# Indiana Superintendent Evaluation Process

**A JOINT PROJECT BY**

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

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# Table of Contents

# Forward

The 2020 revision of the Superintendent Evaluation Manual 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 describes a complete process for the superintendent evaluation and has been jointly developed by representatives from ISBA and IAPSS. Additional assistance for completion or training in the evaluation process may be obtained from ISBA. 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.

This revision specifically addresses the changes in the components of an evaluation plan in response to P.L. 150-2020, as outlined in the Memorandum from the Indiana Department of Education (see Appendix C-1).

The 2020 Revision Committee Members:

| | |
|---|---|
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# Purpose and Value of Evaluation

The superintendent evaluation is one of the fundamental responsibilities of the school board. However, with the enactment 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:

1. 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. 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 is *formative* 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 are 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
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 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

ISBA and IAPSS recommend the Indiana Superintendent Evaluation Process to all school boards and superintendents to consider using for superintendent evaluations. This evaluation has been the recommendation of both associations beginning with school year 2012-13. The Indiana Superintendent Evaluation Process has two primary components:

1. The Evaluation Rubric
2. Superintendent Goals and/or Objectives (Minimum of two per year)

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 Process 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 two evaluation categories: the rubric and superintendent goals and/or performance objectives (see Figure 6). Obviously, if the entire process represents 100%, then each of these categories individually represents a value less than the total. Both percentages must have a combined total of 100%.

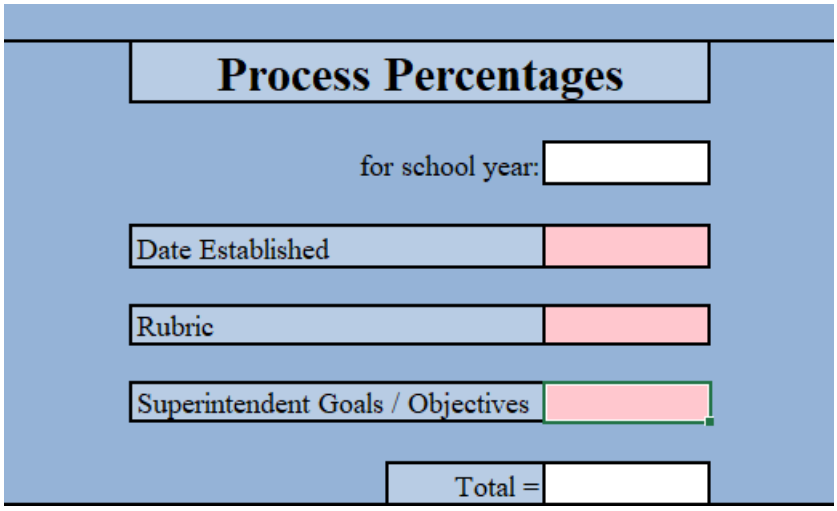


Figure 6 – Process Percentages

The advice of ISBA and IAPSS is that the greater weight of evaluation should always be placed with the rubric. Superintendent goals and performance objectives should not be weighed more than the rubric assessment. Additionally, it is also recommended that no category receive an inconsequential weight. The evaluation is about superintendent performance and school board member's responsibility to evaluate that performance. As

such, 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 important to some boards to place a greater weight on their superintendent to fulfill personal goals and/or performance objectives in particular years , especially if the superintendent's traditional rubric performance is high.

Consequently, it is imperative that every school board and superintendent spend some time discussing the merits 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).

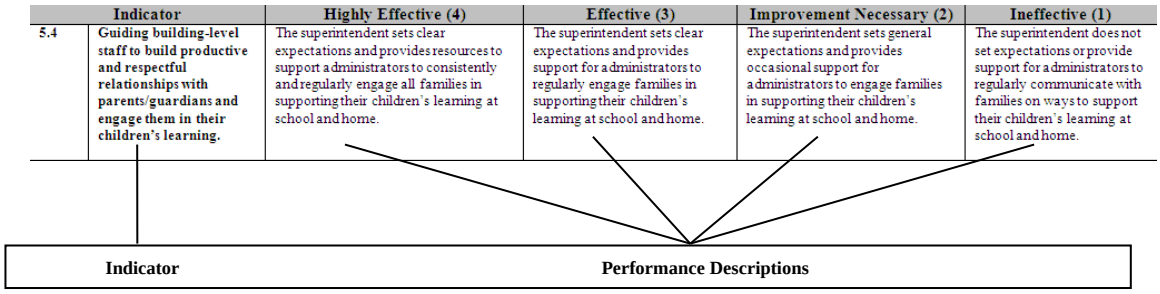


Figure 1 – Rubric indicators and performance descriptions

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.

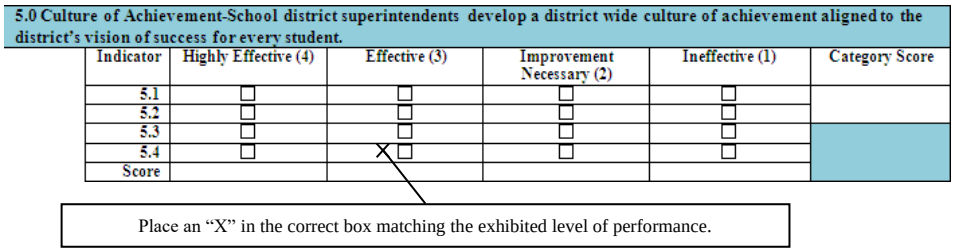


Figure 2 – Rubric score sheet

# Superintendent Goals / Performance Objectives

Formalized evaluations afford boards an opportunity to provide guidance to their superintendents regarding desired changes within areas 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 the 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 three goals and/or objectives per evaluation cycle, but 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.

| Superintendents Goals/Objectives | | | | | |
|---|---|---|---|---|---|
| Goal / Objective | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) | Category Score |
| 1 | ☐ | ☐ | ☐ | ☐ | |
| 2 | ☐ | ☐ | ☐ | ☐ | |
| 3 | ☐ | ☐ | ☐ | ☐ | |
| 4 | ☐ | ☐ | ☐ | ☐ | |
| 5 | ☐ | ☐ | ☐ | ☐ | |
| 6 | ☐ | ☐ | ☐ | ☐ | |

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 / Performance Objectives**

**School Corporation:**

***Number of Goals / Objectives:**

| | |
|---|---|
| Exceeds all goals | HE=4 |
| Meets all goals, may exceed in some | E=3 |
| Meets half of goals | I=2 |
| Meets less than half of goals | IN=1 |

**Board Members**

| Goal | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | Goals/Objectives Score |
|---|---|---|---|---|---|---|---|---|---|---|
| 1 | | | | | | | | | | |
| 2 | | | | | | | | | | |
| 3 | | | | | | | | | | |
| 4 | | | | | | | | | | |
| 5 | | | | | | | | | | |
| 6 | | | | | | | | | | |

**Goals/Objectives Score =**

***recommended number of goals/objectives is three, but no more than six**

Figure 4 – Supt. Goals & Performance Objectives

# 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 may be foreign to some administrators, but especially to 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, superintendent goals and/or performance 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. A minimum of three goals and/or performance 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 the performance sections, the rubric and goals and/or objectives.

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. It is important that tangible evidence be supplied. Verbal reporting is great for ongoing communication; however, it is not a defendable measurement of performance. Tangible evidence is always preferable and should be offered 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.

Another method is for the superintendent to report at regular intervals throughout the year, offering tangible evidence that can be added to an annual portfolio review.

There is nothing that precludes a school board or a superintendent from engaging in a mid-year evaluation. 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. However, mid-year evaluations of the rubric criteria is not practical except to answer questions, or to mutually determine the value of evidence for a particular indicator.

Most importantly, once the evaluation criteria have 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 expectations regarding how the evidence of performance is to be presented to the board for its review at the beginning of the evaluation period. To facilitate this process, the board and superintendent should work collaboratively to develop the review criteria to ensure 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 goal of this evaluation is to yield an objective, formative evaluation. To that end, the rubric instrument helps to ensure that the superintendent is being evaluated against the objective criteria that is supported by documentation representing the evidence of his or her performance. In today's current educational climate and with ever 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. There is little room, if any, for subjective interpretation of objective data.

## The Evaluation Schedule

The frequency of evaluation has been defined by statute to occur 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. This timeframe also allows the school corporation to provide evaluation information to the IDOE as required by IC 20-28-11.5-9. 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 process percentages for the evaluation instrument and the superintendent's goals and/or performance 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 *Superintendent Evaluation Process Excel Workbook* "Percentages" worksheet.
- 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 *Superintendent Evaluation Process Excel Workbook* .
  - The board president collects the individual members' rubric score sheets and inputs their results into the "Rubric Indicator Summary" and "Supt. Goals and Objectives" worksheets in the *Superintendent Evaluation Process Excel Workbook* .
- Step 4
  - The board president prints the "Evaluation Summary" worksheet of the *Superintendent Evaluation Process Excel Workbook* .
  - All board members sign the completed assessment
- Step 5
  - The superintendent is presented with the evaluation summary a minimum of one week prior to the evaluation meeting with the school board.
- Step 6
  - The board and superintendent meet in executive session 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 will have been the topic of a thorough discussion between the superintendent and the school board at the beginning of the evaluation cycle, that superintendent goals and/or performance 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 the purpose of the evaluation is two-fold:

1. To provide the superintendent with a formative, objective evaluation of his or her performance.
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, a superintendent who is unaccustomed to evaluations that incorporate rubric performance categories will need to acquire a more deliberate process for providing performance evidence. Ultimately, the process should become second-nature; it will become a defendable standard for responding to increasing demands for accountability in today's educational environment.

**APPENDIX A**

# Indiana Department of Education

# 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 clarity for district leaders about the actions they are expected to take in order to drive student achievement and building leader effectiveness outcomes.

December 2010

# Table of Contents

**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.**

## 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**

**1.3** **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** **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**

## 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**

**2.3** **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**

## 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

**4.2** skillfully and clearly 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)

**4.3** using effective strategies to forge consensus for change, manage and monitor change, and secure cooperation from key stakeholders in planning and implementing change

**4.4** 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

**4.5** 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 districtwide 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, curricula, and available supports

**5.6** ensuring the use of positive and equitable behavior management systems and the consistent implementation of rules and routines

**5.7** guiding building-level staff to build productive and respectful relationships with parents/guardians and engage them in their children's learning

**5.8** developing family and community partnerships that increase access to resources (e.g., classroom volunteers, funds, equipment), as long as they clearly align with and do not distract from the district's goals for student growth and achievement

## 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**

# Selected Bibliography of Standards and Sources Related to School Leader–District Level

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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 |
|---|---|---|---|---|
| **Standard 1: Human Capital Management**<br>**School district leaders use their role as human capital manager to drive improvements in building leader effectiveness and student achievement.** | 2.1.1<br>2.1.2<br>2.1.3<br>2.1.4<br>2.1.5<br>2.1.6 | 1.D<br>2.F<br>3.B, D<br>5.D | 2.3.a, b<br>2.4.a, b<br>3.1.b, c<br>3.3.a, b | |
| **Standard 2: Instructional Leadership**<br>**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.** | 2.2.1<br>2.2.2<br>2.2.3 | 1.A, B, C, D, E<br>2.A, B, D, E, F, G, I<br>3.E<br>5.E | 1.3.a, b<br>1.4.b<br>2.2.a, b<br>2.3.a, b, c, d<br>2.4.a, b<br>3.1.a, c, d | |
| **Standard 3: Personal Behavior**<br>**School district leaders model personal behavior that sets the tone for all student and adult relationships in the district.** | 3.1.1<br>3.1.2<br>3.1.3<br>3.1.4 | 5.B, D | 1.5.a<br>2.4.c<br>3.1.c<br>4.1.a<br>5.1.a<br>5.2.a<br>5.3.a | |

| 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 |
|---|---|---|---|---|
| **Standard 4: Building Relationships**<br>**School district leaders build relationships to ensure that all key stakeholders work effectively with each other to achieve transformative results.** | 3.2.1<br>3.2.2<br>3.2.3 | 1.A<br>2.A<br>4.C, D<br>6.B | 1.2.c<br>1.3.a<br>1.5.a<br>3.2.a, b<br>4.1.b, c, e, g, h<br>4.2.b<br>6.2.c | |
| **Standard 5: Culture of Achievement**<br>**School district leaders develop a districtwide culture of achievement aligned to the district's vision of success for every student.** | 3.3.1<br>3.3.2<br>3.3.3 | 1.B, C, D, E<br>2.A, B, E, I<br>4.B, C, D<br>5.A, C, E | 1.3.a, b<br>1.5.a<br>2.1.a<br>2.2.b<br>3.1.b, d, e<br>3.2.d<br>4.1.a, b, c, d, h<br>4.3.a<br>6.3.b | |
| **Standard 6: Organizational, Operational, and Resource Management**<br>**School district leaders leverage organizational, operational, and resource management skills to support district improvement and achieve desired educational outcomes.** | | 1.B<br>3.A, B, C<br>4.A<br>5.D | 1.4.b<br>2.2.b, d<br>3.1.a, b, c, d, e<br>3.2.b<br>3.3.a, b, d<br>4.3.c<br>5.1.a<br>5.3.a<br>6.1.a, c, f | 3c, 4e |

# APPENDIX B

| Indicator | | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) |
|---|---|---|---|---|---|
| **1.0 Human Resource Manager – The superintendent uses the role of human resource 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, promoting or retaining the leader and monitors the effectiveness of the personnel process utilized throughout the school corporation.<br><br>The superintendent consistently considers school or corporation goals when making personnel decisions. | The superintendent routinely considers an administrator's effectiveness as the primary factor when recruiting, hiring, assigning, promoting, or retaining the leader.<br><br>The superintendent routinely 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, promoting, or retaining the leader.<br><br>The superintendent occasionally considers school or corporation goals when making personnel decisions. | The superintendent rarely considers an administrator's effectiveness when recruiting, hiring, assigning, promoting or retaining the leader.<br><br>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 strengths and needs.** | The superintendent has in place a system of professional development that is based on individual administrator needs.<br><br>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 provide professional development to meet the needs of individual administrators. | The superintendent is aware of the individual needs of administrators, but professional development is only provided 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 providing for 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.<br><br>Administrators throughout the corporation refer to the superintendent as a mentor. | The superintendent has identified and mentored at least one emerging leader to assume leadership responsibility in an instructional leadership role. | The superintendent has provided some training to an emerging school leader. | There is no evidence of effort to develop any leadership skills in others. |

| Indicator | | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) |
|---|---|---|---|---|---|
| **1.4** | **The superintendent provides evidence of delegation and trust in subordinate leaders.** | Employees throughout the corporation are empowered to do their jobs.<br><br>Instructional personnel participate in the facilitation of meetings and exercise leadership in committees and task forces; other employees, including noncertified, exercise appropriate authority and assume leadership roles where appropriate.<br><br>The climate of trust and delegation in the school corporation contributes directly to the identification and empowerment of the next generation of leadership. | There is a clear pattern of delegated decisions, with authority to match responsibility at most every level in the school corporation.<br><br>Instructional personnel participate in the facilitation of meetings and exercise leadership in committees and task forces. Other employees are not utilized in leadership roles within the organization.<br><br>. | The superintendent sometimes delegates, but also maintains decision-making authority that could be delegated to others. | The superintendent does not delegate or afford subordinates the opportunity to exercise independent judgment. |
| **1.5** | **The superintendent provides formal and informal feedback to the administrative team with the exclusive purpose of improving individual and organizational performance.** | The superintendent uses a variety of creative ways to provide positive and corrective feedback to the administrative team on a consistent basis.<br><br>The entire corporation reflects the superintendent's focus on accurate, timely, and specific recognition.<br><br>The superintendent balances individual recognition with team and corporation-wide recognition.<br><br>Informal and formal positive feedback is linked to corporation goals. | The superintendent provides regular formal feedback to the administrative team and provides informal feedback to reinforce effective and highly effective performance. | The superintendent provides the minimum required formal feedback to the administrative team.<br><br>Informal feedback is occasionally provided. | The superintendent provides no informal or formal feedback to the administrative team. |

| Indicator | | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) |
|---|---|---|---|---|---|
| **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.** | | | | | |
| **2.1** | **The superintendent demonstrates the use of student achievement data to make instructional leadership decisions.** | The superintendent can specifically document examples of decisions throughout the corporation that have been made on the basis of data analysis.<br><br>The superintendent has coached school administrators to improve their data analysis skills. | The superintendent uses multiple data sources, including state, corporation, school, and classroom assessments in data analysis.<br><br>The superintendent systematically examines data to find strengths and weaknesses.<br><br>The superintendent empowers teaching and administrative staff to determine priorities from data.<br><br>Data analysis is regularly the subject of faculty meetings and professional development sessions. | The superintendent is aware of state, corporation, and school results but few decisions have been linked to the data. | The superintendent does not utilize data to make decisions. |
| **2.2** | **The superintendent demonstrates evidence of student improvement through student achievement results.** | A consistent record of improved student achievement exists on multiple indicators of student success.<br><br>Student success occurs not only on the overall averages, but in each sub group.<br><br>Data analysis from prior years indicates that the superintendent has focused on improving performance. The superintendent aggressively establishes continuous growth standards moving performance to the exemplary level. | The superintendent reaches the targeted performance goals for student achievement.<br><br>The average of the student population improves, as does the achievement of each sub group of students. | Some evidence of improvement exists, but in general, there is lack of meeting student achievement goals. | The superintendent takes no responsibility for the data outcomes.<br><br>The superintendent does not believe that student achievement can improve.<br><br>The superintendent has not taken decisive action to improve student achievement. |

| Indicator | | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) |
|---|---|---|---|---|---|
| **2.3** | **The superintendent actively solicits and uses feedback and help from all key stakeholders in order to drive student achievement.** | The superintendent regularly surveys and seeks support from all stakeholders in the school corporation in regard to improvement of student achievement. | The superintendent frequently seeks input from various stakeholders in matters related to the improvement in student achievement. | The superintendent rarely seeks input from various stakeholders in matters related to the improvement in student achievement. | The superintendent seeks no input from various stakeholders and makes all decisions related to the improvement in student achievement in isolation. |

| Indicator | | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) |
|---|---|---|---|---|---|
| **3.0 Personal Behavior – The superintendent models personal behaviors that set the tone for effective organizational leadership.** | | | | | |
| **3.1** | **The superintendent models professional, ethical, and respectful behavior at all times and expects the same behavior from others.** | The superintendent is an exemplary model of appropriate professional behavior and expects like treatment. | On a regular basis the superintendent displays appropriate professional behavior. | Occasionally the superintendent has not displayed appropriate professional behavior | The superintendent does not display appropriate professional behavior. |
| 3.2 | **The superintendent organizes time and prioritizes tasks for effective leadership.** | The organization skills of the superintendent support innovative and creative activities that involve all of the leadership stakeholders in the corporation.<br><br>The superintendent incorporates project management skills along with a systems-thinking, as well as detailed, follow-up procedures to ensure that effective corporation decisions are made. | The organization skills of the superintendent allows for some innovations, some time to engage in leadership activities and minimal collaboration with people at all levels.<br><br>Most tasks are managed and completed by the superintendent on a timely basis. | Tasks are managed using lists of milestones and deadlines, but periodically, not completed on time. | Tasks are managed in a haphazard fashion.<br><br>There is little or no evidence of established or achieved milestones or deadlines. |

| Indicator | | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) |
|---|---|---|---|---|---|
| **4.0 Building Relationships –The superintendent builds relationships to ensure that all key stakeholders work effectively with each other to achieve organizational results.** | | | | | |
| **4.1** | **The superintendent actively engages in communication with parents and community.** | There is clear evidence of communication with parents and the community.<br><br>Survey data is utilized to measure parents and community members viewpoints of educational objectives.<br><br>The superintendent uses relationships and school/community partnerships to affect community-wide change that improves both the community and work of the school corporation.<br><br>The superintendent manages an ever broadening portfolio of partnerships and collaborations that support the strategic plan of the school corporation. | There is some evidence of communication with parents and the community.<br><br>The superintendent seeks out and creates new opportunities for meaningful partnerships and has built some collaborative relationships.<br><br>The superintendent assumes leadership roles in community organizations. | School/community communications are not initiated by the superintendent.<br><br>The superintendent rarely seeks or creates meaningful partnerships or collaborative relationships.<br><br>The superintendent occasionally participates in community organizations but does not become actively involved. | The superintendent does not identify groups and potential partners within the community.<br><br>The superintendent fails to ensure that parent and community activities are conducted.<br><br>The superintendent fails to interact with parents and community groups that have a critical role in developing support for the school corporation. |
| **4.2** | **The superintendent forges consensus for change and improvement throughout the school corporation.** | The superintendent uses effective strategies to achieve a consensus for change and improvement.<br><br>The superintendent guides others through change and addresses resistance to that change.<br><br>The superintendent systemically monitors, implements and sustains the strategies for change. | The superintendent uses effective strategies to work toward a consensus for change and improvement.<br><br>The superintendent directs change and improvement processes securing the allies necessary to support the change effort. .<br><br>The superintendent monitors, implements and sustains the strategies for change. | The superintendent occasionally identifies areas where consensus is necessary.<br><br>Areas of change that are identified as needing consensus has yet to implement a process for change and improvement.<br><br>Strategies for change are not implemented and unsuccessful in securing cooperation. | The superintendent fails to forge consensus for change.<br><br>Fails to identify areas in which agreement and/or consensus is necessary.<br><br>Rarely or never develops a process for change and/or improvement.<br><br>Rarely or never seeks feedback or secures cooperation. |

| 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.** | The superintendent consistently employs a variety of strategies to resolve conflicts and forge consensus within the school community.<br><br>The superintendent consistently encourages open dialogue, considers diverse points of view, and expects the administrative team to mentor this philosophy. | The superintendent resolves conflicts and forges consensus within the school community in a constructive and respectful manner.<br><br>The superintendent frequently encourages open dialogue, considers diverse points of view, and often expects the administrative team to mentor this philosophy. | The superintendent employs a limited number of strategies to resolve conflicts and forge consensus within the school community with limited success. | The superintendent fails to resolve conflicts or forge consensus within the school community. |
| 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 methods. | The superintendent communicates with all school board members periodically. | The superintendent communicates with selected school board members only on an emergency basis. | The superintendent has minimal communication with the school board outside of meetings. |
| 4.5 | **The superintendent encourages open communication and dialogue with school board members.** | The superintendent has created a culture where input and feedback from all school board members is both sought and encouraged.<br><br>The superintendent engages in open discussion with the school board on a consistent basis. | 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. | The superintendent rarely seeks input from the school board and makes decisions unilaterally. |
| 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 corporation goals.<br><br>Complete and thorough background material is provided so that the board can make an informed decision. | The superintendent creates an agenda that routinely focuses on student achievement issues and corporation goals.<br><br>Adequate background material is provided to allow the board to make an informed decision. | The superintendent creates an agenda that occasionally includes items related to student achievement and corporation goals.<br><br>Limited background material is provided. | The superintendent creates an agenda that focuses only on operational matters and provides insufficient background material. |

| Indicator | | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) |
|---|---|---|---|---|---|
| **5.0 Culture of Achievement – The superintendent develops a corporation-wide culture of achievement aligned to the school corporation's vision of success for every student.** | | | | | |
| **5.1** | **The superintendent empowers building leaders to set rigorous academic and behavior expectations for every student.** | The superintendent leads and involves the administrative team in a comprehensive annual analysis of school and corporation performance.<br><br>Multiple data sources are utilized to analyze corporation and schools' strengths and weaknesses and a collaborative process is used to develop focused and results-oriented goals.<br><br>Clear expectations are established and administrators and educators are provided differentiated resources and support to disaggregate data and to assist in identifying and meeting each student's academic, social, emotional, and behavioral needs. | The superintendent guides the administrative team in an annual analysis of school and corporation performance.<br><br>Required data sources are utilized to analyze the corporation and schools' strengths and weaknesses and a collaborative process is used to develop measurable goals.<br><br>General expectations are established and administrators and educators are provided differentiated resources and support to disaggregate data. | The superintendent provides minimal direction for the administrative team in an annual analysis of school and corporation performance.<br><br>Limited data sources are used to develop goals which are not focused or measurable.<br><br>Some expectations are established and limited resources and occasional supports are provided to support the disaggregation of data. | The superintendent provides no direction for the administrative team in an annual analysis of school and corporation performance.<br><br>No data sources are used to develop goals.<br><br>The superintendent does not establish expectations or provide the necessary support for the disaggregation of data. |
| **5.2** | **The superintendent establishes rigorous academic goals and priorities that are systematically monitored for continuous improvement.** | The superintendent 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.<br><br>The monitoring of goals and regular revising and updating of such plans is an ongoing process conducted by the superintendent and the board.<br><br>These rigorous academic goals are shared throughout the school community through multiple communication systems. | The superintendent has presented goals for board approval that clearly articulate the academic rigor and academic priorities of the corporation's programs.<br><br>Approved goals by the board are shared and available for the entire community. | The superintendent has occasionally made some reference to academic goals and school improvement priorities.<br><br>There are some goals established but none that were approved by the board. | The superintendent has no goals and no school improvement priorities established for the corporation. |

| 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 support systems.** | 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 not allocated on the basis of any identified needs of students. | The superintendent does not establish clear expectations and resources are not allocated on the basis of any identified needs of students. |
| **5.4** | **The superintendent expects building leaders to build productive and respectful relationships with parents/guardians and engage them in their children's learning.** | The superintendent sets clear expectations and provides multiple resources to support administrators to consistently and regularly engage all families in facilitating their children's learning at school and home. | The superintendent sets general expectations and provides adequate resources for administrators to regularly engage families in facilitating their children's learning at school and home. | The superintendent sets minimal expectations and provides occasional resources for administrators to engage families in facilitating their children's learning at school and home. | The superintendent does not set expectations or provide resources for administrators to regularly communicate with families on ways to facilitate their children's learning at school and home. |

| Indicator | | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) |
|---|---|---|---|---|---|
| **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.** | | | | | |
| **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.** | Decisions that are made are neither by consensus nor by leadership mandate but are consistently based on the data.<br><br>Data, from a wide range of sources, including qualitative and quantitative, are referenced in all decisions.<br><br>Numerous examples of practices that have been changed, discontinued, and/or initiated based on data analysis can be produced. | Most decisions that are made are neither by consensus nor by leadership mandate but are consistently based on the data.<br><br>Data, from various sources are referenced in all decisions.<br><br>Several examples of practices that have been changed, discontinued, and/or initiated based on data analysis can be produced | A few decisions that are made are neither by consensus nor by leadership mandate but are consistently based on the data.<br><br>Data, from limited sources are referenced in some decisions.<br><br>Minimal examples of practices that have been changed, discontinued, and/or initiated based on data analysis can be produced. | Data is rarely used for decisions.<br><br>Most decisions are made based on personal viewpoints or what is popular at the time. |
| **6.2** | **The superintendent demonstrates personal proficiency in technology implementation and utilization.** | The superintendent creates new opportunities for technological learning and empowers the administrative team to use new technology initiatives.<br><br>The superintendent serves as a model for technology implementation. | The superintendent consistently utilizes technology within his/her daily responsibilities.<br><br>The superintendent demonstrates effort toward serving as a model for technology implementation. | The superintendent occasionally utilizes technology within his/her daily responsibilities.<br><br>There is little or no evidence of the superintendent taking a personal initiative to learn new technology. | The superintendent has limited use of technology within his/her daily responsibilities.<br><br>The superintendent does not serve as a model for technology implementation. |
| **6.3** | **The superintendent oversees the use of practices for the safe, efficient, and effective operation of the school corporation's physical plant, equipment, and auxiliary services (e.g., food services, student transportation).** | The superintendent ensures there are updated procedures in place to address the safety of students and staff.<br><br>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.<br><br>Periodic reviews of these procedures are in place and necessary actions are taken to address operational deficiencies. | The superintendent ensures there are procedures in place to address the safety of students and staff.<br><br>The superintendent routinely provides opportunities for staff training in order to carry out their duties with respect to the corporation's physical plant, equipment, and auxiliary services.<br><br>Periodic reviews of these procedures are in place. | The superintendent has minimal procedures in place to address the safety of students and staff.<br><br>The superintendent provides minimal opportunities for staff training in order to carry out their duties with respect to the corporation's physical plant, equipment, and auxiliary services.<br><br>There are occasional, unscheduled reviews of these procedures. | The superintendent has no procedures in place to address the safety of students and staff.<br><br>The superintendent provides no opportunities for staff training in order to carry out their duties with respect to the corporation's physical plant, equipment, and auxiliary services. |

| Indicator | | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) |
|---|---|---|---|---|---|
| | | | | | |
| **6.4** | **The superintendent provides responsible fiscal stewardship.** | The superintendent maintains a fiscally sound financial budget, monitors expenditures to be used in an efficient manner, and reallocates those savings to help the corporation achieve its strategic priorities.<br><br>Data is produced and shared with all stakeholders which reflect the positive impact of reallocated resources in achieving strategic priorities.<br><br>The superintendent has established processes to increase fiscal resources, e.g., grants, donations, and community resources. | The superintendent maintains a fiscally sound financial budget, monitors expenditures to be used in an efficient manner, and reallocates those savings to help the corporation achieve its strategic priorities.<br><br>Data is produced which reflect the positive impact of reallocated resources in achieving strategic priorities. | The superintendent lacks proficiency in budgetary practices to focus resources on strategic priorities.<br><br>Minimal data is produced to support reallocated resources. | The superintendent does not demonstrate sound, fiscal stewardship. |
| **6.5** | **The superintendent demonstrates compliance with legal requirements.** | The superintendent demonstrates an understanding of the legal standards and board policy requirements of the corporation, and consistently adheres to those standards and requirements. | The superintendent demonstrates an awareness of the legal standards and board policy requirements of the school corporation and generally adheres to those standards and requirements. | The superintendent has limited knowledge of legal standards and/or board policy requirements and occasionally adheres to those standards and requirements. | The superintendent has minimal knowledge of legal standards and/or board policy requirements and rarely adheres to those standards and requirements. |

## APPENDIX C

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

(3) 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.

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

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

(6) A pre-evaluation planning session conducted by the superintendent or equivalent authority for the school corporation with the principals in the school corporation.

(d) In developing a performance evaluation plan, a school corporation may consider the following:

(1) Test scores of students (both formative and summative).

(2) Classroom presentation observations.

(3) Observation of student-teacher interaction.

(4) Knowledge of subject matter.

(5) Dedication and effectiveness of the teacher through time and effort on task.

(6) Contributions of teachers through group teacher interactivity in fulfilling the school improvement plan.

(7) Cooperation of the teacher with supervisors and peers.

(8) Extracurricular contributions of the teacher.

(9) Outside performance evaluations.

(10) Compliance with school corporation rules and procedures.

(11) Other items considered important by the school corporation in developing each student to the student's maximum intellectual potential and performance.

The state board and the department may recommend additional factors, but may not require additional factors unless directed to do so by the general assembly.

(e) The state board may create a method or model to align currently used performance evaluation plan factors with each of the following indicators:

(1) Maximizing instructional time.

(2) Student engagement.

(3) Developing student understanding and mastery of lesson objectives.

(4) Tracking student data and analyzing progress.

(5) Checking for student understanding.

(f) The plan must:

(1) be in writing; and

(2) be explained to the governing body in a public meeting;

before the evaluations are conducted. Before explaining the plan to the governing body, the superintendent of the school corporation shall discuss the plan with teachers or the teachers' representative, if there is one. This discussion is not subject to the open door law (IC 5-14-1.5). The plan is not subject to bargaining, but a discussion of the plan must be held.

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

*As added by P.L.90-2011, SEC.39. Amended by P.L.239-2015, SEC.7; P.L.275-2019, SEC.7; P.L.150-2020, SEC.1.*

**APPENDIX C-1**


**MEMORANDUM**

To: Indiana School Superintendents and Principals

From: Rebecca Estes, Director of Leadership and Innovation

Date: May 15, 2020

Re: House Enrolled Act 1002 – Teacher Evaluations

**Background:**

House Enrolled Act (HEA) 1002 (2020) amends existing I.C. 20-28-11.5-4 by removing the requirement that student assessment results from statewide standardized assessments be used as part of a certified employee's annual evaluation performance plan.

Note: I.C. 20-28-11.5-4 still requires school corporations to develop a plan for annual performance evaluations for each certified employee.

**Guidance:**

The 2020 Indiana General Assembly removed the requirement to include objective measures of student achievement and growth to *significantly* inform evaluations. In doing so, the requirements include (1) student assessment results from statewide assessments for certificated employees whose responsibilities include instruction in subjects measured in statewide assessments; (2) methods for assessing student growth for certificated employees who do not teach in areas measured by statewide assessments; and (3) 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 were also removed.

In addition, the changes remove the requirement for the Indiana State Board of Education (SBOE) to establish the measures used to determine student academic achievement and growth. However, the changes call for SBOE to adopt rules that establish (1) the criteria that define each of the four categories of teacher ratings (Highly Effective, Effective, Needs Improvement, and Ineffective); (2) standards that define actions that constitute a negative impact on student achievement; and (3) an acceptable standard for training evaluators. In addition, the changes require

the development of a model plan by the Indiana Department of Education (IDOE) to be released to school corporations.

Indiana's model plan, Rise 2.0, will be revised by IDOE in collaboration with districts to reflect the changes made in requirements by the 2020 General Assembly and released prior to July 1,
2020.

**A School Corporation MAY Adopt:**

- Indiana's model plan;
- A plan using master teachers or contracting with an outside vendor to provide master teachers;
- The System for Teacher and Student Advancement (TAP);
- The Peer Assistance and Review Teacher Evaluation System (PAR); or
- Another plan that meets the requirements in IC 20-28-11.5-4.
    - If a school corporation substantially modifies the revised state model plan (as defined within the model plan) or develops its own plan, IDOE may request that the school corporation submit the plan to ensure it meets the criteria below. Before submitting a substantially modified plan to IDOE, the governing body shall submit the staff performance evaluation plan to the teachers employed by the school corporation for a vote. If at least seventy-five percent (75%) of the voting teachers vote in favor of adopting the staff performance evaluation plan, the governing body may submit the staff performance evaluation plan to IDOE.

**Staff Performance Evaluation Plans MUST:**

- Be in writing;
- Be discussed with teachers or the teachers' representative, if there is one. This discussion is not subject to the open door law (IC5-14-1.5). The plan is not subject to bargaining, but a discussion of the plan must be held;
- Be explained to the governing body in a public meeting; before the evaluations are conducted; and
- Be submitted to IDOE annually **(September 15, 2020)** in order to qualify for any related grant funding.

**Staff Performance Evaluation Plans MUST Include:**

- Performance evaluations for all certificated employees, conducted at least annually;
- Rigorous measures of effectiveness, including observations and other performance indicators;
- 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;
- Discussion of the evaluation between evaluator and certificated employee;
- An explanation of the evaluator's recommendations for improvement, and the time in which improvement is expected;

- A provision that a teacher who negatively affects student achievement and growth cannot receive a rating of highly effective or effective; and
- A pre-evaluation planning session conducted by the superintendent or equivalent authority for the school corporation with the principals in the school corporation.

**Staff Performance Evaluation Plans MAY Include Any of the Following:**

- Test scores of students (both formative and summative);
- Classroom presentation observations;
- Observation of student-teacher interaction;
- Knowledge of subject matter;
- Dedication and effectiveness of the teacher through time and effort on task;
- Contributions of teachers through group teacher interactivity in fulfilling the school improvement plan;
- Cooperation of the teacher with supervisors and peers;
- Extracurricular contributions of the teacher;
- Outside performance evaluations;
- Compliance with school corporation rules and procedures; or
- Other items considered important by the school corporation in developing each student to the student's maximum intellectual potential and performance.

HEA 1002 is effective July 1, 2020. IDOE will update the evaluation homepage with the revised state plan and evaluation plan submission information prior to July 1, 2020.

If you have any questions, please contact Rebecca Estes by phone at (317) 232-7006 or through email at restes@doe.in.gov.

This bill was authored by Representative Anthony Cook. The full bill text can be found here. Information regarding how to contact your legislators can be found here.

# APPENDIX D

**1.0 Human Capital Manager – The superintendent uses the role of human capital manager to drive improvements in building leader effectiveness and student achievement.**

| Indicator | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) | |
|---|---|---|---|---|---|
| 1.1 | ☐ | ☐ | ☐ | ☐ | |
| 1.2 | ☐ | ☐ | ☐ | ☐ | |
| 1.3 | ☐ | ☐ | ☐ | ☐ | |
| 1.4 | ☐ | ☐ | ☐ | ☐ | |
| 1.5 | ☐ | ☐ | ☐ | ☐ | |
| Score | | | | | |

**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.**

| Indicator | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) | Category Score |
|---|---|---|---|---|---|
| 2.1 | ☐ | ☐ | ☐ | ☐ | |
| 2.2 | ☐ | ☐ | ☐ | ☐ | |
| 2.3 | ☐ | ☐ | ☐ | ☐ | |
| Score | | | | | |

**3.0 Personal Behavior – The superintendent models personal behaviors that set the tone for effective organizational leadership.**

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

**4.0 Building Relationships –The superintendent builds relationships to ensure that all key stakeholders work effectively with each other to achieve organizational results.**

| Indicator | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) | Category Score |
|---|---|---|---|---|---|
| 4.1 | ☐ | ☐ | ☐ | ☐ | |
| 4.2 | ☐ | ☐ | ☐ | ☐ | |
| 4.3 | ☐ | ☐ | ☐ | ☐ | |
| 4.4 | ☐ | ☐ | ☐ | ☐ | |
| 4.5 | ☐ | ☐ | ☐ | ☐ | |
| 4.6 | ☐ | ☐ | ☐ | ☐ | |
| Score | | | | | |

**5.0 Culture of Achievement – The superintendent develops a corporation-wide culture of achievement aligned to the school corporation's vision of success for every student.**

| Indicator | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) | Category Score |
|---|---|---|---|---|---|
| 5.1 | ☐ | ☐ | ☐ | ☐ | |
| 5.2 | ☐ | ☐ | ☐ | ☐ | |
| 5.3 | ☐ | ☐ | ☐ | ☐ | |
| 5.4 | ☐ | ☐ | ☐ | ☐ | |
| Score | | | | | |

**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.**

| Indicator | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) | Category Score |
|---|---|---|---|---|---|
| 6.1 | ☐ | ☐ | ☐ | ☐ | |
| 6.2 | ☐ | ☐ | ☐ | ☐ | |
| 6.3 | ☐ | ☐ | ☐ | ☐ | |
| 6.4 | ☐ | ☐ | ☐ | ☐ | |
| 6.5 | ☐ | ☐ | ☐ | ☐ | |
| Total | | | | | |

**Superintendents Goals/Objectives**

| Goal / Objective | Highly Effective (4) | Effective (3) | Improvement Necessary (2) | Ineffective (1) | Category Score |
|---|---|---|---|---|---|
| 1 | ☐ | ☐ | ☐ | ☐ | |
| 2 | ☐ | ☐ | ☐ | ☐ | |
| 3 | ☐ | ☐ | ☐ | ☐ | |
| 4 | ☐ | ☐ | ☐ | ☐ | |
| 5 | ☐ | ☐ | ☐ | ☐ | |
| 6 | ☐ | ☐ | ☐ | ☐ | |

# References

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