superintendent regularly saves fiscal resources for the corporation and reallocates those resources to help the corporation achieve its strategic priorities.</p> <p>Results indicate the positive impact of reallocated resources in achieving strategic priorities.</p> <p>The superintendent has established processes to increase fiscal resources, e.g., grants, donations, and community resources.</p>	<p>The superintendent leverages knowledge of the budgeting process, categories, and funding sources to maximize all available dollars to achieve strategic priorities.</p>	<p>The superintendent lacks proficiency in using budget to focus resources on strategic priorities.</p>	<p>The superintendent has little proficiency in sound budgetary practices.</p>
<p>6.5 The superintendent demonstrates compliance with legal requirements.</p>	<p>The superintendent demonstrates an understanding of the legal standards and board policy requirements of the corporation, and consistently adheres to those standards and requirements.</p>	<p>The superintendent demonstrates an awareness of the legal standards and board policy requirements of the school corporation and adheres to those standards and requirements.</p>	<p>The superintendent is not respectful of legal standards and/or board policy requirements.</p>	<p>The superintendent is unaware of the legal standards and board policy requirements.</p>

## APPENDIXC

### IC 20-28-11.5-4

#### **School corporation plan; plan components**

Sec. 4. (a) Each school corporation shall develop a plan for annual performance evaluations for each certificated employee (as defined in IC 20-29-2-4). A school corporation shall implement the plan beginning with the 2012-2013 school year.

(b) Instead of developing its own staff performance evaluation plan under subsection (a), a school corporation may adopt a staff performance evaluation plan that meets the requirements set forth in this chapter or any of the following models:

(1) A plan using master teachers or contracting with an outside vendor to provide master teachers.

(2) The System for Teacher and Student Advancement (TAP).

(3) The Peer Assistance and Review Teacher Evaluation System (PAR).

(c) A plan must include the following components:

(1) Performance evaluations for all certificated employees, conducted at least annually.

(2) Objective measures of student achievement and growth to significantly inform the evaluation. The objective measures must include:

(A) student assessment results from statewide assessments for certificated employees whose responsibilities include instruction in subjects measured in statewide assessments;

(B) methods for assessing student growth for certificated employees who do not teach in areas measured by statewide assessments; and

(C) student assessment results from locally developed assessments and other test measures for certificated employees whose responsibilities may or may not include instruction in subjects and areas measured by statewide assessments.

(3) Rigorous measures of effectiveness, including observations and other performance indicators.

(4) An annual designation of each certificated employee in one (1) of the following rating categories:

(A) Highly effective.

(B) Effective.

(C) Improvement necessary.

(D) Ineffective.

(5) An explanation of the evaluator's recommendations for improvement, and the time in which improvement is expected.

(6) A provision that a teacher who negatively affects student achievement and growth cannot receive a rating of highly effective or effective.

(d) The evaluator shall discuss the evaluation with the certificated employee.

*As added by P.L.90-2011, SEC.39.*

APPENDIXD

1.0

Use their role as human capital manager to drive improvement.					
	(4)	(3)	Improvement Necessary (2)	Ineffective (1)	
L					
L2					
Score					

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
2.1	L	D	L	L	
2.2	D	D	D	D	
2.3	L	D	L	D	
Score					

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
3.1	D	D	D	D	
3.2	D	D	D	D	
Score					

**Relationships – School district superintendents build relationships to ensure that all key stakeholders work with each other to achieve transformative results.**

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
4.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Score					

**of Achievement-School district superintendents develop a district wide culture of achievement aligned to the vision of success for every student.**

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
5.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Score					

**Operational, and Resource Management-School district superintendents leverage organizational, and resource management skills to support district improvement and achieve desired educational outcomes.**

Indicator	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
6.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Total					

**Goals/Objectives**

Objective	Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)	Category Score
1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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