# South Dakota
# Principal Effectiveness Handbook

## Requirements, Support Systems and State Model Recommendations

*FEATURING RECOMMENDATIONS OF THE SOUTH DAKOTA COMMISSION ON TEACHING AND LEARNING*

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SOUTH DAKOTA COMMISSION ON Teaching AND Learning

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Learning. Leadership. Service.

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# Foreword from the South Dakota Commission on Teaching and Learning

The South Dakota Commission on Teaching and Learning (CTL) – an ongoing partnership between the South Dakota Department of Education, South Dakota Education Association, School Administrators of South Dakota and East Dakota Educational Cooperative – embraces the important work of examining recommended practices, considering policy alternatives, and ensuring successful implementation of the South Dakota Principal Effectiveness System.

The Commission is a model of collaboration. At the state level, the Commission brings together teachers, administrators, school board members, university professors, education organizations, and state education officials to achieve consensus.

The work of increased student achievement should be a central focus for all who provide public education. Successful school leaders must be at the forefront of this work as they set direction, develop people, and redesign the organization (Leithwood, Seashore Louis, Anderson, & Wahlstrom, 2004).

To that end, South Dakota's Principal Effectiveness System is not a checklist but rather an opportunity for administrators to develop effective leadership skills by engaging in ongoing reflective and collaborative practice. Successful implementation will require time, training, resources, and support both at the district and the state level. It is the hope of the Commission that educational leaders across the state will take advantage of the support and training offered by the South Dakota Department of Education, School Administrators of South Dakota, East Dakota Educational Cooperative, and other professional organizations.

In closing, the Commission recognizes the long history of dedication, hard work, and passion for teaching and learning shared by all educators across the state of South Dakota. The work of the Commission would not be possible without the support and full engagement of all South Dakota educators.

SOUTH DAKOTA COMMISSION ON Teaching AND Learning

# Introduction to the Principal Effectiveness Handbook

The *South Dakota Principal Effectiveness Handbook* represents a progression in South Dakota's efforts to ensure that every student benefits from access to highly effective teachers and leaders. This Handbook outlines an evaluation system designed to advance good leadership practices by providing all principals with the feedback and support necessary to become effective leaders.

A decade of research has conclusively identified the importance of both teacher quality and school leadership as the key levers for improved student achievement. While teacher quality is the single biggest factor influencing student achievement, strong principals are critical to teacher development and retention. In fact, principals account for 25 percent—and teachers 33 percent—of a school's total impact on student achievement (Clifford, Behrstock-Sherratt, & Fetters, 2012; The Wallace Foundation, 2015; Waters, Marzano, & McNulty, 2003).

This research, coupled with research on what effective principals know and can do, provided the basis for developing a model principal evaluation system for South Dakota.

## Aspiration and Acknowledgements

South Dakota's work to develop a meaningful Principal Effectiveness System is united by a common aspiration: *To improve instruction and student learning.* This Handbook has been influenced by the contributions of a diverse group of educators, professional organizations, state officials and other education stakeholders. Significant contributors are acknowledged below, and are also recognized in Appendix A.

- 2012 Principal Evaluation Work Group
- 2013 South Dakota Commission on Teaching and Learning
- 2013-2014 Principal Effectiveness pilot participants
- University of South Dakota
- South Dakota Board of Regents

## Requirements versus Recommendations

The processes and procedures outlined in the *South Dakota Principal Effectiveness Handbook* were developed to provide public school districts an evaluation system that satisfies both state and federal requirements. South Dakota public school districts have the option to implement an evaluation system that differs from recommendations contained in this Handbook provided the public school district adheres to minimum state and federal requirements. To assist districts in determining where flexibility exists, requirements, and recommendations are clearly identified throughout this Handbook.

# The Design of the Principal Effectiveness System

The new Principal Effectiveness System should result in the following outcomes if implemented with fidelity:

- Improved student success through the implementation of research-based educational practices.
- Improved student success through principals' professional growth and accountability.
- A record of facts and assessment for personnel decisions to ensure every public school in South Dakota has an effective principal.

The evaluation system recognizes that principals are capacity builders who help to facilitate meaningful school improvement and student learning. The system is designed to help evaluate principals as learning-focused leaders who are able to build a positive learning community with high quality teachers who enable students to achieve at high levels. Continuous improvement is at the core of the annual appraisal cycle and professional growth and accountability are embedded in the use of rubrics. Student and school data as well as other sources of evidence will lead to a principal's professional growth plan. A record of facts and assessment for personnel decisions will help guide the new principal and foster growth for more experienced principals. Assignment to performance levels will help principals know what skills they need to develop to move to the next performance level.

## Definition of Principal

South Dakota Law and Administrative Rule require principals and assistant principals (SDAR 24:58:03:01) to be evaluated according to minimum state effectiveness requirements. The definition of a principal, as outlined in ARSD 24:58:01:01, as it applies to principal evaluation requirements, is an individual who:

- Is a school building level leader;
- Has completed an approved principal or administrator preparation program at an accredited institution;
- Has been issued a South Dakota teaching certificate and principal endorsement;
- Is not serving as a superintendent or assistant superintendent; and
- Is designated as a principal in reports required by the department pursuant to SDCL § 13-3-51.

If an individual serves as a superintendent or assistant superintendent and also serves as a principal or assistant principal, then the individual may be evaluated as:

(a) A principal or assistant principal pursuant to this article;
(b) A superintendent or assistant superintendent pursuant to district policy or procedure, or
(c) Both (a) and (b). (SDAR 24:58:03:09)

## Definition of Evaluator

Principal and assistant principal evaluations shall be performed by the district superintendent or another supervisor of the principal or assistant principal assigned by the superintendent to perform the evaluation (SDAR 24:58:03:08).

## Comparison of State Effectiveness Requirements to Model

State administrative rule outlines the minimal requirements for implementation of Principal Effectiveness (SDAR 24:58:01:01, 24:58:03:02). The South Dakota Commission on Teaching and Learning (CTL) designed a recommended model that goes above and beyond these minimum requirements. The majority of this handbook will be devoted to describing the recommended model for implementation. A comparison of the minimum state requirements to the recommended South Dakota Principal Effectiveness Model is found on the following page in figure 1.

Figure 1: Comparison of Minimum Requirements to SD Principal Effectiveness Model Recommendations

| COMPARISON OF STATE EFFECTIVENESS REQUIREMENTS TO MODEL | | |
|---|---|---|
| **PRINCIPAL EFFECTIVENESS** | **MINIMUM REQUIREMENTS** | **MODEL RECOMMENDATIONS** |
| **Professional Practice Standards** | • *South Dakota Framework for Effective Principals*<br>• Evaluations based upon minimum of six components including at least one from each domain | • *South Dakota Framework for Effective Principals*<br>• Evaluations based upon minimum of eight components including at least one from each domain |
| | | |
| **Professional Practice Rating** | • *Rating* assigned to principal/assistant principal using at least one component from each of the six domains | • *Standards*-based rubrics for performance evaluation<br>• *Point* values and weights to determine domain level performance<br>• *Four* overall professional practice ratings of *Unsatisfactory, Basic, Proficient, Distinguished* |
| | | |
| **Evaluation of School Growth** | School Growth Rating:<br>• *Percentage* of evaluated teachers attaining expected or high Student Growth Ratings<br>• *School's* SPI, academic progress goal or combo of SPI and AMO weighted as a minimum of 25% of total School Growth Rating | School Growth Rating:<br>• *Percentage* of evaluated teachers attaining expected or high Student Growth Ratings using SLO growth<br>• *School's* SPI, academic progress goal, or combo of SPI and AMO weighted as 25% of total School Growth Rating<br>• *SLO* growth (75%) + AMO/SPI Growth (25%) = Growth Rating |
| | | |
| **Summative Principal Effectiveness Rating** | Combination of Professional Practice Rating and School Growth Rating into one of the following categories:<br>• *Below* Expectations<br>• *Meets* Expectations<br>• *Exceeds* Expectations | Use of Summative Rating Matrix to combine Professional Practice Rating and School Growth Rating into one of the following categories:<br>• *Below* Expectations<br>• *Meets* Expectations<br>• *Exceeds* Expectations |
| | | |
| **Evaluation Timeline** | **First Four Years of Employment**<br>• *Once* per school year<br><br>**Five + Years of Employment**<br>• *Once* every other school year | **First Four Years of Employment**<br>• *Two* to five formative reviews/ collaborations per school year with a final summative evaluation<br>**Five + Years of Employment**<br>• *One* to four formative reviews/ collaborations per school year with a final summative evaluation |
| | | |
| **Plans of Assistance** | Must include a plan of assistance for principal/assistant principal whose performance does not meet the minimum requirements as set forth by the public school district's policies/procedures | Must include a plan of assistance for principal/assistant principal whose performance does not meet the minimum requirements as set forth by the public school district's policies/procedures |
| **Personnel Decisions** | Guides personnel decisions | Guides personnel decisions |

# State Effectiveness System Requirements

By implementing Principal Effectiveness systems with fidelity and providing principals with evidence-based feedback on a regular basis, South Dakota public school districts can expect to improve a principal's effectiveness and to build a culture of shared responsibility for student learning.

## Implementation Timeline

The South Dakota Department of Education (SD DOE) will be providing learning opportunities for administrators during the 2014-15 and 2015-16 school years. Full implementation for all public school districts will be the 2016-17 school year. The Principal Effectiveness Implementation Timeline is located in Appendix B.

## Broad Requirements for Principal/Assistant Principal Evaluation

South Dakota's Principal Effectiveness System, or any principal evaluation system developed and implemented by a local public school district must establish a foundation for implementing meaningful evaluations focused on improving leadership. To provide a foundation for the minimum requirements, this section of the *South Dakota Principal Effectiveness Handbook* briefly describes federal guidelines as a part of the Elementary and Secondary Education Act (ESEA) waiver Principle 3 (Supporting Effective Instruction and Leadership). The principal evaluation process encompasses the following requirements:

1. Serves as a guide for principals as they reflect upon and improve their effectiveness as school leaders;
2. Communicates clearly defined expectations;
3. Provides regular, timely, and useful feedback that guides professional growth for principals;
4. Promotes continual improvement of leadership;
5. Meaningfully differentiates principal performance using at least three performance levels;
6. Uses multiple valid measures in determining performance levels, including as a significant factor, data on student growth for all students (including English Learners and students with disabilities), and other measures of professional practice (which may be gathered through multiple formats and sources, such as observations based on rigorous teacher performance standards, teacher portfolios, and student and parent surveys);
7. Informs personnel decisions;
8. Provides a fair, flexible, and research-based mechanism to create a culture in which data informs instructional decisions.

**Throughout this Handbook, principals will refer to both principals and assistant principals, since both will be evaluated beginning in the 2016-17 school year.**

## Minimum State Requirements

All South Dakota public school districts must use multiple valid measures to evaluate Principal Effectiveness. The principal evaluation process must rely on qualitative and quantitative measures and be based on measures of both professional practice related to the South Dakota Framework for Effective Principals and school growth.

### Evaluation of Professional Practice

Local principal evaluation systems must evaluate principal performance relative to the state's professional performance standards (*South Dakota Framework for Effective Principals*). Minimum state requirements that apply to evaluations of professional practice are outlined on page 5.

**Standards-Based Evaluations of Professional Practice**
All public school districts must evaluate principals using domains and components aligned to the *South Dakota Framework for Effective Principals*. Public school districts wanting to use existing performance standards have the flexibility to crosswalk their standards to the *South Dakota Framework for Effective Principals* using forms provided by the SD DOE (SDCL 13-3-69(7); ARSD 24:58).

- ✓ The rubrics for the *South Dakota Framework for Effective Principals* are located at http://www.teachscape.com/states/south-dakota.html
- ✓ Crosswalk forms and additional planning tools are available at the following URL: http://doe.sd.gov/secretary/PE.aspx.

Public school districts choosing not to use the recommended state Framework and performance rubrics must demonstrate that within their system of principal evaluation, they are examining all of the domains included in the *South Dakota Framework for Effective Principals*.

**Minimum Number of Professional Performance Components**
The *South Dakota Framework for Effective Principals* includes 22 individual performance components clustered into six domains. All local Principal Effectiveness systems must include professional performance evaluations based on a **minimum of six principal effectiveness components including a minimum of one from each domain of performance (ARSD 24:58).**

**Evidence Collection for Non-Observable Professional Performance Components**
To demonstrate performance relative to non-observable components, evidence and artifacts must be provided by principals and reviewed through a collaborative process involving both principal and evaluator. Refer to page 19 for a list of suggested artifacts.

**Evidence Gathered Through Review**
Evidence related to observable components should be gathered through formative reviews throughout the year.

**Assignment of a Professional Practice Rating**
All local Principal Effectiveness systems must assign an overall *Professional Practice Rating* that summarizes performance relative to the *South Dakota Framework for Effective Principals*. The Professional Practice Rating must serve as one measure to determine and differentiate summative principal performance.

## Evaluation of School Growth

**Student Learning Objectives**
Impact on student growth will be assessed through the Student Learning Objectives (SLO) process. The *School Growth Rating* shall be calculated based upon the percentage of teachers under the principal's supervision attaining expected or high Student Growth Ratings on evaluations. Public school districts may apply to use an alternate method of student growth provided the measure meets minimum state requirements (ARSD 24:58, 24:57). *The Student Learning Objective Handbook* can provide additional information regarding the SLO process.

**Use of State Assessment Data**
The principal in cooperation with the superintendent will set growth goals based upon the School Performance Index (SPI), Annual Measurable Objectives (AMOs) and/or progress narrowing the achievement gap. Progress toward meeting school-level AMOs and the results of the SPI calculation must account for at least 25 percent of the principal's School Growth Rating (ARSD 24:58:01:02).

In the event a public school district opts to evaluate principals in their 5th year or beyond, every other school year, individual public school districts will determine whether growth data is taken only from the school year in which evaluation occurs or whether growth is averaged over a two school year period.

## Summative Principal Effectiveness Ratings and Performance Categories

All local principal evaluation systems must include a process to combine the Professional Practice Rating and the School Growth Rating into a Summative Effectiveness Rating (ARSD 24:58).

### Performance Differentiated Into Three Categories

Public School Districts will evaluate both professional practice and school growth, and then combine measures of performance into a Summative Effectiveness Rating that translate into one of three performance categories: *Below Expectations, Meets Expectations,* or *Exceeds Expectations* (ARSD 24:58).

## Evaluation Outcomes

All local principal evaluation systems must include practices and procedures that ensure principal evaluation results are focused on professional growth. State minimum requirements relating to professional growth for principals are outlined below.

### Clear, Timely, Useful Feedback to Be Used As a Guide for Professional Growth

Public school districts are required to adopt a local principal evaluation process that provides principals with clear, timely, and useful feedback that identifies needs and guides professional growth (SDCL 13-3-69(7), ARSD 24:58).

### Plans of Assistance for Principals Not Meeting District Standards

Public School Districts must provide a plan of assistance to principals and assistant principals who do not meet the district's established performance standards (SDCL, 13-1-12.1; 13-3-47; 13-3-68; 13-3-69; ARSD 24:58).

## Summative Evaluation Cycle

All South Dakota public school districts must regularly provide principals with a summative evaluation. The frequency of evaluations varies based on the amount of time a principal has been employed with a public school district.

### First Four Years of Employment

Each public school shall evaluate the performance of each principal and assistant principal at least once per school year during the first four years of employment (SDCL 13-3-69(7), ARSD 24:58:03:01).

### Five Years and Beyond

Each public school shall evaluate the performance of each principal and assistant principal at least once every other school year during the fifth year of employment and beyond. (SDCL 13-3-69(7), ARSD 24:58:03:01).

### Reporting

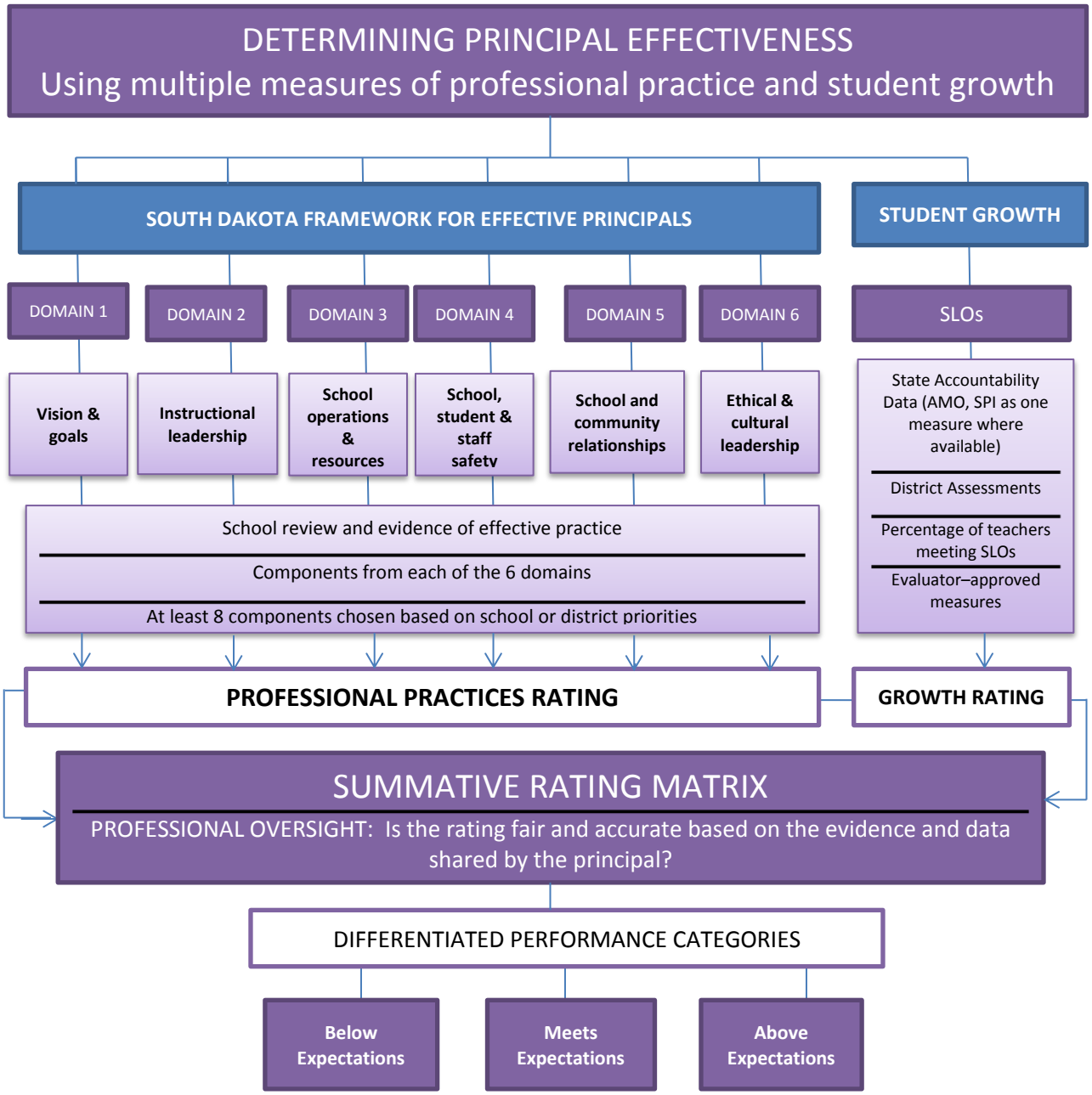
Summative Principal Effectiveness Ratings will be reported to the SD DOE through the annual Personnel Record Form (PRF) process. It is important that all educators understand two key concepts related to state reporting:

- Individual principal evaluation results are legally protected as personnel information and are not subject to South Dakota's public records laws (SDCL 13-42-70).
- South Dakota's ESEA waiver requires the SD DOE to report Principal Effectiveness data. Specifics of federal reporting will be detailed following approval of Principle 3 of the South Dakota ESA waiver. At this point in time the SD DOE plans to report only aggregate data at the state level.

# Recommended Principal Effectiveness Model

As a guide for public school districts implementing new principal evaluation systems, the CTL has developed a recommended method of determining Principal Effectiveness (Figure 2) that conforms to both state and federal requirements.

Figure 2: Overview of Recommended Model to Determine Principal Effectiveness



Using the recommended model, evaluators will separately determine a Professional Practice Rating and a School Growth Rating. The two separate ratings are combined by using the Summative Rating Matrix, a tool that provides educators the opportunity to exercise professional judgment prior to classifying principal performance into one of the three performance categories.

This model of combining the two ratings does not rely on a uniform formula to calculate a Summative Principal Effectiveness Rating. Instead, the model prioritizes evaluations based on the *South Dakota Framework for Effective Principals,* while incorporating the evaluation of school growth as one significant factor in the rating system. Details of the recommended model for determining Principal Effectiveness are described in detail in the remaining portions of the *South Dakota Principal Effectiveness Handbook*.

# Evaluation of Professional Practice

The process of improving principal performance begins with a clear definition of what it means to be an effective leader. The *South Dakota Framework for Effective Principals* serves as this definition. Evaluations of professional practice relative to the Framework contribute to the Summative Principal Effectiveness Rating and serve as a basis for developing individual professional growth plans focused on school improvement and student achievement.

## The South Dakota Framework for Effective Principals

The Principal Evaluation Work Group developed a framework to include *six domains* and *22 performance components* designed to promote the effectiveness of South Dakota principals. The work group reviewed research studies for the behaviors effective principals demonstrate and existing national and state standards and indicators. Defined below are the domains and performance components developed by the work group, conveyed through the listening tour, and adopted by the Higher Education Committee working to redesign the principal preparation programs in the state. Performance rubrics surrounding these domains and their components can be found in Appendix G.

**Domain 1 – Vision and Goals**

Principals and assistant principals shall demonstrate the ability to guide the development and implementation of a shared vision, mission and, goals for the school.

An effective principal/assistant principal:

1.1 Develops and implements goals, objectives, and strategies to achieve the shared vision for school and student success;

1.2 Reviews and monitors the school's vision, mission, goals, and school improvement plans to ensure high expectations for student learning and continuous school improvement.

**Domain 2 – Instructional Leadership**

Principals and assistant principals shall demonstrate the ability to communicate with staff and review research and data to promote a school culture and instructional program that fosters student learning and professional growth for staff.

An effective principal/assistant principal:

2.1 Promotes, facilitates, and effectively utilizes data from multiple measures to inform instruction and evaluate student performance to support effective instruction;

2.2 Leads and supports staff in acquiring, planning, and implementing research-based instructional strategies and technologies that advance the school's vision and goals and meet the diverse needs of all students;

2.3 Utilizes the skills of staff and encourages staff to assume leadership roles within the school to improve teaching and learning;

2.4 Ensures that the instructional content and curriculum is aligned with state and district content standards and curriculum priorities of the school and district;

2.5 Develops a professional growth plan for staff for the purpose of continuous improvement.

**Domain 3-School Operations and Resources**
Principals and assistant principals shall demonstrate the ability to efficiently and productively manage school operations and resources.

An effective principal/assistant principal:

3.1 Manages and budgets all resources and operational procedures to provide an efficient, effective and well-maintained learning environment that maximizes learning opportunities for all students;

3.2 Develops the capacity of staff to serve as leaders within the school, maximizing both ownership and accountability;

3.3 Selects, places, supervises, coaches, and evaluates staff to ensure high quality instruction and student success;

3.4 Resolves potential challenges and maximizes opportunities within existing school operations and resources to ensure high levels of student and staff learning.

## Domain 4 – School, Student and Staff Safety
Principals/assistant principals shall demonstrate the ability to foster a physically, emotionally, and cognitively safe learning environment for students, staff, and community.

An effective principal/assistant principal:

4.1 Creates a safe school environment that addresses the physical, emotional, and cognitive needs of the school community by openly addressing and resolving potential safety issues.

4.2 Establishes and communicates clear and consistent expectations regarding staff and student conduct.

4.3 Utilizes fair, effective, and supportive practices in establishing student behavior management.

4.4 Uses effective conflict resolution skills to resolve challenges in a timely manner.

**Domain 5 – School and Community Relationships**
Principals and assistant principals shall demonstrate the ability to foster relationships by collaborating with parents, staff, and community members.

An effective principal/assistant principal:

5.1 Supports and promotes a culture of family and community involvement to engage stakeholders in school goals and programs;

5.2 Uses multiple methods to frequently and clearly communicate to and seek input from parents, students, staff, and community members;

5.3 Establishes and supports a school culture, climate, and environment that treats all individuals with dignity, fairness, and respect;

5.4 Exhibits high visibility and active involvement within the school and community.

**Domain 6 – Ethical and Cultural Leadership**
Principals and assistant principals shall demonstrate the ability to provide ethical, cultural, and skilled leadership.

An effective principal/assistant principal:

6.1 Expresses appreciation for and sensitivity to diversity and cultural differences.

6.2 Displays values, beliefs, and attitudes that inspire others to higher levels of performance.

6.3 Complies with the code of professional ethics in chapters 24:08:03 and 24:11:03.

## Recommended Minimum Measures of Professional Practice

The *South Dakota Framework for Effective Principals* is a comprehensive description of what it looks like to be an effective school leader. All domains and performance components within the Framework are valuable, and ideally would all be considered in the evaluation process. For public school districts in which consideration of the full Framework is not immediately achievable, the CTL recommends basing professional practice evaluations on a minimum of eight components, including at least one in each domain of professional practice. In order to assist public school districts in selecting appropriate components, a comparison between the *South Dakota Framework for Effective Principals* and the *South Dakota Framework for Teaching* is available at http://doe.sd.gov/secretary/documents/PrinTeach.pdf.

## Recommended Method to Determine the Professional Practice Rating

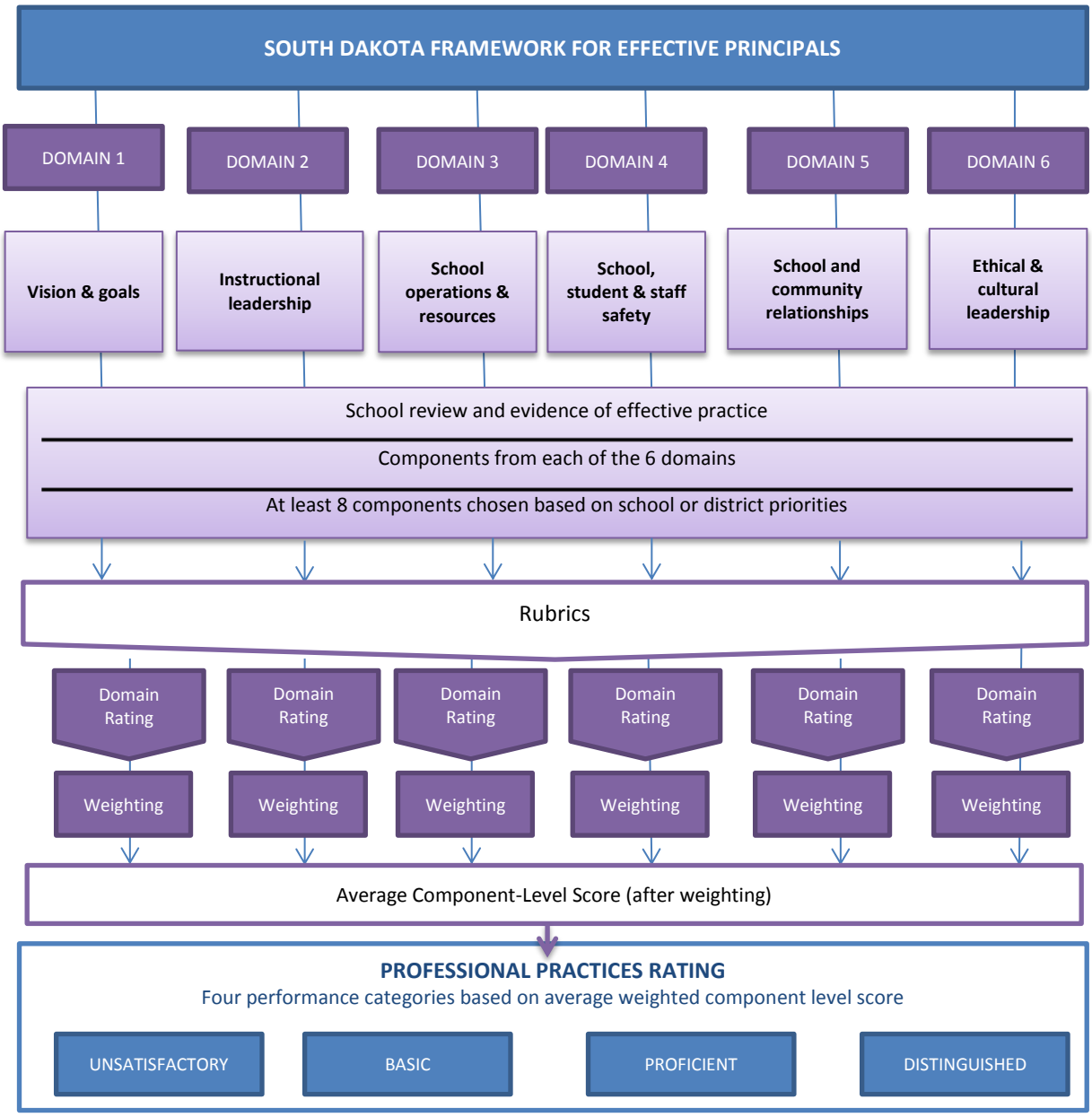
The Professional Practice Rating (Figure 3) represents overall performance across all evaluated domains and is categorized into one of four levels of performance: (4) *Distinguished*, (3) *Proficient*, (2) *Basic*, or (1) *Unsatisfactory*. A principal's overall Professional Practice Rating represents an aggregate of performance on all evaluation domains. The Principal Evaluation Workgroup recommends weighting domains to more heavily prioritize those aspects of a principal's duties focused on instructional leadership. The weighting system is explained in Figure 9 on page 23.

Principal evaluation is guided by components-based rubrics (Appendix G) and supported by evidence gathered by both the evaluator and the principal. Once component-level performance is determined, the evaluator uses a three-step process to assign an overall Professional Practice Rating of (4) *Distinguished*, (3) *Proficient*, (2) *Basic*, or (1) *Unsatisfactory.*

Figure 3: Performance Descriptors

| Level of Performance | Description |
|---|---|
| *Distinguished* | Principal performance is exemplary. Principal is sought out by others as an expert and good example of a school leader. Principal makes contributions to education both in and outside the district. Principals are not expected to sustain this level of performance; rather this category is for exceptional performance. |
| *Proficient* | Principal performance is average and above. Principal has mastered the work of the position and is continually improving in his or her work. Most experienced principals may fall into this category. |
| *Basic* | Principal performance is developing but may be sporadic and not completely successful. Performance at this level is characteristic of someone in the first four years of an appointment. Principal is in need of professional support to improve practice. |
| *Unsatisfactory* | Principal performance is unacceptable. Principal exhibits critical gaps in knowledge base. The principal needs to take immediate action to improve performance. Performance at this level may necessitate a plan of assistance. |

Figure 4: Determining a Professional Practice Rating for Principals



## Using Standards-Based Rubrics to Evaluate Performance

A collection of standards-based rubrics provides detailed definitions of all domains and performance components of professional practice outlined by the *South Dakota Framework for Effective Principals*. Each rubric describes the behaviors and actions present at each level of performance. Rubrics and their descriptors are known in advance and help focus principals on learning, understanding, and demonstrating the skills and knowledge expected in each of the domains.

Evaluators should use rubrics when observing and evaluating principals. These rubrics are considered a tool to foster constructive feedback and dialogue between the principal and evaluator about expectations and how to improve practice. See Appendix G for the *South Dakota Framework for Effective Principals* rubrics.

## Rubric Construction

Each rubric includes descriptors that describe performance as a continuum across four levels of performance: (4) *Distinguished*, (3) *Proficient*, (2) *Basic*, and (1) *Unsatisfactory*. Evaluators should use the standards-based rubrics to determine a level of performance for each component evaluated.

Figure 5: Deconstructing the Rubric

**Component 2.2 – Involvement in Curriculum, Instruction, and Assessment.** *An effective principal/assistant principal leads and supports staff in acquiring, planning, and implementing research-based instructional strategies and technologies that advance the school's vision and goals and meet the diverse needs of all students.*

Component

| Unsatisfactory/Not Evident | Basic | Proficient | Distinguished |
|---|---|---|---|
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | € The principal, teachers, and/or students establish rigorous measureable goals for improving the learning of every student. | € The principal systematically monitors the progress of student learning using data to include formative and common assessments. | and…<br>€ The principal leverages the schools leadership team to analyze multiple data sources to refine ongoing CIA improvement priorities. |

Ratings

Descriptors

## Categorical Performance Ratings

The chart below details the four categorical performance ratings embedded into the principal professional practice performance rubrics.

Figure 6: Rating Descriptors

| Ratings | Rating Descriptors |
|---|---|
| *Unsatisfactory* | Principal does not meet the performance standard as defined in the six domains. Evaluator narrative is required. **Note**: *If a leader does not meet the "Basic" level of performance, described in Scoring the Rubric, the evaluator must provide a narrative (succinct and specific) as to the knowledge and skill required to be at a "Basic" level of performance.* |
| *Basic* | Principal does not meet the performance standard as defined in the six domains but is demonstrating progress toward meeting the standard. |
| *Proficient* | Principal meets performance standard as defined in the six domains. |
| *Distinguished* | Principal exceeds performance standard as defined in the six domains. |

## Scoring the Rubric

The rubrics are scored in a cumulative and additive fashion. This type of scoring accomplishes two purposes:

- Provides consistency in scoring among evaluators; and
- Identifies specific areas of improvement for the development of professional growth goals.

For a principal to receive a rating on a rubric, he/she must have the majority of the boxes checked in that categorical rating and the majority of the boxes checked in the previous categorical ratings.

Figure 7: Reading the Rubric

| **Component 2.2 – Involvement in Curriculum, Instruction and Assessment.** *The principal/assistant principal leads and supports staff in acquiring, planning and implementing research-based instructional strategies that advance the school's vision and goals and meet the diverse needs of all students.* | | | |
|---|---|---|---|
| Unsatisfactory | Basic | Proficient | Distinguished |
| *Principal does not meet the performance standard.* ***Evaluator narrative is required.*** | *Principal does not meet the performance standard but is demonstrating progress toward meeting standard.* | *Principal meets performance standard.* | *Principal exceeds state standard.* |
| Narrative: | ✓ Establishes rigorous but measurable goals for improving the learning of every student.<br>✓ Actively involved in the implementation of a research-based instructional model.<br>✓ Utilizes existing structures within the school to provide planning time and professional development on the implementation of best-practice curriculum design, instruction, and assessment development (CIA).<br>.<br>✓ Develops a master schedule that includes appropriate time for teacher planning and professional development. | and…<br>✓ Systematically monitors the progress of student learning using data, including; formative and common assessments.<br>☐ **Monitors and evaluates the fidelity of implementing research-based instructional strategies through clearly defined protocols for collecting, analyzing and reporting data.**<br>✓ Develops and executes a specific and targeted plan for CIA professional development for instructional staff informed by teacher evaluation, student achievement and other applicable data sources. | and…<br>☐ Leverages the schools leadership team to analyze multiple data sources to refine ongoing CIA improvement priorities.<br>☐ Adds value to the district by exemplifying continued professional growth and collaborating with colleagues by sharing work that yields high measures of teacher and student productivity. |

# EVALUATION PROCESS

## Evaluating Professional Practice through Formative Reviews and Collaboration

Professional practice should be evaluated over the course of an entire school year through ongoing reviews of a principal's performance. The evaluation should consider the principal's duties and responsibilities as outlined in the job description, effectiveness as a building manager, and overall competence as an instructional leader for students and teachers in the school. The overall evaluation should result in a list of the principal's strengths and weaknesses with supporting reasons for both and should be used to set concrete goals and trajectories for professional development in the upcoming school year.

Prior to any reviews being conducted, the principal and evaluator should engage in a pre-review conference. A *pre-review conference* provides the evaluator and principal time to discuss the upcoming review, including any objectives, current challenges, school improvement efforts, assessment tools, and instructional leadership and teacher evaluation occurring. The principal and evaluator should meet to establish metrics and targets for school growth, professional practice, and establish professional growth goals based upon the results of the performance evaluation conducted in the previous school year.

A minimum of two and as many as five *formative reviews/collaborations* should be conducted during the first four years of a principal's tenure at a school, and at least once every other year thereafter. Each review will be conducted on-site and should cover enough time to observe a principal in multiple facets of the work. These reviews should be conducted by the principal's evaluator and include structured conversations before and after the review takes place. These conversations should be scheduled in advance of the review and include at least one objective (related to the selected component(s) for evaluation) and should include a review of the principal's interactions and activities during a typical workday. This can include workdays in which the principal is contracted to work, but students are not present. At least one formative review conducted should include the observation of a leadership team meeting.

A *post-review conference* should occur within ten working days of the formative review. This conference is an opportunity for reflection, analysis, and professional dialogue between the evaluator and the principal about effective strategies that support teaching, learning, and school improvement.

Some formative reviews may be unannounced. These reviews should be at least 15 minutes in length and result in feedback to the principal. Evidence gathered via these unannounced reviews may be included in the evaluation as long as the evidence is documented in writing. This documentation should be shared with the principal within ten working days of the review.

### Recommended Review Schedule for New Principals in Years One Through Four of Employment

- Between two and five formative reviews/collaborations of professional practice per school year, including at least one staff meeting; reviews should take place throughout the school year.

### Recommended Review Schedule for Principals with 4 or More Years of Experience

- Between one and four formative reviews/collaborations of professional practice per school year; reviews should take place throughout the school year.

## Evaluating Professional Practice through Evidence Provided by Artifacts

Evaluations based on the *South Dakota Framework for Effective Principals* also require the consideration of evidence that cannot be collected through on-site observation. Components that are not observable must be supported by the collection of artifacts.

*Artifacts* are documents, materials, processes, strategies, and other information that demonstrate performance relative to a standard of professional practice and that support a principal's work. Artifacts are generally written records of a principal's work (e.g., the school improvement plan, the master schedule, coaching records, teacher evaluation reports, etc.). In many cases, these artifacts will stem from a principal's day-to-day work. Principals will not be required to create separate documentation specifically to support the evaluation process. Figure 8 presents some artifacts that might be used and indicates some of the domains of professional practice to which the artifacts may relate.

### Assembling Artifacts in a Principal Portfolio

To ensure expectations are established and artifact collection is focused, evaluators and principals should discuss during the beginning of the year pre-evaluation meeting which artifacts will be used to support the evaluation. Figure 8 displays a list of artifacts and how each could support domains of professional practice as outlined in the *South Dakota Framework for Effective Principals*. This is not intended to be a comprehensive list, but is intended to give evaluators and principals a starting point to discuss the type of evidence to be collected as artifacts of effective professional practice.

All evidence collected to support non-observable components of professional practice should be collected in a comprehensive portfolio. Assembling artifacts for the portfolio is the responsibility of the principal, but evidence collection should be focused and based upon a common understanding of appropriate evidence sources. To start the school year, a principal's portfolio should include items that help the principal and evaluator establish goals and trajectory for the school year. At a minimum, the portfolio should start out with a job description for the principal, results of the prior year's performance evaluation process, a school's SPI scores and AMO targets, and the principal's current professional growth plan. A principal should add artifacts to his/her portfolio throughout the evaluation period.

Figure 8: Artifacts Aligned to the South Dakota Principal Domains

| Artifacts | I. Vision, Mission and Goals | II. Instructional Leadership | III. Operations/ Resources | IV. Student and Staff Safety | V. School and Community Relationships | VI. Ethical and Cultural Leadership |
|---|---|---|---|---|---|---|
| School vision and mission statements | X | | | | | |
| School goals | X | | | | | |
| Progress on school goals | X | X | | | | |
| Stakeholder surveys (parents, teachers, students, community) | X | X | X | X | X | X |
| School improvement plans | X | X | | | | |
| Minutes of planning sessions | X | X | X | X | X | |
| Progress on school improvement plans | X | X | X | X | X | |
| Formative reviews | | X | | X | X | X |
| School/staff meeting agendas | X | X | X | X | X | |
| Goal setting statements | X | X | | | | |
| Student Learning Objectives developed by teachers and principals | X | X | | | | |
| Data notebooks/data retreats | | X | | | | |
| Teacher action research | | X | | | | |
| Records of involvement in professional organizations and activities | | X | | | | |
| Staffing plans | | | X | | | |
| Teacher lesson plans | | X | | | | |
| Schedules and meetings of professional learning communities | X | X | | | | |
| Curriculum maps aligned to domains | | X | | | | X |
| Changes in curriculum and instruction based on student data | | X | | | | |
| Documentation of instructional practices used in the school | | X | | | | X |
| Teachers' professional learning opportunities aligned to teacher domains | | X | X | | | |
| Hiring calendar and process | | | X | | | |
| School budget | | | X | | | |
| Teacher turnover rates | | | X | | | |
| Completed teacher evaluations | | | X | | | |
| Teacher professional growth plans | | | X | | | X |
| Community partnerships and their outcomes | | | | | X | X |
| Estimated community resources leveraged by the school | | | | X | X | |
| Public services supported by the school | | | X | X | X | |
| Parent and student handbooks | X | | | X | | |
| Communication logs and other feedback | | | | | X | |
| Discipline referrals | X | | | X | | |
| Parent newsletters | | | | | X | |
| Parent Organization/association rosters | | | | | X | |
| Family engagement in school-based activities | | | | | X | |
| School Web-site | X | X | X | | X | |
| Mentoring/Internship | | X | | | X | |
| Principal professional growth plan | | X | X | X | X | |
| Media Relations | | | | | X | |

- Artifacts may relate to additional domains beyond those identified on this table.

## Scoring Performance and Calculating the Professional Practices Rating

After using standards-based rubrics to determine principal performance for each component evaluated, the evaluator must determine an overall Professional Practice Rating. The CTL recommends a three-step process to score, calculate, and determine a principal's summative performance relative to the *South Dakota Framework for Effective Principals*. Each of the three steps is described below.

### *Step 1: Score Component-Level Performance*

Point values are assigned to performance for each component evaluated: a *distinguished* rating is assigned four points; a *proficient* rating is assigned three points; a *basic* rating is assigned two points; and an *unsatisfactory* rating is assigned one point.

### Step 2: Determine Domain-Level Performance Ratings

The following series of Figures (Figures 8.1 – 8.6) illustrate the process of scoring professional practice performance, and determining the domain-level rating. This example is based on an evaluation of all 22 components. Public school districts using less than the full Framework should make modifications to this process to accommodate accurate scoring of domain-level performance. Evaluators should use the standards-based rubrics to determine the rating.

Figure 8.1: Domain 1 Performance Rating Example

| **DOMAIN 1: VISION AND GOALS** | | | | | | |
|---|---|---|---|---|---|---|
| | Unsatisfactory | Basic | Proficient | Distinguished | | Points |
| | (1 point) | (2 points) | (3 points) | (4 points) | | |
| 1.1: Shared Vision for School and Student Success | | | ✔ | | | 3 |
| 1.2: Reviewing and Monitoring for School Improvement | | | | ✔ | | 4 |
| Total Points | | | | | | 7 |
| 2 points = Unsatisfactory; 3-4 points = Basic<br>5-6 points = Proficient; 7-8 points = Distinguished | | | DOMAIN 1 PERFORMANCE<br>**DISTINGUISHED** | | | |

Figure 8.2: Domain 2 Performance Rating Example

| DOMAIN 2: INSTRUCTIONAL LEADERSHIP | | | | | | |
|---|---|---|---|---|---|---|
| | Unsatisfactory | Basic | Proficient | Distinguished | | Points |
| | (1 point) | (2 points) | (3 points) | (4 points) | | |
| 2.1: Effective use of data to support instruction | | | ✔ | | | 3 |
| 2.2: Involvement in Curriculum, Instruction, and Assessment | | | | ✔ | | 4 |
| 2.3: Distributed Leadership | | ✔ | | | | 2 |
| 2.4: Monitoring and Evaluating Standards and Content | | | ✔ | | | 3 |
| 2.5: Continuous Improvement | | | ✔ | | | 3 |
| Total Points | | | | | | 15 |
| 5-7 points = Unsatisfactory; 8-12 points = Basic<br>13-17 points = Proficient; 18-20 points = Distinguished | | | DOMAIN 2 PERFORMANCE<br>**PROFICIENT** | | | |

Figure 8.3: Domain 3 Performance Rating Example

| DOMAIN 3: SCHOOL OPERATIONS AND RESOURCES | | | | | | |
|---|---|---|---|---|---|---|
| | Unsatisfactory | Basic | Proficient | Distinguished | | Points |
| | (1 point) | (2 points) | (3 points) | (4 points) | | |
| 3.1: Operational Procedures | | | ✔ | | | 3 |
| 3.2: Shared Leadership | | | ✔ | | | 3 |
| 3.3: High Quality Teachers | | ✔ | | | | 2 |
| 3.4: Challenges and Opportunities | ✔ | | | | | 1 |
| Total Points | | | | | | 9 |
| 4-5 points = Unsatisfactory; 6-9 points = Basic<br>10-13 points = Proficient; 14-16 points = Distinguished | | | DOMAIN 3 PERFORMANCE<br>**BASIC** | | | |

Figure 8.4: Domain 4 Performance Rating Example

| DOMAIN 4: SCHOOL, STUDENT, AND STAFF SAFETY | | | | | | |
|---|---|---|---|---|---|---|
| | Unsatisfactory | Basic | Proficient | Distinguished | | Points |
| | (1 point) | (2 points) | (3 points) | (4 points) | | |
| 4.1: Safe Environment | | | ✔ | | | 3 |
| 4.2: Clear and Consistent Expectations | ✔ | | | | | 1 |
| 4.3: Student Behavior Management | | ✔ | | | | 2 |
| 4.4: Conflict Resolution | | | ✔ | | | 3 |
| Total Points | | | | | | 9 |
| 4-5 points = Unsatisfactory; 6-9 points = Basic<br>10-13 points = Proficient; 14-16 points = Distinguished | | | DOMAIN 4 PERFORMANCE<br>**BASIC** | | | |

Figure 8.5: Domain 5 Performance Rating Example

| DOMAIN 5: SCHOOL AND COMMUNITY RELATIONSHIPS | | | | | | |
|---|---|---|---|---|---|---|
| | Unsatisfactory | Basic | Proficient | Distinguished | | Points |
| | (1 point) | (2 points) | (3 points) | (4 points) | | |
| 5.1: Culture of Family/Community Collaboration and Involvement | | | ✔ | | | 3 |
| 5.2: Two Way Communication with Internal and External Audiences | | | | ✔ | | 4 |
| 5.3: Culture of Dignity, Fairness, and Respect | | | ✔ | | | 3 |
| 5.4: Active Involvement with the Community | | | ✔ | | | 3 |
| Total Points | | | | | | 13 |
| 4-5 points = Unsatisfactory; 6-9 points = Basic<br>10-13 points = Proficient; 14-16 points = Distinguished | | | DOMAIN 5 PERFORMANCE<br>**PROFICIENT** | | | |

Figure 8.6: Domain 6 Performance Rating Example

| DOMAIN 6: ETHICAL AND CULTURAL LEADERSHIP | | | | | | |
|---|---|---|---|---|---|---|
| | Unsatisfactory | Basic | Proficient | Distinguished | | Points |
| | (1 point) | (2 points) | (3 points) | (4 points) | | |
| 6.1: Sensitivity to Diversity and Cultural Differences | | | ✔ | | | 3 |
| 6.2: Modeling Values, Beliefs, and Attitudes | | | | ✔ | | 4 |
| 6.3: South Dakota Code of Ethics | | ✔ | | | | 2 |
| Total Points | | | | | | 9 |
| 3 – 4 points = Unsatisfactory; 5-7 points = Basic<br>8-10 points = Proficient; 11-12 points = Distinguished | | | DOMAIN 6 PERFORMANCE<br>**PROFICIENT** | | | |

**Step 3: Apply Weights to Domain-Level Ratings and Assign an Overall Professional Practice Rating**

The average component-level score is used to assign a Professional Practice Rating of *Unsatisfactory, Basic*, *Proficient*, or *Distinguished*. Per the recommended method, the domain scores should be weighted as presented in Figure 9 to calculate a final Professional Practice Rating.

Figure 9: Recommended Domain Weights

| Domain | Weight |
|---|---|
| Domain 1. Vision, Mission and Goals | 10 |
| Domain 2. Instructional Leadership | 30 |
| Domain 3. School Operations and Resources | 10 |
| Domain 4. School, Student and Staff Safety | 20 |
| Domain 5. School and Community Relationships | 20 |
| Domain 6. Ethical and Cultural Leadership | 10 |
| TOTAL | 100% |

Figure 10 uses the domain ratings above to help determine a final Professional Practices Score:

Figure 10: Final Professional Practices Rating Example

| **Calculating a Final Professional Practices Rating** | | | | | | |
|---|---|---|---|---|---|---|
| | Unsatisfactory | Basic | Proficient | Distinguished | Weight | Points |
| | (1 point) | (2 points) | (3 points) | (4 points) | | |
| Domain 1: Vision and Goals | | | | ✔ | 10% | 0.4 |
| Domain 2: Instructional Leadership | | | ✔ | | 30% | 0.9 |
| Domain 3: School Operations and Resources | | ✔ | | | 10% | 0.2 |
| Domain 4: School, Student, and Staff Safety | | ✔ | | | 20% | 0.4 |
| Domain 5: School and Community Relationships | | | ✔ | | 20% | 0.6 |
| Domain 6: Ethical and Cultural Leadership | | | ✔ | | 10% | 0.3 |
| Total Points | | | | | | 2.8 |
| 0-1.49 points = Unsatisfactory; 1.5-2.49 points = Basic<br>2.5-3.49 points = Proficient; 3.5-4.0 points = Distinguished | | | | FINAL RATING<br>**PROFICIENT** | | |

# Evaluation of School Growth

Improving student achievement is at the core of the educational process. In addition to assessing principal's performance on the domains and components, the CTL subgroup recommends that a significant factor of the principal's performance be based on results of student achievement and school growth measures.

*Student growth* is defined as a positive change in student achievement between two or more points in time. Using a measure of student growth – as opposed to using only student achievement results from a single test delivered at a single point in time – is more reflective of the impact an individual teacher or principal has on student learning. A Summative Principal Effectiveness Rating must be based in part upon evidence of student growth.

## State Requirements for Measuring School Growth

According to the requirements stipulated in the ESEA flexibility waiver, quantitative measures of school growth must be one "significant factor" in determining Principal Effectiveness. The state summative assessment must be used as a measure of school growth.

## Recommended Growth Measure: School-Level AMOs or SPI

Because the AMOs and SPI utilize state assessments, and are used to paint a picture of student performance and growth at the school level, they must account for at least 25 percent of a principal's School Growth Rating. This measure requires the principal, in cooperation with district superintendents or their designees, to set school-level growth goals based on the SPI, AMOs, and/or progress narrowing the achievement gap.

Progress towards meeting school-level AMOs and the results of the SPI calculation must account for at least 25 percent of a School Growth Rating. While AMOs focus more on student summative assessment data, the larger SPI calculation takes into account other academic indicators that are key factors in school growth and development: school growth and attendance at the elementary and middle school levels; and, high school completion and college and career readiness at the high school level.

### Annual Measurable Objectives (AMOs)

South Dakota has set unique school-level, district-level and state level goals based on the goal of reducing by half the percentage of students in the "all students" group and in each subgroup, including the newly created gap and non-gap groups, who are not proficient within six years. AMOs are set separately for the all students, gap, and non-gap groups as well as for all other subgroups.

AMOs are set separately for reading/language arts and math. An evaluator and principal should begin the evaluation cycle by looking at a school's AMOs and evaluating school progress towards meeting these. The most recent AMOs can be found in the school report card. School report cards can be accessed via South Dakota STARS or pdf versions are located on the DOE website at http://doe.sd.gov/reportcard/listnew/.

### School Performance Index (SPI)

South Dakota's new accountability system is based on a 100-point index, called the School Performance Index (SPI). The SPI consists of the five key indicators with a numeric value assigned to each of the indicators. These values are added to create a total SPI score out of 100 points.

Two distinct indexes will be used: 1) one for high School (secondary) accountability, and 2) one for elementary and middle school (pre-secondary) accountability.

### Calculating School Growth Rating for SPI and AMO Measures

Because SPI and AMO targets address different dimensions of student performance, it is important that evaluators and principals set realistic goals surrounding both areas. It is required that these accountability measures comprise 25 percent of principal's final School Growth Rating. In cases where a principal is new and does not have data to support this type of School Growth Rating, principals should use accountability data from prior years to help set appropriate goals and trajectories for the current year. Often this analysis occurs during the annual data retreats that are conducted by school leadership teams. The following is a recommended method of assigning a performance category based on the AMO and SPI targets for the prior year.

Figure 11: Assigning Growth Based on SPI or AMO Targets

| PERFORMANCE CATEGORY | DESCRIPTION |
|---|---|
| Low Growth | A school did not meet either AMO or SPI target. |
| Expected Growth | A school met either one or both of AMO or SPI targets. |
| High Growth | A school met and significantly exceeded the AMO or SPI targets. |

## Recommended Growth Measure: Student Learning Objectives

Given the limited grade and subject scope of current and forthcoming state assessments, it is necessary to identify a common process for evaluating school growth for the broad range of teachers. Within that context, the CTL recommends a collaborative goal-setting process between the principal and teacher to establish Student Learning Objectives, or SLOs, to measure student growth. The teacher's final Student Growth Rating is determined by the degree to which his/her goal(s) are attained and the principal's School Growth Rating is determined by the degree to which he/she provided the leadership and support for teachers to create growth in the classroom.

A Student Learning Objective is a teacher-driven goal or set of goals that establish expectations for student growth over a period of time. The specific, measurable goals must be based on baseline data and represent the most important learning that needs to occur during the instructional period. SLOs are aligned to applicable state standards or national standards, and should also reflect school or district priorities.

The development of SLOs provides teachers and principals a flexible framework to establish ambitious, yet achievable student growth goals. Sources of evidence used to measure student growth using the SLO approach vary widely, and can include common assessments, such as standardized tests or end-of-course exams, teacher-specific measures such as performance demonstrations, and portfolios of student work. SLO goals can be established for an entire class, for subsets of students, or may be based on goals established by districts, schools, or professional learning communities.

States and districts that have employed SLOs as a measure of student growth have found that the process, when done well, provides teachers with the opportunity to take ownership in establishing student growth goals that are truly authentic and relevant to daily classroom instruction. Though SLOs provide the benefit of flexibility, successful implementation can be aided by establishing guidelines that apply a basic structure to SLO development.

SLOs are recommended to be weighted at 75 percent of a principal's School Growth Rating. This quantifies the impact a principal has on leading teachers through the process of establishing and accomplishing SLOs. For comprehensive guidance on the implementation of SLOs, refer to the South Dakota Student Learning Objectives Handbook at the following URL: http://doe.sd.gov/oatq/documents/SLObook-D.pdf.

## Recommended Method to Determine the Principal's SLO Rating

Paralleling the evaluation of the teacher, a principal's School Growth Rating should be assigned a growth component based on the success his or her teachers had in meeting their SLOs. Once SLOs have been established and student growth has been measured between two points in time, a principal's School Growth Rating should be assigned based on the extent to which his or her teachers have attained their goals.

Figure 12: School Growth Performance Categories for Principals

| PERFORMANCE CATEGORY | DESCRIPTION |
|---|---|
| Low Growth | Less than 80 percent of teachers attained expected student growth on SLOs. |
| Expected Growth | 80 to 90 percent of teachers attained expected student growth on SLOs. |
| High Growth | 91 to 100 percent of teachers attained expected growth on SLOs |

## Other Measures of School Growth

Public school districts may choose to add other measures of school growth into the principal evaluation process. These measures should be set between the principal and the evaluator and should be clearly aligned to school and district priorities. Evidence of progress towards school growth goals should be clearly tracked as part of the principal's portfolio.

Figure 13: Recommended Method of Determining the School Growth Rating

| **Calculating a Final School Growth Rating** | | | | | |
|---|---|---|---|---|---|
| | Low | Expected | High | Weight | Points |
| | (1 points) | (2 points) | (3 points) | | |
| SLO Growth Score | | | ✔ | 75% | 2.25 |
| AMO and/or SPI growth Score | | ✔ | | 25% | .5 |
| Other District decided measures of growth if applicable | | | | *decided at district level | |
| Total Points | | | | Weights should total 100% | 2.75 |
| 1 -1.49 points = Low<br>1.5-2.49 points = Expected<br>2.5-3 points = High | | | | FINAL RATING<br>**HIGH** | |

# Summative Principal Effectiveness Ratings

Determining Summative Principal Effectiveness Ratings demonstrates the connection between professional practice and school growth. Once evaluations of professional practice and school growth have occurred, the separate ratings are combined into a Summative Principal Effectiveness Rating that categorizes overall principal performance.

## Summative Principal Effectiveness Rating Requirements

South Dakota public school districts are required to combine measures of professional practice and school growth to differentiate principal performance into one of three categories: *Below Expectations*, *Meets Expectations*, or *Exceeds Expectations*. Principal performance data will be reported to the SD DOE using the Personnel Record Form (PRF) database.

## Recommended Summative Principal Effectiveness Rating Matrix

To combine the Professional Practice Rating and School Growth Rating to form the Summative Principal Effectiveness Rating, the CTL recommends the use of a Summative Rating Matrix (Figure 14) that differentiates Principal Effectiveness into one of the three required performance categories. The Matrix is informed first (columns) by a principal's professional practice performance measured against the South Dakota Framework for Effective Principals, and, second (rows) by a principal's school growth performance as measured by AMO's, SPI, and SLOs.

Figure 14: Summative Principal Effectiveness Rating Matrix and Performance Categories

**PROFESSIONAL PRACTICE RATING**

| **SCHOOL GROWTH RATING** | UNSATISFACTORY | BASIC | PROFICIENT | DISTINGUISHED |
|---|---|---|---|---|
| HIGH GROWTH | ✪ | ✪ | | |
| EXPECTED GROWTH | | | | |
| LOW GROWTH | | | ✪ | ✪ |

| **SUMMATIVE PRINCIPAL EFFECTIVENESS RATING CATEGORIES** | |
|---|---|
| | EXCEEDS EXPECTATIONS |
| | MEETS EXPECTATIONS |
| | BELOW EXPECTATIONS |
| ✪ | PROFESSIONAL JUDGMENT AND POLICY REVIEW |

Individual principal evaluation results are legally protected as personnel information and are not subject to South Dakota's public records laws (SDCL 13-42-70).

## Using a Matrix Model to Determine Principal Effectiveness Ratings

The recommended summative matrix model does not rely on uniform, prescriptive formulas to calculate a Summative Principal Effectiveness Rating. Instead, the matrix guides the assignment of the Summative Principal Effectiveness Rating while providing opportunities for professional judgment to be exercised.

Professional Practice and School Growth Ratings are represented in the columns and rows of the matrix. The Summative Principal Effectiveness Rating, determined by the intersection of the two individual ratings, translates into one of three required performance categories.

## Prioritizing Evaluations of Professional Practice

Given the body of research and empirical evidence supporting the rigorous professional domains outlined in the *South Dakota Framework for Effective Principals*, the Summative Rating Matrix prioritizes professional practices evaluations as the measure most likely to promote advancements in instructional practices and improved student learning.

The physical construction of the recommended Summative Rating Matrix reflects the emphasis placed on professional practice evaluations. By design, the fact that there are four Professional Practice Rating categories – compared to three possible School Growth Rating categories – assigns greater weight to evaluations of professional practice. A closer examination of all 12 areas of intersection further reinforces the priority placed on professional practice evaluations. **For example, a principal earning a Professional Practice Rating of *Proficient* or *Distinguished* is, by default, assigned a Summative Principal Effectiveness Rating of at least *Meets Expectations*.**

## School Growth as One Significant Factor

The design of the recommended Summative Rating Matrix assigns significance to school growth measures while maintaining focus on evaluations relative to the *South Dakota Framework for Effective Principals*. School growth remains a key piece of the system, as no educator receiving the lowest growth rating can receive the highest overall rating within the system.

## Exercising Professional Judgment to Adjust Principal Effectiveness Ratings

The recommended Summative Rating Matrix embeds opportunities for professional judgment to play a role in the assignment of a Summative Principal Effectiveness Rating. In the four areas in which one rating is very high and another rating is very low (denoted by the ✪ symbol in Figure 14), individual ratings are reviewed to ensure that rating is fair and accurate based on all evidence collected. The principal and evaluator may agree that additional evidence may be required and Summative Principal Effectiveness Ratings can be adjusted if it is determined that the Summative Principal Effectiveness Rating misrepresents principal performance.

## Embedded Review of the Overall Evaluation System

The same instances that prompt a review of a Summative Principal Effectiveness Rating (denoted by the ✪ symbol in Figure 14) also provide opportunity to review evaluation policies and procedures outside the context of an individual principal evaluation. The focused policy review is used to determine why a large gap between professional practice and school growth performance exists and what, if anything, needs to be corrected within the evaluation system. Public school districts will be required to identify the number of times professional judgment was used to change an evaluation.

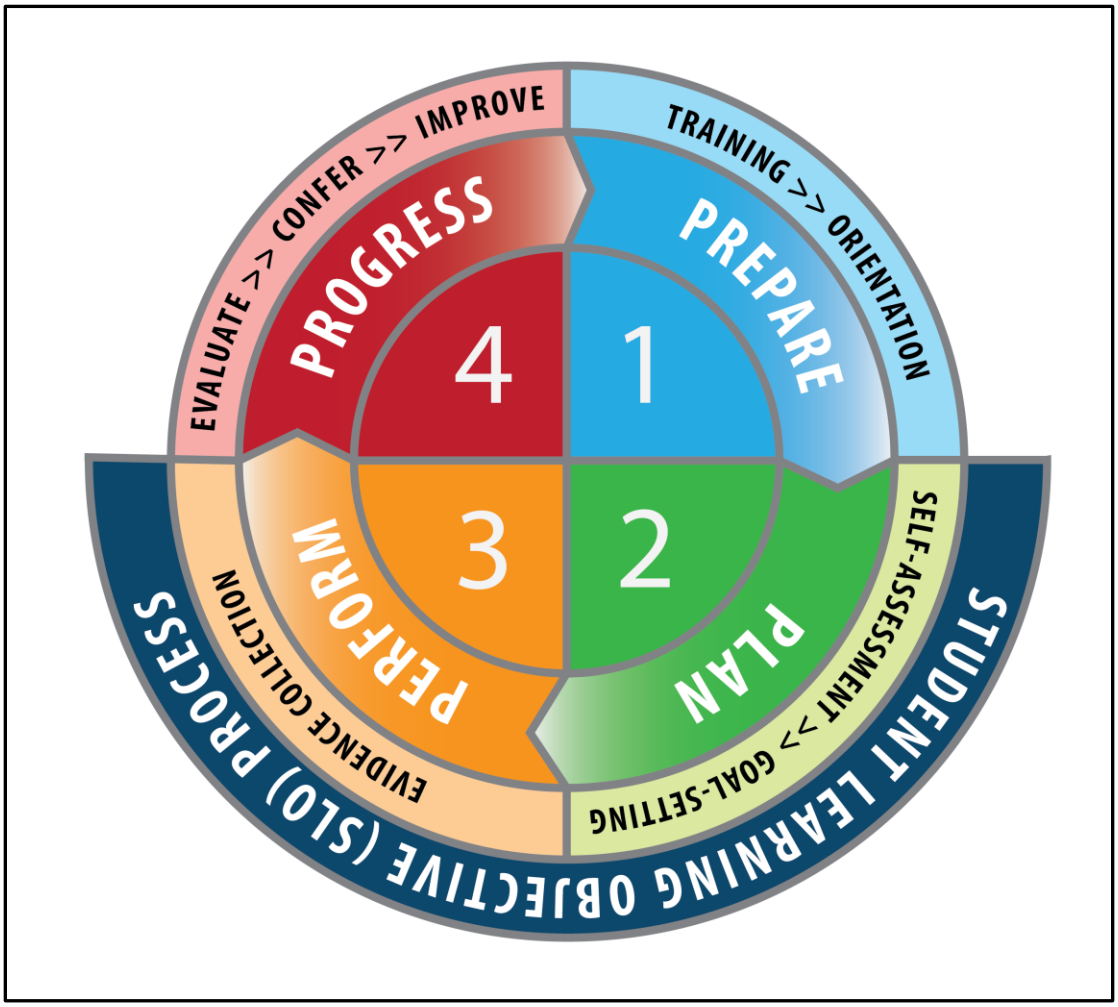
# Recommended Evaluation Process

The South Dakota Evaluation and Professional Growth Process represents a collection of recommended practices to operationalize the South Dakota Principal Effectiveness Model. The annual process engages principals and their evaluators in thoughtful, deliberate discussions designed to improve leadership, instruction and student learning.

## Recommended Evaluation Cycle: An Annual Four-Step Appraisal Process

The Principal Evaluation Workgroup proposes a Four-Phase Cycle of Continuous Improvement designed to have principals play an active, engaged role in their professional growth and development. Like the South Dakota Teacher Effectiveness System, the process begins with a self-assessment and concludes with summative evaluation and rating of impact on student learning. It is also a continuous improvement process in which evidence from the summative evaluation and rating of impact on school growth become important sources of information for the principal's self-assessment and the school's subsequent goal setting. Figure 15 below shows this continuous improvement cycle.

Figure 15: South Dakota's Recommended Evaluation and Professional Growth Process



### Phase 1: Prepare

In the Prepare phase (Figure 16) of the evaluation cycle, principals and evaluators are trained and oriented to the evaluation system. The steps in the Prepare Phase are crucial to ensuring comprehension of evaluation procedures and shared understanding of expectations. The two steps are ideally completed within the first month of the school year. During the Prepare phase after year one, principals will take some of this time to attend to professional development activities that are part of the growth plan generated at the end of the prior evaluation cycle.

Figure 16: The Prepare Phase of the Evaluation Cycle

| | | |
|---|---|---|
| Prepare | STEP ONE<br>TRAINING | 1. Principals and evaluators are trained on the *South Dakota Framework for Effective Principals* and how principal domains are used as the basis for professional practice evaluation.<br>2. Evaluators are trained on how to conduct observations that support the professional practice portions of the evaluation.<br>3. Teachers and principals are trained on how to develop SLOs and how student growth factors into the evaluation. |
| | | |
| | STEP TWO<br>ORIENTATION | 1. All staff impacted by the evaluation system collectively review the evaluation system to ensure all staff have sufficient knowledge to actively participate in the evaluation process. |

### Phase 2: Plan

The Plan phase (Figure 17) of the evaluation cycle asks principals, in consultation with the school's leadership team, to conduct a self-assessment. This assessment should then be used to help inform discussion at a goal setting conference with the superintendent or evaluator.

**Self-Assessment.** In consultation with the school's leadership team, the principal conducts a self-assessment using the performance standards and accompanying rubrics within the effectiveness Framework, data about student learning, past progress on school goals (when available), the prior year's evaluation and rating (when available), and other relevant evidence. Based on that assessment, the principal identifies goals to propose to the superintendent/evaluator. Goals can focus on professional practice, student learning, and school improvement.

**Analysis, Goal Setting, and Plan Development.** The principal meets individually with the superintendent or superintendent's designee to discuss the results of the self-assessment, including the proposed goals. The principal and superintendent/designee develop the principal's plan. The plan can include the goals, key strategies, benchmarks of progress, and timelines. It also outlines the evidence that will be used to complete the evaluation process that ultimately determines the principal's performance ratings on each standard, as well as the rating of impact on school growth. Addressing selected components at agreed upon points throughout the school year rather than all at once at mid-cycle or conclusion of year will make the process more manageable (i.e. school safety at the beginning of the year to correspond with opening of school and establishment of school climate).

Figure 17: The Plan Phase of the Evaluation Cycle

| | | |
|---|---|---|
| Plan | STEP THREE<br>SELF-ASSESSMENT | 1. Each principal assesses his/her professional practice and analyzes the learning, growth, and achievement results of his/her school.<br>2. Principal prepares both professional practice and school growth goals for the year. |
| | | |
| | STEP FOUR<br>GOAL-SETTING CONFERENCE | 1. Principal meets with evaluator to review self-assessment and jointly analyze school growth and professional practice goals.<br>2. Principal and evaluator agree on goals for both professional practice and school growth.<br>3. Principal and evaluator discuss the evidence necessary to support the professional practice and school growth goals.<br>4. Goals are approved. |

## Phase 3: Perform

The Perform phase (Figure 18), the lengthiest of the four phases, involves the collection of evidence that supports both professional practice and school growth. The principal should implement the plan set forth in the goal setting conference and should begin collecting evidence. Formative reviews/collaborations of professional practice, including pre- and post-review conferences, are conducted throughout the evidence collection period. Artifacts that demonstrate performance on non-observable components of professional practice are collected and principals gather quantitative data that demonstrates performance relative to school growth. Evidence collection concludes when all applicable evidence is submitted to the evaluator. It is recommended that the principal and evaluator schedule either quarterly or mid-cycle meetings to evaluate progress and make any changes necessary to the plan. Depending upon the principal and the professional practice components being evaluated, evaluation of components could be completed in an ongoing manner. The Perform phase should then continue as the evaluation process is completed.

**Plan Implementation and Collection of Evidence.** The principal implements the plan. Both the principal and evaluator collect the evidence described in the plan and other relevant data, including feedback from students and staff. Unannounced review of a principal's practice should be an essential category of evidence to be used.

**Quarterly or Mid-Cycle Goals Review.** At quarterly or mid-cycle, the principal synthesizes information obtained to date in order to prepare the Quarterly or Mid-Cycle Goals Progress Report, an assessment of progress on the goals detailed in the Educator Plan. The principal and evaluator review the evidence. The evaluator completes a Quarterly or Mid-Cycle Formative Assessment Report and shares it with the principal.

Figure 18: The Perform Phase of the Evaluation Cycle

| | | |
|---|---|---|
| Perform | STEP FIVE<br>EVIDENCE COLLECTION | 1. Formative reviews and collaborations occur to collect evidence of professional practice.<br>2. Evidence from multiple sources is compiled to support non-observable components of professional practice.<br>3. Quantitative data demonstrating progress on SLOs are collected.<br>4. Evidence is documented and principals are provided structured feedback on performance throughout the evidence collection period. |

**Phase 4: Progress**

The Progress phase (Figure 19) brings the annual evaluation cycle to a close. In this phase, the principal prepares the End-of Cycle Progress Report and finalizes collection of artifacts to present to the evaluator. The evaluator in turn, reviews all evidence to determine Professional Practice and School Growth Ratings, which are used to create a preliminary Summative Principal Effectiveness Rating. Again, depending upon the principal and the professional practice components selected for evaluation, completion of components of the evaluation could occur on a quarterly or mid-cycle basis.

Results of the evaluation are provided in advance of any face-to-face meeting, allowing the principal an opportunity to prepare any evidence to support adjustments to the Summative Principal Effectiveness Rating. The summative conference provides an opportunity for in-depth discussion regarding the principal's performance prior to the assignment of a final Summative Principal Effectiveness Rating. The Progress phase concludes with principal self-reflection and the adoption of plans to improve performance.

**End-of-Cycle Summative Evaluation.** The principal prepares the End-of-Cycle Progress Report, an assessment of progress on the goals, performance on each of the domains, and impact on student learning. The principal and evaluator review the report and other relevant evidence, and the evaluator completes the End-of-Cycle Summative Evaluation Report and shares it with the principal.

At the end of the continuous improvement cycle the summative evaluation becomes the basis for the next plan—including goals, self-appraisal, and professional growth plan. Stakeholder surveys may be administered in the off years of the evaluation cycle.

Evaluators can determine when the cycle starts. For example, many may want their principals to start the self-assessment process in the summer so that planning can begin at a summer or early fall meeting. Others may want to set goals and a plan in the spring, so they may want to begin the self-evaluation in the late winter. Superintendents/evaluators may also choose to complete portions of the evaluation on a quarterly or semester basis.

Figure 19: The Progress Phase of the Evaluation Cycle

| | | |
|---|---|---|
| PROGRESS | STEP SIX<br>EVALUATION | 1. Using all documented evidence collected, evaluator completes a summative evaluation including measures of both professional practice and school growth.<br>2. Evaluator considers previously established professional practice and school growth in assigning ratings to each performance measure.<br>3. Evaluator calculates preliminary Summative Principal Effectiveness Rating.<br><br>Timeline: Completed prior to Summative Conference |
| | | |
| | STEP SEVEN<br>SUMMATIVE CONFERENCE | 1. Evaluator and principal being evaluated meet to discuss the Summative Principal Effectiveness Rating.<br>2. Comprehensive feedback provided on full range of evidence collected to support the evaluation.<br>3. Summative Principal Effectiveness Rating finalized. |
| | | |
| | STEP EIGHT<br>IMPROVEMENT PLANNING | 1. Principal reflects on feedback from the summative conference to determine the focus of professional practice growth plan.<br>2. If a plan of assistance is necessary, the evaluator works with the principal to prioritize areas of improvement and identifies professional development.<br>3. Professional growth plan is approved and put into action. |

# State Implementation Support and Monitoring

This section of the *South Dakota Principal Effectiveness Handbook* outlines ways the SD DOE encourages and supports implementation of high quality Principal Effectiveness systems. Support systems were developed collaboratively with stakeholder groups and were created in response to the needs of South Dakota public schools.

The level of support provided to South Dakota public schools was made possible by grant funds, funds appropriated by the South Dakota Legislature, and resources provided by the passage of the South Dakota Investing in Teachers Initiative.

- ✓ The SD DOE's website provides an archive of Principal Effectiveness resources at the following URL: http://doe.sd.gov/secretary/PE.aspx.
- ✓ Public school districts can assess and track progress toward implementation by using the District Self-Assessment tools available in Appendix D.

## Supporting System Development and Promoting Recommended Practices

South Dakota has worked collaboratively to facilitate the development of local Principal Effectiveness systems that are rooted in recommended practices. The SD DOE's efforts are summarized below.

### Supporting and Advising the South Dakota Commission on Teaching and Learning

The SD DOE supports and actively participates in meetings of the CTL. Serving in an advisory capacity to the Commission, state education officials provide regular updates on the progress of the South Dakota's ESEA waiver and work to clarify state laws and administrative rules.

### Raising Awareness

Beginning in the summer of 2013, the SD DOE sponsored a pilot project involving 12 South Dakota public school districts. Participants attended a training event in Pierre on July 17-18, 2013. A series of webinars were developed to raise awareness about the South Dakota's Principal Effectiveness System. In addition, information about state requirements and recommendations has been communicated directly to public school officials.

### Supporting Research and Gathering Data to Inform Decision-Making

The SD DOE has committed to using research and data to identify both recommended practices and challenges. Research and data from several sources is used to inform decision-making and develop solutions. Recommended practices are gathered and incorporated into state resources and trainings. Initial research of the pilots was conducted in conjunction with faculty at the University of South Dakota. Academic research will continue through the 2016-17 school year.

## Providing Technical Assistance and Implementation Planning

### Assistance for All Schools

Schools participating in the 2013-14 Principal Effectiveness pilot were eligible for technical assistance, including implementation planning, as part of the on-site assistance provided to pilot schools. Experience and resources developed for pilot schools were used in the development of statewide resources.

In November of 2014, every public school district had the opportunity to attend one of 12 half-day overview sessions being offered across the state. Beginning in June 2015, more in-depth training opportunities will be provided to help participants understand the connection between the South Dakota Teacher and Principal Effectiveness Systems and to allow school personnel to focus on identifying and building district level priorities.

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# APPENDIX A: ACKNOWLEDGEMENTS

**THE 2014-2015 SOUTH DAKOTA COMMISSION ON TEACHING AND LEARNING**

| 2014-15 COMMISSION MEMBERS | | |
|---|---|---|
| **SOUTH DAKOTA TEACHERS** | | |
| Sandy Arseneault | Custer | High School |
| Jared Baumann | Sioux Falls Public | Middle School |
| Robin Curtis | Winner | Elementary |
| Donna DeKraai | Brookings | Elementary |
| Lou Ann Jensen | Estelline | High School English |
| Kathy Meyer | Huron | Kindergarten |
| Pat Moller | Mitchell | Middle School Math |
| Pam Oberembt | Sioux Falls | SFEA President |
| Steve O'Brien | Watertown | High School English |
| Sami Peil | Deubrook | High School English |
| Sue Podoll | Rapid City Area | Special Education |
| **SOUTH DAKOTA SCHOOL ADMINISTRATORS** | | |
| Kyley Cumbow | Pierre | Principal |
| Ethan Deshaak | Meade | Principal |
| Jeremy Hurd | Custer | Principal |
| Roxanne Lamphere | Lake Preston | Principal |
| Tammy Meyer | Sisseton | Principal |
| **SOUTH DAKOTA SCHOOL BOARD MEMBERS** | | |
| Pam Haukaas | Colome Consolidated | School Board |
| **SOUTH DAKOTA K-12 EDUCATION STAKEHOLDERS** | | |
| Mary McCorkle | South Dakota Education Association | President |
| Linda Mallory | East Dakota Educational Coop. | Instructional Coach |
| Sharla Steever | Black Hills Special Services | Learning Specialist |
| **SOUTH DAKOTA HIGHER EDUCATION STAKEHOLDERS** | | |
| Alan Neville | Council of Higher Education | Higher Ed |
| Scott DesLauriers | South Dakota State University | Student Member |
| Taylor Reinke | Augustana | Student |
| Cheryl Medearis | Sinte Gleska University | Faculty |
| Pat Simpson | Black Hills State University | Faculty |

| COMMISSION ADVISORS |
|---|
| Carla Leingang<br>Abby Javurek-Humig<br>Dr. Melody Schopp<br>**SD DOE** |
| Laura Haug<br>Rich Mittlestedt<br>**SDEA** |
| Dr. Janeen Outka<br>Joan Frevik<br>Brian Aust<br>Katie Bray<br>**EDEC** |

## THE 2013-2014 SOUTH DAKOTA COMMISSION ON TEACHING AND LEARNING

The South Dakota Commission on Teaching and Learning began a partnership between the South Dakota Education Association, Associated School Boards of South Dakota, the School Administrators of South Dakota, and the South Dakota Department of Education. To arrive at a Principal Effectiveness Model to guide the 2013-14 pilot schools, the Commission on Teaching and Learning relied on input from school administrators, school board members, education stakeholders, and officials from the South Dakota Department of Education.

| THE SOUTH DAKOTA COMMISSION ON TEACHING AND LEARNING | | | |
|---|---|---|---|
| **TEACHERS** | **Sue Podoll**<br>*Rapid City* | **ADMINISTRATORS** | **EDUCATION STAKEHOLDERS** |
| **Donna DeKraai**<br>*Brookings* | **Pam Oberembt**<br>*Sioux Falls* | **Melinda Jensen***<br>*Principal, Brookings* | **Wade Pogany**<br>*ASBSD* |
| **Sami Peil**<br>*Duebrook* | **Jared Baumann**<br>*Sioux Falls* | **Jeremy Hurd***<br>*Principal, Custer* | **Alan Neville**<br>*Northern State University* |
| **Lou Ann Jensen**<br>*Estelline* | **Tammy Meyer**<br>*Sisseton* | **Kyley Cumbow***<br>*Assistant Principal, Pierre* | **Sandy Arseneault***<br>*SDEA* |
| **Kathy Meyer**<br>*Huron* | **Linda Mallory**<br>*Spearfish* | **Don Kirkegaard**<br>*Superintendent, Meade* | **Sharla Steever***<br>*TIE* |
| **Pat Moller**<br>*Mitchell* | **Amy Engel**<br>*Todd County* | **Brad Seamer***<br>*Principal, McCook* | **Jill Thorngren***<br>*South Dakota State Univ* |
| **Mary McCorkle**<br>*Mobridge* | **Steve O'Brien**<br>*Watertown* | **Kevin Lein***<br>*Principal, Harrisburg* | **Cheryl Medearis***<br>*Sinte Gleska University* |
| **Katie Anderson**<br>*Rapid City* | **Darlene Dulitz**<br>*Webster* | **SCHOOL BOARD MEMBERS** | **DEPARTMENT OF EDUCATION** |
| **Nicole Keegan**<br>*Rapid City* | **Robin Curtis**<br>*Winner* | **Pam Haukaas**<br>*Colome* | **Abby Javurek-Humig**<br>*SD DOE* |
| **Heather Fergen***<br>*Agar, Blunt Onida* | **Jeannine Metzger***<br>*Shannon County* | | **Carla Leingang**<br>*SD DOE* |
| | | | **Lanette Johnston**<br>*SD DOE* |

* *South Dakota Commission on Teaching and Learning Sub-Committee.*

**2013-14 PRINCIPAL EFFECTIVENESS PILOT AND SCALE UP SCHOOLS**

| | |
|---|---|
| **Alcester-Hudson** | Junior high and high school |
| **Bon Homme** | All district schools |
| **Bridgewater-Emery** | High school |
| **Chamberlain** | All district schools |
| **Custer** | All district schools |
| **Groton Area Schools** | All district schools |
| **McLaughlin** | All district schools |
| **Rapid City Area Schools** | Horace Mann Elementary, Grandview Elementary, Southwest Middle School, Central High School, Stevens High School |
| **South Central** | All district schools |
| **Wagner** | All district schools |
| **Wessington Springs** | All district schools |
| **Willow Lake** | All district schools |

# APPENDIX B: PRINCIPAL EFFECTIVENESS IMPLEMENTATION TIMELINE

## SOUTH DAKOTA PRINCIPAL EFFECTIVENESS IMPLEMENTATION TIMELINE

**Updated: Oct. 30, 2014:** This document is an updated version of the timelines for Principal Effectiveness systems in South Dakota.

Recognizing the commitment it takes to implement both models faithfully, the South Dakota Department of Education has adjusted the timeline for the implementation of Principal Effectiveness.

The chart below summarizes milestones during the implementation of high quality Educator Effectiveness systems.

| **SY 2014-15** | **SY 2015-16**<br>Principal Effectiveness Learning Year | **SY 2016-17**<br>Principal Effectiveness Implementation Year | **SY 2017-18**<br>Continue Implementing Principal Effectiveness System |
|---|---|---|---|
| | | | |
| | AUGUST-MAY<br>Plan or Implement Principal Effectiveness System (based on Gap Analysis) | AUGUST-MAY<br>Implement Principal Effectiveness System | |
| NOVEMBER<br>Training: Principal Effectiveness System Overview (for superintendents and principals) | DECEMBER<br>Cross-walk due Jan. 31 prior to the start of the next school year for districts not using state Principal Effectiveness System for SY 2016-17 & beyond | | OCTOBER<br>Report district-level aggregate Principal Effectiveness data from SY 2016-17 via PRF |
| | | | APRIL<br>Use Principal Effectiveness data and data available for current year to inform personnel decisions re: principals for SY 2018-19* |
| JUNE<br>Training: Principal Effectiveness System & Gap Analysis (for superintendents and principals)<br>Gap Analysis for Principal Effectiveness due June 30 | JUNE<br>District Self-Report for Principal Effectiveness due June 30 | | |
| | | | |
| OPTIONAL: PD offered through DOE's Menu of Options | OPTIONAL: PD offered through DOE's Menu of Options | | |

*Evidence and data from effectiveness systems intended to inform personnel decisions. Evidence from these systems may be used in determining if/when a principal might be put on a plan of assistance.

## Timeline: Supporting Students and Teachers with Effective Principals

South Dakota continues to advance a multi-year, collaborative effort to develop, support and implement high quality Educator Effectiveness systems. The most significant benchmarks in the ongoing process are outlined briefly in the following sections.

### 2012: Evaluations and Professional Performance Domains Required

The South Dakota Legislature passed H.B. 1234. The legislation required the development of a principal evaluation system to include the following expectations:

- Minimum professional performance standards for principals;
- Multiple measures of performance as a basis for professional growth plans and/or plans of assistance;
- A four tiered rating system to differentiate principal performance;
- Evaluation to occur at least every other year.

Though H.B. 1234 was later overturned on a statewide referendum, the state's application for flexibility from certain provisions of the federal Elementary and Secondary Education Act (ESEA) requires that South Dakota continue to implement a principal evaluation system that clearly differentiates principal performance and includes school growth data as one significant factor in the process of determining Principal Effectiveness.

### 2012: Formation of Principal Evaluation Workgroup

The process of creating evaluation domains, an effectiveness model, and a performance rating system began in 2012 with the formation of the Principal Evaluation Workgroup. Co-chaired by Rick Melmer, Dean of Education at the University of South Dakota, and Fred Aderhold, Lecturer in the Division of Educational Administration at the University of South Dakota, the Principal Evaluation Working Group brought together parents, school board members, teachers, and school and district administrators from across the state to achieve the following goals:

1. Adopt a set of administrator competencies that will serve as a foundation for principal evaluation in South Dakota and administrative studies at South Dakota institutions of higher education.
2. Develop a model principal evaluation instrument for statewide implementation.
3. Develop procedures to guide the evaluation process. Procedures should include guidelines that address issues such as observation length and frequency.
4. Determine methods to incorporate levels of performance into the evaluation process.
5. Develop an evaluation training program for superintendents and principals.
6. Develop plans to incorporate the evaluation Framework into educational administration programs at South Dakota public universities.

### June-December 2012: Outcomes of Principal Evaluation Workgroup

The principal evaluation work group met four times between June and December 2012. Over the course of these meetings the work group developed domains and components of professional practice for principals; commissioned the development of rubrics to assess principal competencies using four performance tiers; identified the various design elements for the evaluation system; and developed criteria for evaluator training.

Between the third and fourth meetings, the South Dakota Board of Regents sponsored a "listening tour" to receive superintendents' and other stakeholders' reactions and feedback on the domains and components. Based on stakeholder feedback, the work group suggested and adopted some changes to the domains and components during the fourth meeting. Public universities across the state also adopted standards for the redesign of their principal preparation programs.

**Spring 2013: Formation of the Commission on Teaching and Learning**
After H.B. 1234 was overturned, the South Dakota Department of Education partnered with the South Dakota Education Association, Associated School Boards of South Dakota, and School Administrators of South Dakota to create a Commission on Teaching and Learning to build on the work of the original Principal Evaluation Workgroup and to finalize a model system that met the requirements of the ESEA flexibility waiver.

**2013-14: The Principal Effectiveness Pilot Project**
As South Dakota progresses towards full implementation of meaningful evaluation systems, it was necessary to experiment, learn, and build a system that supported meaningful professional growth of school leadership. To this aim, the Principal Effectiveness Model was piloted in 12 South Dakota districts during the 2013-14 school year. Pilot schools representing school districts of various sizes, geographic locations and school administration structures were asked to implement and experiment with Principal Effectiveness systems. A formal research effort, led by researchers from the University of South Dakota, gathered feedback and insight from pilot districts to inform any changes to the recommendations set forth by the South Dakota Commission on Teaching and Learning.

**November 2014: Capacity Building**
The South Dakota Department of Education in partnership with the Eastern Dakota Educational Cooperative will sponsor 15 statewide workshops for superintendents and principals. The workshops will include a broad overview of the Principal Effectiveness Model and will conclude with guidance on completing the required Principal Effectiveness plan.

**June 2015: Capacity Building**
The South Dakota Department of Education in partnership with Eastern Dakota Educational Cooperative will sponsor statewide workshops June 15-19 for superintendents and principals focused on the six domains, twenty-two components and the related rubrics. The training will include some unpacking of the domains and guidance related to selecting appropriate components on which to base an evaluation.

**2015 – 2016 School Year**
The 2015-16 school year will be a practice year for all public districts. Each district will need to fill out a Gap Analysis and Planning Guide by June 30. Its purpose is to identify statutory and regulatory requirements for principal evaluation in South Dakota and it provides an opportunity for districts to plan for successful implementation.

**2016-17 School Year**
South Dakota fully implements Principal Effectiveness in all public schools.

# APPENDIX C: STATE LAWS AND ADMINISTRATIVE RULES

**STATE LAWS**

**13-1-12.1. Promulgation of rules on classification and accreditation of schools, preparation of certified personnel, eligibility for state aid, career and technical education, and curriculum requirements.**

The South Dakota Board of Education shall promulgate rules pursuant to chapter 1-26 to establish standards for the classification and accreditation of schools within this state, to establish standards for preparation of certified personnel, to set forth procedures for determining the eligibility of school districts to receive state aid to education funding, to adopt policies and rules necessary to establish standards and procedures for career and technical education, and to establish curriculum requirements for a recommended high school program for all public and nonpublic schools within the state. The recommended high school program shall include a rigorous high school curriculum in both academic and career and technical courses. The requirements of the recommended program shall be aligned to the academic content standards developed pursuant to § 13-3-48 and shall, at a minimum, include the content standards tested pursuant to § 13-3-55.

Nothing in this section authorizes the board to require the use of specifically designated curriculum or methods of instruction.

**13-3-47. Classification and accreditation of schools.**

The secretary of the Department of Education shall be responsible for the classification and accreditation of all public and nonpublic schools under the rules established by the South Dakota Board of Education pursuant to chapter 1-26.

**13-3-62. State accountability system established.**

A single, statewide state accountability system is established. The system shall hold public schools accountable for the academic achievement of their students and shall ensure that all public schools make yearly progress in continuously and substantially improving the academic achievement of their students.

**13-3-68. Department of Education to implement and administer state accountability system.**

The state accountability system will be implemented and administered by the Department of Education.

**13-3-69. Promulgation of rules to establish state accountability system.**

The South Dakota Board of Education may promulgate administrative rules pursuant to chapter 1-26 to establish the state accountability system based on achievement and other indicators including:

(1) A definition of academic progress;

(2) The method of calculating yearly progress in mathematics and reading for all public schools, including methods for determining both the status and growth;

(3) A definition of four levels of student achievement, including a proficient level;

(4) Determination of cut scores in mathematics and reading for each level of student achievement;

(5) Establishment of the measurable objectives for academic progress;

(6) Establishment of a system of sanctions, rewards, and recognition;

**(7) Establishment of the process for teacher and principal evaluation;**

(8) Determination of the criteria to demonstrate student preparedness for college and career for each public high school;

(9) Determination of the method for calculating the attendance rate for each public elementary and middle school;

(10) Establishment of an appeal process for public schools; and

(11) Establishment of a process whereby the state accountability system will be periodically reviewed.

**13-42-70. Evaluation records and documents not open to inspection or copying.**

Any record or document, regardless of physical form, created by a public school, public school district, or any other school in connection with the evaluation of an individual teacher, principal, or other school employee constitutes personnel information and is not open to inspection or copying pursuant to subdivision 1-27-1.5(7).

**ADMINISTRATIVE RULES**

**TITLE 24**

**DEPARTMENT OF EDUCATION**

**ARTICLE 24:58**

**PRINCIPAL PERFORMANCE STANDARDS AND EVALUATION**

Chapter

24:58:01 Definitions.

24:58:02 Framework for effective principals.

24:58:03 Principal evaluation process.

**CHAPTER 24:58:01**

**DEFINITIONS**

Section

**24:58:01:01. Definitions.**

Unless otherwise defined in this section, terms defined in § 24:57:01:01 have the same meaning when used in this article. Other terms used in this article mean:

(1) "Academic progress goal," the goal referenced in chapter 24:55:05;

(2) "Assistant principal," for purposes of this article, an individual who:

(a) Is a school building level leader;

(b) Holds a current South Dakota teaching certificate or stand-alone certificate as a principal;

(c) Is designated as an assistant principal in reports required by the department pursuant to SDCL 13-3-51; and

(d) Participates in the evaluation of teachers pursuant to article 24:57;

(3) "Evaluation," a process to assess objectively the performance of a principal;

(4) "Principal," for purposes of this article, an individual who:

(a) Is a school building level leader;

(b) Has completed an approved principal or administrator preparation program at an accredited institution;

(c) Holds a current South Dakota teaching certificate with a principal endorsement or stand-alone certificate as a principal;

(d) Is not serving as a superintendent or assistant superintendent; and

(e) Is designated as a principal in reports required by the department pursuant to SDCL 13-3-51.

The requirements of subdivisions (b) and (c) do not apply if the individual is in the process of completing a plan of intent pursuant to chapter 24:43:13;

(5) "Principal framework," the framework for effective principals referenced in chapter 24:58:02;

(6) "Professional practice rating," the rating assigned to a principal or assistant principal using at least one component from each of the six domains of the principal framework;

(7) "School," an attendance center belonging to a school district which is accredited by the secretary for the purpose of instructing children of compulsory school age as provided in SDCL 13-27-1 and to which the principal or assistant principal is assigned in reports required by the department pursuant to SDCL 13-3-51;

(8) "School growth rating," a rating based upon:

(a) The percentage of teachers under the principal's or assistant principal's supervision attaining expected or high student growth ratings on the teachers' evaluations pursuant to article 24:57 unless the department approves another method pursuant to chapter 24:58:03; and

(b) The school's SPI key indicator scores referenced in chapter 24:55:02, the school's academic progress goal referenced in chapter 24:55:05, or some combination thereof, with the items referenced in this subdivision being at least twenty-five percent of the total school growth rating;

(9) "State minimum evaluation requirements," the model for evaluating principal or assistant principal performance which, for each principal or assistant principal:

(a) Assigns a professional practice rating;

(b) Assigns a school growth rating;

(c) Combines the professional practice rating and school growth rating into one summative effectiveness rating;

(d) Is used to guide professional growth; and

(e) Provides clear, timely, and useful feedback which identifies needs and guides professional development;

(10) "Summative effectiveness rating," the combination of a principal's or assistant principal's professional practice rating and school growth rating into one of the following categories: Below Expectations, Meets Expectations, or Exceeds Expectations.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**CHAPTER 24:58:02**

**FRAMEWORK FOR EFFECTIVE PRINCIPALS**

Section


24:58:02:01. Framework for effective principals defined.

24:58:02:02. Vision and goals domain defined.

24:58:02:03. Instructional leadership domain defined.

24:58:02:04. School operations and resources domain defined.

24:58:02:05. School, student, and staff safety domain defined.

24:58:02:06. School and community relationships domain defined.

24:58:02:07. Ethical and cultural leadership domain defined.


**24:58:02:01. Framework for effective principals defined.**

The framework for effective principals shall consist of the six domains and twenty-two components of professional performance to promote student success referenced in this chapter. Nothing in this chapter is intended to supplement or modify the code of professional ethics in chapters 24:08:03 and 24:11:03. The department shall provide a principal evaluation handbook to assist schools in implementing this framework.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:02:02. Vision and goals domain defined.**

Principals and assistant principals shall demonstrate the ability to guide the development and implementation of a shared vision, mission, and goals for the school. This shall include the following components:

(1) Developing and implementing goals, objectives, and strategies to achieve a shared vision for school and student success; and

(2) Reviewing and monitoring the school's vision, mission, goals, and school improvement plans referenced in § 24:43:02:03(2) to ensure high expectations for student learning and continuous school improvement.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:02:03. Instructional leadership domain defined**.

Principals and assistant principals shall demonstrate the ability to communicate with staff and review research and data to promote a school culture and instructional program that fosters student learning and professional growth for staff. This shall include the following components:

(1) Promoting, facilitating, and utilizing the effective use of data from multiple measures to inform instruction and evaluate student performance to support effective instruction;

(2) Leading and supporting staff in acquiring, planning, and implementing research-based instructional strategies and technologies that advance the school's vision and goals and meet the diverse needs of all students;

(3) Utilizing the skills of staff and encouraging staff to assume leadership roles within the school to improve teaching and learning;

(4) Ensuring that the instructional content and curriculum is aligned with state and district content standards and the curriculum priorities of the school and district; and

(5) Developing a professional growth plan for staff for the purpose of continuous improvement.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:02:04. School operations and resources domain defined**.

Principals and assistant principals shall demonstrate the ability to efficiently and productively manage school operations and resources. This shall include the following components:

(1) Managing and budgeting all resources and school operational procedures to provide an efficient, effective, and well-maintained learning environment that maximizes learning opportunities for all students;

(2) Developing the capacity of staff to serve as leaders within the school, maximizing both ownership and accountability;

(3) Selecting, placing, supervising, coaching, and evaluating staff to ensure high quality instruction and student success; and

(4) Resolving potential challenges and maximizing opportunities within existing school operations and resources to ensure high levels of student and staff learning.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:02:05. School, student, and staff safety domain defined**.

Principals and assistant principals shall demonstrate the ability to foster a physically, emotionally, and cognitively safe learning environment for students, staff, and community. This shall include the following components:

(1) Creating a safe school environment that addresses the physical, emotional, and cognitive needs of the parents, students, staff, and the community by openly addressing and resolving potential safety issues;

(2) Establishing and communicating clear and consistent expectations regarding staff and student conduct;

(3) Utilizing fair, effective, and supporting practices in establishing student behavior management; and

(4) Using effective conflict resolution skills to resolve challenges in a timely manner.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:02:06. School and community relationships domain defined**.

Principals and assistant principals shall demonstrate the ability to foster relationships by collaborating with parents, staff, and community members. This shall include the following components:

(1) Supporting and promoting a culture of family and community involvement to engage stakeholders in school goals and programs;

(2) Using multiple methods to frequently and clearly communicate to and seek input from parents, students, staff, and community members;

(3) Establishing and supporting a school culture, climate, and environment that treats all individuals with dignity, fairness, and respect; and

(4) Exhibiting high visibility and active involvement within the school and community.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:02:07. Ethical and cultural leadership domain defined**.

Principals and assistant principals shall demonstrate the ability to provide ethical, cultural, and skilled leadership. This shall include the following components:

(1) Expressing appreciation for and sensitivity to diversity and cultural differences;

(2) Displaying values, beliefs, and attitudes that inspire others to higher levels of performance; and

(3) Complying with the code of professional ethics in chapters 24:08:03 and 24:11:03.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

## CHAPTER 24:58:03

## PRINCIPAL EVALUATION PROCESS

Section


24:58:03:01. Principal evaluation timelines.

24:58:03:02. State minimum evaluation requirements.

24:58:03:03. Alternative evaluation model.

24:58:03:04. Alternative evaluation application.

24:58:03:05. Application timelines.

24:58:03:06. Effect of application denial.

24:58:03:07. Evaluators.

24:58:03:08. Evaluations of principals or assistant principals holding multiple appointments.


**24:58:03:01. Principal evaluation timelines**.

Beginning in the 2016-2017 school year, each school district shall evaluate the performance of each principal and assistant principal at least once per year for the principal's or assistant principal's first four years of employment with the district and at least every other year thereafter.

Each school district shall adopt procedures for evaluating the performance of principals and assistant principals that:

(1) Meet the requirements of this article;

(2) Serve as the basis for programs to increase professional growth and development of principals and assistant principals; and

(3) Include a plan of assistance for any principal or assistant principal whose performance does not meet the requirements of this article.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:03:02. State minimum evaluation requirements**.

Beginning in the 2016-2017 school year, each school district must, at a minimum, use all state minimum evaluation requirements when evaluating principals and assistant principals in the district.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:03:03. Alternative professional practice model**.

Notwithstanding § 24:58:03:02, a school district may use a model of professional practice other than the principal framework to evaluate principals and assistant principals if the district proves to the department that the model is aligned with the principal framework.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:03:04. Alternative student growth model**.

Notwithstanding § 24:58:03:02, a school district may be excused from the requirements of § 24:58:01:01(8)(a) if the district proves to the department that the method of measuring school growth for all principals and assistant principals in the district reflects a rigorous yet realistic expectation of student growth and meets the requirements of § 24:58:01:01(8)(b).

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:03:05. Alternative evaluation application**.

If a district intends to use another model of professional practice or student growth as referenced in §§ 24:58:03:03 and 24:58:03:04, it must apply on forms provided by the department. The department may require additional documents and information necessary to enable the department to make the determinations referenced in those sections.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:03:06. Application timelines**.

All materials specified in § 24:58:03:05 must be received by the department by January thirty-first before the school year in which the district intends to implement the alternative evaluation model. By April 1 of that year, the department shall review the application and all documentation and issue a decision on the application. If a district's model is approved by the department, the district must submit any subsequent revisions for review and approval pursuant to this chapter.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:03:07. Effect of application denial**.

The department may deny the application if the district fails to submit all materials specified in § 24:58:03:05 by the deadline or if the department determines that the proposed model does not meet the requirements of § 24:58:03:03 or 24:58:03:04. If the application is denied, the district shall comply with all state minimum evaluation requirements for the upcoming school year. Nothing in this chapter requires the department to provide a hearing on the district's application.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:03:08. Evaluators**. Principal and assistant principal evaluations shall be performed by the district superintendent or another supervisor of the principal or assistant principal assigned by the superintendent to perform the evaluation.

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

**24:58:03:09. Evaluations of principals or assistant principals holding multiple appointments**.

If an individual serves as a superintendent or assistant superintendent and also serves as a principal or assistant principal, then the individual may be evaluated as:

(1) A principal or assistant principal pursuant to this article, notwithstanding § 24:58:01:01(4)(d);

(2) A superintendent or assistant superintendent pursuant to district policy or procedure; or

(3) Both (1) and (2).

**Source**: 41 SDR 109, effective January 12, 2015.

**General Authority**: SDCL 13-1-12.1, 13-3-69(7).

**Law Implemented**: SDCL 13-1-12.1, 13-3-47, 13-3-68, 13-3-69.

# APPENDIX D: IMPLEMENTATION TOOLS

## PRINCIPAL EFFECTIVENESS: DISTRICT SELF-ASSESSMENT TOOL

The Principal Effectiveness self-assessment tool identifies recommended steps a district should take to transition to and implement high quality educator effectiveness systems that align to state and federal requirements.

| **PLAN PHASE GOALS:**<br>✓ District administrators understand new effectiveness system requirements and determine the structure of the district's principal effectiveness system.<br>✓ Administrators complete training on the South Dakota Framework for Effective Principals and Student Learning Objectives. | Have Not Started | In Progress | Completed |
|---|---|---|---|
| **STEPS FOR TRANSITION PHASE** | | | |
| 1. The school district has completed the Principal Effectiveness State Requirements Checklist and determined which principal effectiveness system components must be addressed. | | | |
| 2. The school district has completed the South Dakota Principal Effectiveness Gap Analysis and Planning Guide to determine necessary implementation steps. | | | |
| 3. Administrators have access to South Dakota's recommended Principal Effectiveness Model. | | | |
| 4. The school district has examined current school board policy and identified changes to district policy that must be made prior to implementation. | | | |
| 5. Principals and superintendents have completed training on the South Dakota Framework for Effective Principals. | | | |
| 6. Principals and evaluators understand how the district plans to evaluate a principal's impact on student growth. | | | |
| **RESOURCES AVAILABLE FOR PLAN PHASE** | | | |
| a. South Dakota Educator Effectiveness Implementation Timeline | | | |
| b. Principal Effectiveness State Requirements Checklist | | | |
| c. Principal Effectiveness Gap Analysis and Planning Guide | | | |
| d. South Dakota Principal Effectiveness Handbook: http://doe.sd.gov/secretary/PE.aspx | | | |
| e. South Dakota Student Learning Objectives Guidebook: http://doe.sd.gov/secretary/PE.aspx | | | |
| f. South Dakota Principal Effectiveness Awareness Webinar Series: http://doe.sd.gov/secretary/PE.aspx | | | |
| g. Training on the South Dakota Framework for Effective Principals available through the University of South Dakota. | | | |
| h. Student Learning Objectives training for administrators (Spring & Summer, 2014) | | | |

| **IMPLEMENTATION PHASE GOALS:**<br>✓ The school district has aligned the local principal effectiveness system to state minimum principal evaluation requirements.<br>✓ The district is providing ongoing training and monitoring of the district's revised principal effectiveness system. | Have Not Started | In Progress | Completed |
|---|---|---|---|
| **STEPS FOR IMPLEMENTATION PHASE** | | | |
| 1. Using the Principal Effectiveness Gap Analysis and Planning Guide, the school district has examined and aligned the current evaluation system with new principal evaluation requirements. | | | |
| 2. The district has adopted policy and approved evaluation procedures that reflect the district's new principal evaluation system. | | | |
| 3. Administrators and principals are provided ongoing training on the newly designed educator effectiveness model. | | | |
| 4. The school district has procedures in place to aggregate principal performance data and is prepared to report effectiveness ratings | | | |
| 5. The school district has adopted policy or procedures to specify how new educator effectiveness systems will be used to inform personnel decisions. | | | |

## PRINCIPAL EFFECTIVENESS: STATE REQUIREMENTS CHECKLIST

The Principal Effectiveness System Checklist identifies components of evaluation systems that conform to state and federal requirements. Use the checklist to determine which requirements must still be addressed in your local school district.

| *Does your current evaluation system address the following principal effectiveness system components?* | **Yes** | **No** |
|---|---|---|
| **1. EVALUATIONS OF PROFESSIONAL PRACTICE (SOUTH DAKOTA FRAMEWORK FOR TEACHING)** | | |
| A. The district has selected professional performance standards aligned to the South Dakota Framework for Effective Principals. | | |
| B. The district identified the number of performance standards that will serve as the basis of professional practice evaluations. | | |
| C. The district has identified procedures to assess principal performance and gather evidence relative to principal performance standards. | | |
| D. The school district has determined a method to assign a professional practice rating. | | |
| **2. EVALUATIONS OF STUDENT GROWTH** | | |
| A. The school district has adopted measures of performance that quantify the principal's impact on student growth (student learning measured between two or more points in time). | | |
| B. At least one of the district's principal student growth measures utilizes school-level state accountability data. | | |
| C. The district has determined a method to assign a school growth rating for principals. | | |
| **3. SUMMATIVE PRINCIPAL EFFECTIVENESS RATINGS** | | |
| A. The district has determined a method to combine a professional practice rating and school growth rating into one summative principal effectiveness rating. | | |
| **4. RESULTS AND OUTCOMES** | | |
| A. The district has identified procedures to provide principals with clear, timely and useful performance feedback. | | |
| B. The district has identified procedures to utilize performance evaluation results as a basis to guide professional growth for principals. | | |
| C. The school district has identified procedures to provide a plan of assistance for principals that do not meet the school district's minimum performance standards. | | |
| **5. EVALUATION CYCLE** | | |
| A. The school district has established an evaluation cycle in which principals receive a summative evaluation regularly. | | |

# APPENDIX E: PRINCIPAL EFFECTIVENESS: GAP ANALYSIS AND PLANNING GUIDE

The Gap Analysis and Planning Guide identifies statutory and regulatory requirements for principal evaluation in South Dakota and provides an opportunity for districts to plan for successful implementation. Throughout this reference, page numbers from the Principal Effectiveness Handbook (PEH) are referenced, which can be accessed from: http://doe.sd.gov/secretary/PE.aspx. The Principal Effectiveness District Self-Reflection is due **June 30, 2015**.

| **PRINCIPAL EFFECTIVENESS SYSTEM**<br>Elements of the principal effectiveness system are listed below. Required elements include citations to related state model recommendation as described in the Principal Effectiveness Handbook. Optional elements are also presented. | **DISTRICT PLAN:**<br>Describe how your district will implement the element during the plan year. |
|---|---|
| **1. EVALUATIONS OF PROFESSIONAL PRACTICE** | |
| A. The school district has selected professional performance standards aligned to the South Dakota Framework for Effective Principals.<br><br>State Requirement: All school districts must evaluate principals using components aligned to the South Dakota Framework for Effective Principals. Reference: SDCL 13-3-69(7); ARSD 24:58<br><br>Local Flexibility: School districts may crosswalk existing model of professional practice to state principal framework using forms provided by the South Dakota Department of Education. Reference: ARSD 24:58:03:03,05<br><br>Resource: Principal Effectiveness Crosswalk (click here)<br><br>State Model Recommendation: Use the South Dakota Framework for Effective Principals. (PEH p. 11) | |
| B. The school district has identified the number of performance components that will serve as the basis of professional practice evaluations.<br><br>State Requirement: All local effectiveness systems must include professional performance evaluations based on a minimum of six principal effectiveness components including a minimum of one from each domain of performance. Reference: ARSD 24:58:01:01(6)<br><br>Local Decision: Will the school district base evaluations upon 22 principal performance components, or a sub-set of the components? If choosing fewer than 22 components, which standards will be selected?<br><br>State Model Recommendation: Base evaluations upon a minimum of 8 components, including at least 1 from each domain. (PEH p. 13) | |

| **PRINCIPAL EFFECTIVENESS SYSTEM COMPONENT**<br>Elements of the principal effectiveness system are listed below. Required elements include citations to related state model recommendation as described in the Principal Effectiveness Handbook. Optional elements are also presented. | **DISTRICT PLAN:**<br>Describe how your district will implement the element during the plan year. |
|---|---|
| **1. EVALUATIONS OF PROFESSIONAL PRACTICE (continued)** | |
| C. The school district has identified procedures to assess principal performance and gather evidence relative to principal performance standards.<br><br><u>State Requirement</u>: For non-observable components, evidence and artifacts must be provided by principals and examined by evaluators. Evidence related to observable components should be gathered through both formative and informal reviews/collaborations throughout the year. (PEH p.7)<br><br><u>Local Decision</u>: What evidence will your district accept to measure performance relative to performance components? How often are reviews and collaborations to take place?<br><br><u>State Model Recommendation</u>: Evidence is gathered through reviews of practice and by the collection of artifacts by the principal and submitted to the evaluator. Principals in their first four years of employment receive 2 formative reviews per year and three informal reviews per year. Principals in years 5+ receive one formative review per year and three informal reviews per year. (PEH p. 18) | |
| D. The school district has determined a method to assign a professional practice rating.<br><br><u>State Requirement</u>: Assign an overall professional practice rating that summarizes performance relative to state professional performance components. (PEH p. 7) Reference: ARSD 24:58:01:01(9a)<br><br><u>Local Decision</u>: How will your district determine overall performance relative to the South Dakota Framework for Effective Principals?<br><br><u>State Model Recommendation</u>: Use standards-based rubrics to evaluate performance. Assign point values to component-level performance to determine domain-level performance. Apply weights to domain-level performance and assign one of four overall professional practice ratings. (PEH p. 15) | |
| E. <u>Additional District-Level Decisions</u>: Not state or federally required.<br><br>a. Provide principals and superintendents with training on the South Dakota Framework for Effective Principals.<br>1. The SD DOE will provide trainings in November of 2014 and June of 2015. | |

| **PRINCIPAL EFFECTIVENESS SYSTEM COMPONENT**<br>Elements of the principal effectiveness system are listed below. Required elements include citations to related state model recommendation as described in the Principal Effectiveness Handbook. Optional elements are also presented. | **DISTRICT PLAN:**<br>Describe how your district will implement the element during the plan year. |
|---|---|
| **2. EVALUATIONS OF STUDENT GROWTH** | |
| A. The school district has adopted measures of performance that quantify the principal's impact on student growth (student learning measured between two or more points in time).<br><br>State Requirement: Assign a growth rating based upon the percentage of teachers under the principal and assistant principal's supervision attaining expected or high student growth ratings on the teachers' evaluations. (PEH p.7)<br><br>Local Flexibility: School districts may apply to use an alternate method of student growth provided the measure meets minimum state and federal requirements. A crosswalk form is available from the South Dakota Department of Education.<br>Reference: ARSD 24:58:03:04-05<br><br>Resource: Principal Effectiveness Crosswalk (click here)<br><br>State Model Recommendation. Measure student growth through the student learning objectives process. The growth rating shall be calculated based upon the percentage of teachers under the principal or assistant principal's supervision attaining expected or high student growth ratings on evaluations. (PEH p. 26) | |
| B. At least one of the district's principal student growth measures utilizes school-level state accountability data.<br><br>State Requirement: The principal, in cooperation with the superintendent, will set growth goals based upon the School Performance Index (SPI), Annual Measureable Objectives (AMOs) and/or progress narrowing the achievement gap. Progress toward meeting school level AMOs and the results of the SPI calculation must account for at least 25% of the principal's school growth rating. (PEH p. 7) Reference: ARSD 24:58:01:01(8b)<br><br>Local Flexibility: What percentage of the principal's school growth rating will be based on state assessment data (must be at least 25%)?<br><br>State Model Recommendation: The principal, in cooperation with superintendent, sets school-level growth goals based on the School Performance Index or Annual Measurable Objectives. Score and weight the SLO measure as 75 percent of the school growth rating. The AMO/SPI measure is scored and weighted as 25 percent of the school growth rating. (PEH p. 25) | |

| PRINCIPAL EFFECTIVENESS SYSTEM COMPONENT<br>Elements of the principal effectiveness system are listed below. Required elements include citations to related state model recommendation as described in the Principal Effectiveness Handbook. Optional elements are also presented. | DISTRICT PLAN:<br>Describe how your district will implement the element during the plan year. |
|---|---|
| **2. EVALUATIONS OF STUDENT GROWTH (continued)** | |
| C. The school district has determined a method to assign a school growth rating for principals.<br><br>State Requirement: The AMO/SPI measure is scored and weighted as at least 25 percent of the school growth rating. Reference: ARSD 24:58:01:01(8b)<br><br>State Model Recommendation: Score and weight the SLO measure as 75 percent of the school growth rating. The AMO/SPI measure is scored and weighted as 25 percent of the school growth rating. | |
| **3. SUMMATIVE PRINCIPAL EFFECTIVENESS RATINGS** | |
| A. The school district has determined a method to combine the professional practice rating and school growth rating into one summative principal effectiveness rating.<br><br>State Requirement: Combine the professional practice rating and the school growth rating into a summative principal effectiveness rating that translates into one of three performance categories: Below Expectations, Meets Expectations or Exceeds Expectations. (PEH p. 8)<br>Reference: ARSD 24:58:01:01(9c)<br><br>State Model Recommendation: Use the summative rating scoring matrix to combine the professional practice rating and school growth rating into one summative effectiveness rating of Below Expectations, Meets Expectations or Exceeds Expectations. (PEH p. 28) | |
| **4. RESULTS AND OUTCOMES** | |
| A. The school district has identified procedures to provide principals with clear, timely and useful performance feedback.<br><br>State Requirement: Adopt a local evaluation process that provides principals with clear, timely, and useful feedback that identifies needs and guides professional development. (PEH p. 8) Reference: ARSD 24:58:01:01(9e)<br><br>Local Decision: Does your local evaluation process need to change to accommodate new evaluation requirements? If so, how will it be changed?<br><br>State Model Recommendation: Adopt an annual process that allows principals and evaluators to engage in thoughtful, deliberate discussions designed to improve leadership. The recommended process includes four phases and eight individual steps. (PEH p. 30) | |

| **PRINCIPAL EFFECTIVENESS SYSTEM COMPONENT**<br>Elements of the principal effectiveness system are listed below. Required elements include citations to related state model recommendation as described in the Principal Effectiveness Handbook. Optional elements are also presented. | **DISTRICT PLAN:**<br>Describe how your district will implement the element during the plan year. |
|---|---|
| **4. RESULTS AND OUTCOMES (continued)** | |
| B. The school district has identified procedures to utilize performance evaluation results as a basis to guide professional growth for all principals.<br><br>State Requirement: Evaluations must be used to guide professional growth and development (PEH p. 8) Reference: ARSD 24:58:01:01(9d), ARSD 24:58:03:01(3)<br><br>Local Decision: How will your district use evaluation results to guide professional growth?<br><br>State Model Recommendation: Principals reflect upon feedback provided through evaluations and develop an individual professional growth plan, which is reviewed and approved by the evaluator. | |
| C. The school district has identified procedures to provide a plan of assistance to principals that do not meet the school district's minimum performance standards.<br><br>State Requirement: Adopt procedures for evaluating the performance of principals and assistant principals that include a plan of assistance for any principal or assistant principal whose performance does not meet the requirements. (PEH p. 8)<br>Reference: ARSD 24:58:03:01(3)<br><br>Local Decision: What criteria will determine how principals are placed on a plan of assistance?<br><br>State Model Recommendation: If a plan of assistance is necessary, the principal works with the superintendent to prioritize areas of improvement. | |
| **5. EVALUATION CYCLE** | |
| A. The school district has established an evaluation cycle in which principals regularly receive a summative evaluation.<br><br>State Requirement: Each school district shall evaluate the performance of each principal and assistant principal at **least once per year** for the principal's or assistant principal's **first four years of employment** and at **least every other year thereafter**. (PEH p. 8)<br>Reference: ARSD 24:58:03:01<br><br>Local Decision: How often will principals receive a summative evaluation?<br><br>State Model Recommendation: **First four years of employment**: once per year (2 formative observations and three informal observations).<br>**Five or more years of employment**: once per year (1 formative observation per year, three informal observations per year) | |

# APPENDIX F: SOUTH DAKOTA PRINCIPAL EVALUATION CROSSWALK

Each school district must, at a minimum, utilize the state minimum evaluation requirements when evaluating principals in the district.

## Minimum Requirements

- **Assign a Professional Practice Rating**
  - Professional Practice Rating is the rating assigned to a principal using at least one component from each of the six domains of the South Dakota Framework for Effective Principals.
- **Assign a School Growth Rating based on the following:**
  - Teachers' attainment of student learning objectives (75% of rating)
  - Progress towards meeting school-level goals based on School Performance Index (SPI) or Annual Measurable Objectives (AMOs) (25% of rating)

  **The 25% based on SPI and AMOs will not be used until the 2015-16 school year.**
  - School Growth Rating is the rating assigned to a principal based on student growth.
  - The principal's school growth rating is determined based on the extent to which the teachers' SLO goals have been attained.
  - Student growth is a change in student achievement between two or more points in time.
  - Student learning objectives are target goals of student growth that:
    - Reflect a rigorous, yet realistic, expectation of student growth that can be achieved during the instruction period;
    - Are written by a teacher and approved by an evaluator; and
    - Include district, school or teacher-developed assessment and, where applicable state assessments.
- **Combine the Professional Practice Rating and School Growth Rating into one Summative Effectiveness Rating**
  - Summative Effectiveness Rating is the combination of a principal's Professional Practice Rating and School Growth Rating into one of the following categories: Below Expectations, Meets Expectations, or Above Expectations.
- **Use results to guide professional growth**
- **Provide clear, timely and useful feedback, including feedback that identifies needs and guides professional development**

# SOUTH DAKOTA PRINCIPAL EVALUATION CROSSWALK REQUEST FORM

**District Name:**_____

**Superintendent Name:**_____

**Phone Number:**_____

**Email Address:**_____

**If you choose to request flexibility, please select the area(s) for which you would like flexibility:**

_____ **1)** Request flexibility to use a model of professional practice other than the South Dakota Framework for Effective Principals. (Complete pages 2-9)

____ District-wide
____ School level (identify schools)_____

_____ **2)** Request flexibility to choose an alternative measure of student growth other than 75% on attainment of student learning objectives and 25% on AMOs or SPI growth. (Complete pages 2 & 10-11)

____ District-wide
____ School level (identify schools)_____

_____ _____
**Superintendent** **Date Submitted**

_____ _____
**Approved by School Board President** **Date Approved**

**These forms are due no later than January 31st prior to the school year they will be in effect. They should be sent to:**

**Carla Leingang**
**South Dakota Department of Education**
**800 Governors Drive**
**Pierre, SD 57501**

# SOUTH DAKOTA PRINCIPAL EVALUATION
## CROSSWALK REQUEST FOR PROFESSIONAL PRACTICE RATING

| **What model of professional practice will be used to evaluate principals?** |
|---|
| |

| **Briefly describe the research base for this model:** |
|---|
| |

| **Has the district provided training on this model to principals? If yes, describe the type of training and when it has occurred. If no, will you provide training during the upcoming school year?** |
|---|
| |

| **The minimum requirements for principal evaluation state that at least one component from each of the six domains of the South Dakota Framework for Effective Principals are used to measure a principal. How will you ensure each of the domains is included in the professional practice rating?** |
|---|
| |

**Please attach additional documentation including a rubric, evaluation tool, etc., reflecting the model for professional practice.**

**Using the form on the following 6 pages, identify how the professional practice model can be cross-walked to the South Dakota Framework for Effective Principals.**

| South Dakota Framework for Effective Principals | Rubric Text or Descriptors Aligned to Components | Identify Gaps | Address Gaps |
|---|---|---|---|
| **Domain 1 - Vision and Goals** | | | |
| **To promote student success, principals guide the development and implementation of a shared vision, mission and goals for the school.** | | | |
| **1.1 Develops and implements goals, objectives, and strategies to achieve the shared vision for school and student success.** | | | |
| **1.2 Reviews and monitors the school's vision, mission, goals and school improvement plans to ensure high expectations for student learning and continuous school improvement.** | | | |

| South Dakota Framework for Effective Principals | Rubric Text or Descriptors Aligned to Components | Identify Gaps | Address Gaps |
|---|---|---|---|
| **Domain 2 - Instructional Leadership** | | | |
| **To promote student success, principals engage with teachers, research and data to promote a school culture and instructional program that fosters student learning and staff professional growth.** | | | |
| **2.1 Promotes, facilitates and utilizes the effective use of data from multiple measures to inform instruction and evaluate student performance to support effective instruction.** | | | |
| **2.2 Leads and supports staff in acquiring, planning and implementing research-based instructional strategies and technologies that advance the school's vision and goals and meet the diverse needs of all students.** | | | |
| **2.3 Distributes leadership and creates communities of practice within the school to improve teaching and learning.** | | | |
| **2.4 Ensures that the instructional content/curriculum is aligned with the state/district content standards and curriculum priorities of the school and district.** | | | |
| **2.5 Develops a professional growth plan for the purpose of continuous improvement.** | | | |

| South Dakota Framework for Effective Principals | Rubric Text or Descriptors Aligned to Components | Identify Gaps | Address Gaps |
|---|---|---|---|
| **Domain 3 - School Operations and Resources** | | | |
| **To promote student success, principals efficiently and productively manage operations and resources such as human capital, time and funding.** | | | |
| **3.1 Manages and budgets all resources and operational procedures to provide an efficient, effective and well-maintained learning environment that maximizes learning opportunities for all students.** | | | |
| **3.2 Develops the capacity for shared leadership maximizing both ownership and accountability.** | | | |
| **3.3 Recruits, selects, places, supervises, coaches and evaluates staff to ensure high quality instruction and student success.** | | | |
| **3.4 Resolves potential challenges and maximizes opportunities within existing school operations and resources to ensure high levels of student and adult learning.** | | | |

| South Dakota Framework for Effective Principals | Rubric Text or Descriptors Aligned to Components | Identify Gaps | Address Gaps |
|---|---|---|---|
| **Domain 4 - School, Student and Staff Safety** | | | |
| **To promote student success, principals create a physically, emotionally, cognitively, and culturally safe learning environment for students and staff.** | | | |
| **4.1 Creates a safe school environment that addresses the physical, emotional and cognitive needs of the school community by openly addressing and resolving potential safety issues.** | | | |
| **4.2 Establishes and communicates clear and consistent expectations of staff and student conduct.** | | | |
| **4.3 Utilizes fair, effective, and supportive practices in establishing student behavior management.** | | | |
| **4.4 Uses effective conflict resolution skills to resolve challenges in a timely manner.** | | | |

| South Dakota Framework for Effective Principals | Rubric Text or Descriptors Aligned to Components | Identify Gaps | Address Gaps |
|---|---|---|---|
| **Domain 5 – School and Community Relationships** | | | |
| **To promote student success, principals foster relationships by collaborating, seeking input and communicating with all school and community stakeholders.** | | | |
| **5.1 Supports and promotes a culture of family and community collaboration and involvement to engage stakeholders in school goals and programs.** | | | |
| **5.2 Communicates, receives and utilizes for decision making, information about the school with internal and external audiences through a variety of methods.** | | | |
| **5.3 Establishes and supports a school culture, climate and environment that treats all individuals with dignity, fairness, and respect.** | | | |
| **5.4 Exhibits high visibility and active involvement within the school and community.** | | | |

| South Dakota Framework for Effective Principals | Rubric Text or Descriptors Aligned to Components | Identify Gaps | Address Gaps |
|---|---|---|---|
| **Domain 6 – Ethical and Cultural Leadership** | | | |
| **To promote student success, principals provide ethical, cultural and skilled leadership.** | | | |
| **6.1 Models appreciation for and sensitivity to diversity and cultural differences.** | | | |
| **6.2 Models values, beliefs, and attitudes that inspire others to higher levels of performance.** | | | |
| **6.3 Models the South Dakota Code of Ethics for Professional Administrators.** | | | |

# SOUTH DAKOTA PRINCIPAL EVALUATION
## CROSSWALK REQUEST FOR STUDENT GROWTH

| |
|---|
| **Describe your process for measuring student growth.** |
| **The district's principal student growth measure should use results from the teacher's growth rating. How will you include this data in your measurement of a principal's growth?** |
| **Identify how your measurement reflects a rigorous yet realistic expectation of student growth.** |
| **At least one of the district's principal student growth measures should utilize school-level state accountability data. How will this be measured beginning in the 2015-16 school year?** |
| **How will your measurement of student growth transfer into a school growth rating?** |

| **Please provide additional comments if needed:** |
| --- |
| |

**Please attach additional document, forms, or other information you would like to share.**

# APPENDIX G: PROFESSIONAL PRACTICE RUBRICS

## Domain 1 – Vision and Goals

*Principals/assistant principals shall demonstrate the ability to guide the development and implementation of a shared vision, mission, and goals for the school.*

Effective principals/assistant principals believe that all students can achieve and learn at high levels, and they collaboratively develop and implement a shared vision and mission for the school that supports that central idea. They make sure that the diverse views of all teachers, students, and stakeholders are included in the development and/or revision process. Effective principals develop and utilize the appropriate management tools to support teachers and students to reach the goals and objectives related to the vision and mission. They actively monitor progress toward reaching these goals and make adjustments to the plan as needed.

**Glossary of Terms for Domain 1**

| Term | Definition |
|---|---|
| Collaborative | A group of people routinely working together toward a common goal and making decisions after due consideration of the issues with input by most or all. |
| School Improvement Plan | A document that meets the requirement of the state and/or federal government and includes needs assessment results, measurable annual goals and objectives, strategies for goal attainment, activities, persons responsible, and timelines. Many effective school improvement plans also cite the research supporting selected strategies. |
| School Leadership Team | Team that makes decisions and leads improvement efforts at the school. Typically includes administrators and teachers and may include instructional coaches, parents, district liaisons, and/or staff representatives. |
| Shared vision | All school personnel working together to implement the mission and reach common goals. |
| Stakeholders | Any person, group, or organization that affects or can be affected by the school's actions. Typically includes internal groups such as teachers, administrators, staff, and students and external groups such as parents, community members, and the business community. |

**Component 1.1: Shared Vision for School and Student Success.** *An effective principal/assistant principal develops and implements goals, objectives, and strategies to achieve a shared vision for school and student success.*

An effective principal/assistant principal "promotes the success of every student by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders" (Educational Leadership Policy Standards: ISLLC 2008, 2008). An effective principal will collaboratively create a shared vision of the school to ensure student success. Decisions are consistent with this vision and with the strategic goals; the vision is reflective of high expectations for students and promotes a continuous cycle of improvement.

| **Component 1.1 Shared Vision for School and Student Success.** *An effective principal/assistant principal develops and implements goals, objectives, and strategies to achieve a shared vision for school and student success.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal establishes specific and measureable goals and objectives related to student achievement.<br><br>☐ The principal leads and implements a process for developing a shared vision and strategic goals and objectives for student achievement that reflect high expectations for students and staff.<br><br>☐ The principal maintains a focus on the vision and strategic goals throughout the school year. | ☐ The school's goals, objectives, and strategies reflect a clear relationship between the actions of teachers and leaders aligned to the school improvement plan and the impact on student achievement.<br><br>☐ The decisions of the principal are consistent with the vision of the school as reflected in improvement planning documents.<br><br>☐ With stakeholders, the principal creates a vision for the school that inspires action.<br><br>☐ The strategies contained in the plan are based on a general understanding of research on school and instructional effectiveness.<br><br>☐ The vision reflects high expectations for learning and teaching and promotes continuous improvement for administrators, teachers, staff and students in the school. | and…<br><br>☐ The principal involves stakeholders in a comprehensive diagnosis of the school's strengths and weaknesses using appropriate data and leads a collaborative process to develop a focused, results-oriented strategic plan with annual goals.<br><br>☐ The vision of the leader and the organization are visible, ingrained in the culture of the organization, and routinely used as a reference point for decisions.<br><br>☐ The strategies contained in the plan cite specific research that shows high effect sizes and influence on student achievement.<br><br>☐ The use of strategic guidelines for decision-making filters makes many decisions self-evident and avoids time wasted on unproductive arguments.<br><br>☐ The principal ensures that the school's identity (vision, mission, goals, objectives, and strategies) actually drives decisions and informs the culture of the school. |

**Component 1.2: Reviewing and Monitoring for School Improvement.** *An effective principal/assistant principal reviews and monitors the school's vision, mission, goals, and school improvement plans to ensure high expectations for student learning and continuous school improvement.*

An effective principal/assistant principal designs and implements a collaborative process to collect data about the school's progress for the periodic review and revision of the school's vision. The principal utilizes the data to modify organizational practices and procedures to accomplish the school's mission, vision and goals. A highly effective principal communicates school-wide goals and actions frequently with all appropriate stakeholders.

| **Component 1.2 Reviewing and Monitoring for School Improvement.** *An effective principal/assistant principal reviews and monitors the school's vision, mission, goals, and school improvement plans to ensure high expectations for student learning and continuous school improvement.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal collects and analyzes data for determining the organization's effectiveness in accomplishing the vision of learning and each of the goals in the school improvement plan.<br><br>☐ The principal systematically considers new and better ways of leading for improved student achievement and engages stakeholders in the change process. | ☐ The principal implements collaborative processes for the collection and analysis of data about the school's progress for the periodic review and revision of the school's improvement plan.<br><br>☐ The principal collects and analyzes data at least quarterly with school's leadership team to assess the organization's effectiveness in accomplishing the vision of learning.<br><br>☐ The principal utilizes data to modify organizational practices and procedures for any goal in which sufficient progress has not been made. | and…<br><br>☐ The principal, using data, initiates changes to strategies to improve performance, school culture, and other conditions related to school success.<br><br>☐ The principal collects and analyzes data monthly with school's leadership team to assess the organization's effectiveness in accomplishing the vision of learning and school goals<br><br>☐ The principal collects data to examine fidelity to strategies in the school improvement plan.<br><br>☐ The principal communicates school-wide goals and actions frequently with all appropriate stakeholders. |

## Domain 2 – Instructional Leadership

*Effective Principals/assistant principals shall demonstrate the ability to communicate with staff and review research and data to promote a school culture and instructional program that fosters student learning and professional growth for staff.*

Instructional leadership requires deeper involvement in the core business of schooling, which is teaching and learning. Principals as instructional leaders are required to ensure students receive the most effective instruction from their teachers to learn and apply the knowledge and skills articulated in the approved curriculum – one informed by state content standards and district learning priorities. An effective instructional leader possesses knowledge and uses skills to make a positive impact on curriculum design, instructional practice, and assessment development and use

**Glossary of Terms for Domain 2**

| Term | Definition |
|---|---|
| CIA | Curriculum, instruction, and assessment. |
| Common Assessments | Student assessments measuring common content within a subject matter and grade level. |
| Curriculum | Set of courses or instructional units offered by the school or district. |
| Curriculum Standards | Statements defining what all students need to know, understand, and be able to do. Standards form the framework of the curriculum by stating the most important big ideas, concepts, and skills. |
| Data-informed Decision Making | Making decisions based on a careful analysis of valid and reliable data, typically including demographic, performance, cultural, and perception data. |
| Essential Data | Data identified as non-negotiable for determining instructional improvement. Some examples may include but are not limited to teacher evaluation; student formative and summative assessments; and, state standardized test scores. |
| Experienced Curriculum | The content of courses or instructional units as students understand it. |
| Formative Assessments | Measures that provide an analysis of learning and that are used by teachers and others to adjust instruction to improve student mastery of knowledge and skills. |
| Instructional Model | An approach to instruction that typically incorporates frameworks, components, or domains defining the overarching process to be used to deliver educational content. |
| Implemented Curriculum | The objectives and content actually delivered to students in schools. Both objectives and content are typically local interpretations of what is required in formal curriculum documents. |
| Instructional Strategies | The teaching methods used to deliver the curriculum. |
| Intended Curriculum | The objectives and content of what is expected to be taught; the curriculum planned and expressed through curriculum frameworks and other formal documents. |
| Master Schedule | A document that shows times when classes or blocks of instruction are offered during the course of each day and through the week. Principals typically create master schedules to ensure efficient use of resources such as teachers, support staff, and instructional spaces. Efficiently handled resources assist in ensuring appropriate class sizes, common teacher planning time, advisories, and differentiated instructional opportunities. |

| | |
|---|---|
| Professional Growth Plan | A reflective, collaborative plan developed between administrators and teachers to provide opportunities for the professional growth of the teacher with the ultimate goal of improved student achievement. |
| Research-Based Instructional Strategies | Instructional approaches having produced high yield outcomes for improving student performance. Typically the strategies are detailed in a specific or modified instructional model. |
| Student Misconceptions | Sources of errors in student thinking generally identified through an analysis of responses to specific items on an assessment or test. |
| Summative Assessments | Measures that identify what students have and have not learned at the culmination of a specific unit of instruction. |

**Component 2.1: Effective use of data to support instruction.** *An effective principal/assistant principal promotes, facilitates, and utilizes the effective use of data from multiple measures to inform instruction and evaluate student performance to support effective instruction.*

Effective principals/assistant principals establish a strong culture of data use to ensure that decisions are made based on valid and reliable information. Data from multiple reliable sources provide more accurate information for decision-making. Typical sources of data for instructional decision making include classroom/formative assessments such as unit tests, exit tickets, progress monitoring measures, and checks for understanding; benchmark or interim measures of academic mastery/performance, and summative measures such as state tests. Data from measures of student motivation, school culture, and other perceptions may also be helpful. Several factors (e.g., leadership, planning, implementation, efficacy, and attitude) play a role in the development of a strong purposeful educational community committed to improving instruction through the use of multiple data sources. The principal provides guidance on using data to support the school's vision with the ultimate goal of developing the capacity to use data to inform professional growth and improvement within the instructional staff and the school as a whole. The principal should provide the necessary resources and support to optimize data analysis, interpretation, and use.

| **Component 2.1 – Effective Use of Data to Support Instruction.** *An effective principal/assistant principal promotes, facilitates, and utilizes the effective use of data from multiple measures to inform instruction and evaluate student performance to support effective instruction.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal identifies the essential data that will form the foundation for the school's data-driven school improvement plan.<br><br>☐ The principal develops processes and protocols to collect, interpret, and use data to inform instructional decisions.<br><br>☐ The principal ensures time is provided for teachers to analyze and interpret data to inform instructional decisions.<br><br>☐ The principal articulates a clear vision for the use of school-wide data to improve instructional quality. | ☐ The principal actively engages a school leadership team in the refinement and implementation of a data-driven school improvement plan.<br><br>☐ The principal connects instructional improvement data to professional growth plans of teachers and the professional development plan for the school.<br><br>☐ The principal provides a systematic approach and the necessary supports that foster a data-driven culture within the school.<br><br>☐ The principal provides targeted and specific professional development based on individual teacher and school-wide data. | and…<br><br>☐ The principal actively engages a school leadership team in determining the outcome of the established school improvement goals and formulates strategies designed to meet or extend the goals in the future.<br><br>☐ The principal identifies (for future use) emerging innovative instructional practices and student interventions based on the analysis of instructional improvement data.<br><br>☐ The principal encourages teachers to conduct in-depth analyses of data to identify student misconceptions, reteach concepts associated with misconceptions, and revise instructional approaches as needed. |

**Component 2.2: Involvement in Curriculum, Instruction, and Assessment.** *An effective principal/assistant principal leads and supports staff in acquiring, planning, and implementing research-based instructional strategies and technologies that advance the school's vision and goals and meet the diverse needs of all students.*

Effective principals/assistant principals are actively involved in the design, development, and implementation of the curriculum, effective instructional strategies, and the development and use of student assessments. Principals demonstrate knowledge of current research on effective instructional practices (both content and pedagogy) and are able to affect the schools ability to deliver high-quality instruction. To accomplish high levels of student achievement, they engage staff in developing knowledge and skills about student learning, curriculum design, instructional delivery, assessment development and administration, and analysis. Principals promote and ensure appropriate levels of rigor in instruction.

Effective principals encourage teachers and provide systematic support that fosters the use of research-based methods to develop and deliver multiple instructional approaches to meet individual learning needs of students. Systems of data collection are implemented that provide teachers with quality constructive feedback on their instruction and action is taken to make adjustments when necessary and appropriate.

| **Component 2.2 – Involvement in Curriculum, Instruction, and Assessment.** *An effective principal/assistant principal leads and supports staff in acquiring, planning, and implementing research-based instructional strategies and technologies that advance the school's vision and goals and meet the diverse needs of all students.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal, teachers, and/or students establish rigorous measureable goals for improving the learning of every student.<br>☐ The principal is actively involved in helping teachers implement research-based instruction.<br>☐ The principal provides planning time and professional development on the implementation of effective curriculum design, instruction, and assessment development (CIA).<br>☐ The principal develops a master schedule that includes appropriate time for teacher planning and professional development. | ☐ The principal systematically monitors the progress of student learning using data to include formative and common assessments.<br>☐ The principal monitors and evaluates the fidelity of implementing research-based instructional strategies through clearly defined protocols for collecting, analyzing and reporting data.<br>☐ The principal develops and executes a specific and targeted plan for CIA professional development for instructional staff informed by teacher evaluation, student achievement, and other applicable data sources. | and…<br>☐ The principal leverages the schools leadership team to analyze multiple data sources to refine ongoing CIA improvement priorities.<br>☐ The principal adds value to the district by exemplifying continued professional growth and collaborating with colleagues by sharing work that yields high measures of teacher and student productivity.<br>☐ The principal establishes tools such as data walls, data notebooks, or easily generated data reports to track student progress. |

**Component 2.3: Distributive Leadership.** *An effective principal/assistant principal utilizes the skills of staff and encourages staff to assume leadership roles within the school to improve teaching and learning.*

Effective principals/assistant principals utilize the skills of others and encourage teachers and staff to assume leadership roles within the school. Research has shown that distributive leadership can positively impact student achievement through the increased access to this collective knowledge (Mendels, 2012). The effective leader will seek out and select qualified potential leaders and will support them as they take on these new responsibilities.

| **Component 2.3 – Distributed Leadership.** *An effective principal/assistant utilizes the skills of staff and encourages staff to assume leadership roles within the school to improve teaching and learning.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal provides formal and informal opportunities to mentor some emerging leaders.<br><br>☐ The principal provides moderate support and encouragement of leadership and growth as evidenced by assignment of staff to existing leadership positions.<br><br>☐ The principal occasionally seeks out and selects staff members for increased responsibility based on their qualifications, performance and/or effectiveness.<br><br>☐ The principal monitors completion of delegated tasks and/or responsibilities, but not necessarily progress towards completion. | ☐ The principal provides formal and informal opportunities to mentor all emerging leaders.<br><br>☐ The principal promotes support and encouragement of leadership and growth as evidenced by the creation of, and assignment to, leadership positions or learning opportunities.<br><br>☐ The principal consistently seeks out and selects staff members for increased responsibility based on their qualifications, performance, and/or effectiveness.<br><br>☐ The principal monitors the progress towards success of those to whom delegations have been made. | and…<br><br>☐ The principal systematically provides opportunities for emerging leaders to distinguish themselves and gives them the authority to complete the task.<br><br>☐ The principal recognizes and celebrates emerging leaders.<br><br>☐ The principal encourages and supports staff members to seek out responsibilities.<br><br>☐ The principal monitors and supports staff in a fashion that develops their ability to manage tasks and responsibilities. |

**Component 2.4: Monitoring and Evaluating Standards and Content.** *An effective principal/assistant principal ensures that the instructional content and curriculum is aligned with state and district content standards and the curriculum priorities of the school and district.*

One significant factor that influences student achievement is the implementation of a "guaranteed and viable curriculum", (Dean, Pitler, & Stone, Alexandria). A guaranteed and viable curriculum is primarily a combination of two main factors, "opportunity to learn" (guaranteed) and "time" (viable) (Marzano, 2003). Alignment to standards is also critically important for success. Students do not learn what they have not been taught.

This component of instructional leadership requires that principals examine the alignment of the intended curriculum (state content standards) with the implemented curriculum. The central goal of alignment is to ensure that all students have access to the knowledge and skills required to graduate from high school, to be college and/or career ready, and to be measured on state assessments.

**Domain 2.4 – Monitoring and Evaluating Standards and Content.** *An effective principal/assistant principal ensures that the instructional content and curriculum is aligned with state and district content standards and the curriculum priorities of the school and district.*

| Unsatisfactory | Basic | Proficient | Distinguished |
|---|---|---|---|
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal ensures alignment of the implemented curriculum (school) to the intended curriculum (state/district content standards).<br><br>☐ The principal ensures that teachers have the necessary time to cover the content of the intended curriculum at the appropriate depth.<br><br>☐ The principal implements systems that minimize or eliminate interruptions or distractions from instructional time. | ☐ The principal systematically monitors the implemented curriculum (school) to ensure alignment with the intended curriculum (state/district content standards) and teachers are on schedule to teach intended curriculum at the appropriate depth.<br><br>☐ The principal ensures that teachers are aware of the approximate pacing they need to address all standards. | and…<br><br>☐ The principal collaborates with the school's leadership team to analyze data from the experienced curriculum (student learning) to make necessary adjustments so that the implemented curriculum aligns with the intended curriculum.<br><br>☐ The principal collaborates with teacher teams to review alignment to ensure teaching is at the appropriate depth. |

**Component 2.5: Continuous Improvement.** *An effective principal/assistant principal develops a professional growth plan for staff for the purpose of continuous improvement.*

Effective principals/assistant principals collaboratively develop a professional growth plan using an analysis of student academic performance, student behavior, school climate, and aligned continuous improvement strategies. The leader uses multiple data sources to assess growth. Effective principals participate in professional development opportunities that are designed to enhance their own instructional and leadership capacities and provide appropriate professional development to teachers and staff. Effective principals encourage and support staff members as they participate in professional development opportunities linked to their individual growth plan.

| **Component 2.5 – Continuous Improvement.** *An effective principal/assistant develops a professional growth plan for staff for the purpose of continuous improvement* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal analyzes data and uses results in the development of the professional growth plan.<br><br>☐ The principal draws on the research of continuous improvement strategies in the development of the professional growth plan.<br><br>☐ The principal ensures that staff has professional development opportunities to access research-based practices focusing on enhancement of their instructional and leadership capacities. | ☐ The principal uses multiple sets of data in the collaborative development of the professional growth plan.<br><br>☐ The principal applies effective continuous improvement strategies in the implementation of the professional growth plan.<br><br>☐ The principal encourages and supports staff participation in professional development opportunities to access research-based practices that focus on enhancement of their instructional and leadership capacities. | and…<br><br>☐ The professional growth plan includes both short-term and long-term goals and objectives.<br><br>☐ The principal provides models of effective practice as part of the professional growth plan. |

## Domain 3 – School Operations and Resources

*Principals/assistant principals shall demonstrate the ability to efficiently and productively manage school operations and resources.*

Effective principals/assistant principals manage school operations efficiently by understanding the budgeting process, by identifying and procuring outside funding, and by obtaining the most effective teachers and staff in order to maximize student learning. Effective principals provide staff members with leadership opportunities, support change initiatives that are geared toward eliminating learning gaps, and create an environment that is nurturing to both students and adults.

**Glossary of Terms for Domain 3**

| Term | Definition |
|---|---|
| Achievement Gap | The disparity between the performance of subpopulations of students, usually defined by gender, race/ethnicity, and socioeconomic status. |
| Formative Feedback | Ongoing feedback intended to adjust performance in order to improve student achievement and understanding. |
| Summative Feedback | Formal feedback provided during a teacher's evaluation designed to provide an overall rating of teaching performance using pre-specified criteria. |
| Teacher Evaluations | Evaluation typically occurring once a year and resulting in a performance classification and the development of a professional growth plan aligned with school goals. |

**Component 3.1:** *An effective principal/assistant principal manages and budgets all resources and school operational procedures to provide an efficient, effective, and well-maintained learning environment that maximizes learning opportunities for all students.*

In order to provide the best learning opportunities for all students, effective principals/assistant principals have extensive knowledge of the budgeting process along with knowledge of outside funding opportunities. An effective principal allocates human, financial, and other resources in a way that provides the most at-risk students with the best possible resources. Additionally, the effective principal collaboratively works with staff to make teaching and support assignments that most effectively meet student needs.

| **Component 3.1 – Operational Procedures.** *An effective principal/assistant principal manages and budgets all resources and school operational procedures to provide an efficient, effective, and well-maintained learning environment that maximizes learning opportunities for all students.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal allocates human, financial, and other resources (such as time and material) using the past as a guide rather than basing decisions on current need.<br><br>☐ The principal occasionally uses budgets to focus resources on school improvement priorities.<br><br>☐ The principal demonstrates knowledge of the alignment of school budget, human resources, and technological resources. | ☐ The principal leverages knowledge of the budgeting process, categories, and funding sources to maximize all available dollars and other resources to achieve strategic priorities.<br><br>☐ The principal effectively manages the school budget, determines staff assignments, and distributes technological resources to address student learning needs.<br><br>☐ The principal obtains and allocates funds based on student needs within the framework of federal, state, and district policies and works with staff to determine how school financial resources can be equitably and effectively allocated to support student learning needs. | and…<br><br>☐ The principal has established processes to leverage existing limited funds and increase capacity through grants, donations, and community resourcefulness.<br><br>☐ The principal works with all appropriate stakeholders to ensure strategic and equitable allocation and effective use of financial, human, and technological resources to meet instructional goals and support teacher needs to maximize student learning. |

**Component 3.2: Shared Leadership.** *An effective principal/assistant principal develops the capacity of staff to serve as leaders within the school, maximizing both ownership and accountability.*

Effective principals/assistant principals provide shared leadership opportunities by delegating authority and empowering school staff. The effective principal provides professional development and individualized coaching to support acquisition of leadership skills by aspiring and emerging leaders. Effective principals promote aspiring and emerging leaders' ownership of tasks and hold them accountable for implementing positive processes and achieving desired outcomes. In addition, effective principals ensure that there is a climate of respect and support for staff taking leadership roles.

| **Component 3.2 - Shared Leadership.** *An effective principal/assistant principal develops the capacity of staff to serve as leaders within the school, maximizing both ownership and accountability.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal occasionally delegates tasks that could and should be done by others.<br><br>☐ The principal provides feedback for current and emerging staff leaders to help them acquire leadership skills.<br><br>☐ The principal recognizes the need for distributed leadership in management of the organization. | ☐ The principal shows a clear pattern of delegated decisions conferring authority to match responsibility at every level in the organization.<br><br>☐ The principal provides leadership development opportunities for staff to help them acquire leadership skills.<br><br>☐ The principal outlines leadership expectations for staff leaders and holds them accountable for outcomes.<br><br>☐ The principal creates a climate of respect for staff who are serving as leaders. | and…<br><br>☐ The principal provides opportunities for faculty members to participate in the facilitation of meetings and exercise leadership in committees and task forces; and opportunities for other employees, including noncertified staff, to exercise appropriate authority and assume leadership roles where appropriate.<br><br>☐ The principal proactively identifies potential leaders and provides support for them to volunteer to lead specific staff activities.<br><br>☐ The principal provides leadership development opportunities for staff designed to enhance management of the organization and to foster career development of staff. |

**Component 3.3: High Quality Teachers.** *An effective principal/assistant principal selects, supervises, coaches and evaluates staff to ensure high quality instruction and student success.*

Effective principals/assistant principals understand the correlation between effective teachers and increased student achievement and work hard to recruit, select, and place teachers to maximize student achievement. Effective principals use rigorous selection criteria to hire staff and make placement decisions based on the match between teacher strengths, student needs, and fit with school culture/staff collegiality. To retain highly effective teachers, effective principals create a work environment that is conducive to nurturing teacher skills, efficacy, and positive attitudes. They supervise and evaluate staff using multiple methods that result in fair and accurate performance assessment. Effective principals provide timely and constructive feedback to staff to help them improve their practices. In addition, effective principals are able to coach their staff and provide professional learning opportunities that are research-based and have been shown to have strong positive impacts on populations of students similar to the students in the principal's school.

| **Component 3.3 – High Quality Teachers.** *An effective principal/assistant principal selects, supervises, coaches and evaluates staff to ensure high quality instruction and student success.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal (to inform staff placement) has general selection criteria to perform a detailed assessment of potential staff knowledge, skills, and dispositions.<br><br>☐ The principal analyzes teacher evaluations to determine which teachers will be given retention offers and occasionally retains teachers based on factors other than performance.<br><br>☐ The principal fairly and consistently evaluates school personnel. | ☐ The principal hires teachers who have a philosophy of teaching and learning similar to other teachers in the school.<br><br>☐ The principal has clear and articulated selection criteria in place and assesses staff skills and staff fit with school culture/staff collegiality to place teachers in specific grade level and content areas.<br><br>☐ The principal implements a formal retention strategy that recognizes effective staff through performance evaluation and gives retention offers based on effectiveness.<br><br>☐ The principal fairly and consistently evaluates school personnel in accordance with state and district guidelines and provides them with timely and constructive feedback focused on improved student learning. | and…<br><br>☐ The principal implements clear selection criteria and strategically assesses and places teachers in grade level and content areas to create a balanced collegial team with a variety of strengths.<br><br>☐ The principal routinely provides teachers and staff with individualized timely, constructive formative and summative feedback resulting in improved school personnel performance and higher student growth.<br><br>☐ The principal provides effective coaching for all teachers, providing individual support as needed to improve growth and effectiveness.<br><br>☐ The principal provides professional learning opportunities that are research-based and have been shown to have strong positive impacts on populations of students similar to the students in the principal's school. |

**Component 3.4: Challenges and Opportunities.** *An effective principal/assistant principal resolves potential challenges and maximizes opportunities within existing school operations and resources to ensure high levels of student and staff learning.*

Effective principals/assistant principals are proactive in identifying potential challenges that may inhibit school effectiveness and efficiency. Effective principals monitor school operations such as expenditures, transportation, food service, facilities maintenance, and other operations; flag any area where issues appear to be emerging; and put an action plan in place to address the issue before it becomes problematic and affects student learning. Effective principals routinely study key operations performance indicators and make improvements as needed to increase efficiency and effectiveness. Effective principals analyze resource allocation to ensure that resources are being optimally applied. In addition, effective principals engage staff in providing feedback and making decisions to maximize student and adult learning.

| **Component 3.4 – Challenges and Opportunities.** *An effective principal/assistant principal resolves potential challenges and maximizes opportunities within existing school operations and resources to ensure high levels of student and staff learning.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal demonstrates emerging awareness of specific challenges that may inhibit school effectiveness and efficiency.<br><br>☐ The principal annually reviews performance indicators to ensure that school operations are within budget and are supporting effective teaching and learning. | ☐ The principal monitors school operations such as expenditures, transportation, food service, facilities maintenance, and other operations to identify any area that is not operating optimally and puts an action plan in place to address any areas of concern, with a priority on those that affect teaching and learning.<br><br>☐ The principal analyzes resource allocation to ensure that resources are being used efficiently and effectively. | and…<br><br>☐ The principal is proactive at identifying potential challenges that may inhibit school effectiveness and efficiency by monitoring school operations and looking for early warning signs for any operational area where issues appear to be emerging.<br><br>☐ The principal routinely studies key operational performance indicators and makes improvements as needed to increase efficiency and effectiveness.<br><br>☐ The principal engages staff in providing feedback and making decisions to maximize student and adult learning. |

## Domain 4 – School, Student and Staff Safety

*Principals/assistant principals shall demonstrate the ability to foster a physically, emotionally, and cognitively safe learning environment for students, staff, and community.*

Effective principals/assistant principals create and maintain a safe, nurturing school culture and environment that supports the physical, emotional, and cognitive needs of students, teachers, and other staff in the building. Effective principals openly and immediately address any potential or actual safety issue. Effective principals ensure that expectations for behavior are clear and consistently enforced. Positive behavioral expectations are based on the school vision and mission and support high expectations for student learning. Effective principals ensure that any conflicts that arise are resolved swiftly, fairly, and constructively. The principal puts practices in place to ensure all parties feel respected and understood. In addition, the principal ensures that there is respect for diverse cultures and opinions.

**Glossary of Terms for Domain 4**

| Term | Definition |
|---|---|
| School culture | The values, norms, traditions, rituals, and interpersonal relationships that define expectations for behavior and attitudes in a school. |

**Component 4.1: Safe Environment.** *An effective principal/assistant principal creates a safe school environment that addresses the physical, emotional, and cognitive needs of the parents, students, staff, and the community by openly addressing and resolving potential safety issues.*

Effective principals/assistant principals take responsibility for establishing a safe and nurturing environment and establishing a positive school culture where students and adults feel that their school-related physical, emotional, and cognitive needs are being met and where they feel safe and secure. Effective principals create routines and policies that promote safety, such as having single points of entry, screening/identification of all visitors, and practicing emergency preparedness. Effective principals foster emotionally safe environments by ensuring that there is respect between and among teachers, students, and others in the building and by strongly promoting respect for diverse cultures and diverse opinions. Effective principals ensure cognitive safety by providing a collegial climate, support for intellectual risk-taking, and constructive and supportive feedback offered among and between adults and students. All potential and actual safety issues are addressed openly, immediately, and constructively. In addition, anti-bullying, gang prevention, and other strategies and programs to prevent violence are put into place.

| **Component 4.1 – Safe Environment.** *An effective principal/assistant principal creates a safe school environment that addresses the physical, emotional, and cognitive needs of the parents, students, staff, and the community by openly addressing and resolving potential safety issues.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal establishes routines and policies that promote safety and intermittently supervises implementation.<br><br>☐ The principal fosters emotionally safe environments by ensuring mutual respect among and between staff and students.<br><br>☐ The principal fosters emotionally safe environments by ensuring there is respect for cultural diversity.<br><br>☐ The principal addresses actual safety issues openly, immediately, and constructively. | ☐ The principal establishes routines and policies that promote safety and routinely supervises implementation.<br><br>☐ The principal fosters emotionally safe environments by ensuring there is respect for cultural diversity and divergent opinions.<br><br>☐ The principal supports the development, implementation, and monitoring of plans, systems, curricula, and programs that provide resources to support social, emotional, and intellectual safety.<br><br>☐ The principal addresses actual and potential safety issues openly, immediately, and constructively. | and…<br><br>☐ The principal involves teachers, staff, and other stakeholders in the continuous monitoring and periodic review of the effectiveness of safety policies and procedures.<br><br>☐ The principal helps students acquire positive protective strategies that reduce risk for all students and staff.<br><br>☐ The principal makes emotional and intellectual safety a top priority for staff and students and ensures a school culture in which students and staff are respected, take responsibility for their own behavior, and help others.<br><br>☐ The effective principal ensures that school community members are trained and empowered to improve and sustain a culture of physical, emotional, and cognitive safety and seeks input to engage in continuous improvement. |

**Component 4.2: Clear and Consistent Expectations.** *An effective principal/assistant principal establishes and communicates clear and consistent expectations regarding staff and student conduct.*

Effective principals/assistant principals create clear expectations for student and adult conduct that specify behaviors and rules that contribute to reaching the school's mission and vision. Effective principals clearly communicate these expectations to school staff, students, and parents/guardians in written, verbal, and electronic form. All stakeholders are made aware that they are individually accountable for their behavior. Effective principals consistently enforce rules of conduct and treat individuals fairly. Effective principals hold teachers and other staff accountable for consistent enforcement of student codes of conduct. Effective principals address violations of the code of conduct or behavioral expectations swiftly and fairly.

| **Component 4.2 – Staff and Student Expectations.** *An effective principal/assistant establishes and communicates clear and consistent expectations regarding staff and student conduct.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal distributes written communications about behavioral expectations and code of conduct to all school staff, students, and parents/guardians.<br><br>☐ The principal enforces the codes of conduct.<br><br>☐ The principal addresses violations of the code swiftly and fairly. | ☐ The principal clearly communicates behavioral expectations and student and adult codes of conduct in written, verbal, and electronic forms to all school staff, students, and parents/guardians and informs them that they are individually accountable for their behavior.<br><br>☐ The principal ensures that the adult and student codes of conduct and behavioral expectations are consistently enforced and holds adults accountable for consistent enforcement of student expectations. | and…<br><br>☐ The principal links clear and consistent messaging about behavioral expectations to the mission and vision for the school.<br><br>☐ The principal examines trends in violations of code of conduct and refines and communicates expectations and/or develops initiatives that lead to a reduction in the numbers of violations.<br><br>☐ The principal involves staff and students in developing additional expectations as new issues emerge (such as cell phone and other electronic device use during class and cyber-bullying). |

**Component 4.3: Student Behavior Management.** *An effective principal/assistant principal utilizes fair, effective, and supportive practices in establishing student behavior management.*

Effective principals/assistant principals work with staff to create a "single school culture" or model for behavior, where all staff enforce common protocols for classroom behaviors, transitions in the hallways, cafeteria behavior, playground behavior, and other student behaviors related to having an orderly environment. Effective principals monitor to ensure that the common expectations are consistently enforced and effective. At the elementary level, the principal provides positive reinforcement to students for meeting behavioral expectations.

| **Component 4.3 - Student Behavior Management.** *An effective principal/assistant principal utilizes fair, effective, and supportive practices in establishing student behavior management.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal expects teachers and staff to establish rules for student behavior in classrooms, hallways, cafeteria, playgrounds and other common areas, but allows each teacher to have his/her own rules, protocols, and standards.<br><br>☐ The principal occasionally monitors to ensure that the common expectations are consistently enforced and effective.<br><br>☐ The principal provides positive reinforcement to students for meeting behavioral expectations. | ☐ The principal establishes and implements common expectations for behaviors and routines for common areas or events such as hallways, cafeteria, playgrounds, and assemblies.<br><br>☐ The principal works with teachers to establish some common classroom expectations and protocols for student behavior.<br><br>☐ The principal routinely monitors to ensure that common expectations are consistently enforced and effective. | and…<br><br>☐ The principal work with teachers to create a "single school culture" or model for behavior, where all teachers enforce common protocols for classroom behaviors, transitions in the hallways, cafeteria behavior, playground behavior, and other student behaviors related to having an orderly environment.<br><br>☐ The principal routinely monitors to ensure that common expectations in the classroom are consistently enforced and effective.<br><br>☐ The principal collects feedback from students and parents on the effectiveness of the "single school culture" and adjusts, as needed using the input of all stakeholders. |

**Component 4.4: Conflict Resolution.** *An effective principal/assistant principal uses effective conflict resolution skills to resolve challenges in a timely manner.*

Effective principals/assistant principals help to resolve disputes quickly and constructively and are adept at understanding the underlying cause of the disruption. Effective principals are fair to all parties in facilitating conflict resolution, taking time to listen to all points of view and helping the disputing individuals to understand each other's points of view and why a particular resolution is the best course of action. Effective principals serve as a model and teach adults and students in the building how to resolve conflicts in constructive ways. In addition, effective principals help students learn to manage their own behaviors so that conflicts are more easily and productively resolved without adult intervention. Effective principals also work with students and staff to identify potential sources of conflict proactively and prevent conflicts from occurring.

| **Component 4.4 - Conflict Resolution.** *An effective principal/assistant principal uses effective conflict resolution skills to resolve challenges in a timely manner.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal helps resolve disputes quickly and constructively.<br><br>☐ The principal is fair to all parties in facilitating conflict resolution, taking time to listen to all points of view.<br><br>☐ The principal serves as a model and ensures that adults and students in the building are taught how to resolve conflicts in constructive ways. | ☐ The principal helps resolve disputes quickly and efficiently and seeks to understand the root cause of the conflicts.<br><br>☐ The principal is fair to all parties in facilitating conflict resolution, taking time to listen to all points of view, helping disputing individuals understand each other's position, and helping them understand and accept the best option for resolution. | and…<br><br>☐ The principal deals effectively with any disputes quickly and constructively and analyzes conflicts to identify and address the root cause.<br><br>☐ The principal ensures that all those who facilitate conflict resolution are fair, and helps disputing individuals understand each other's position and accept the best option for resolution.<br><br>☐ The principal works with staff to teach students self-management so that conflicts are more easily and productively resolved without adult intervention.<br><br>☐ The principal works with school staff and students to prevent anticipated conflicts from occurring. |

## *Domain 5* – School and Community Relationships

*Principals/assistant principals shall demonstrate the ability to foster relationships by collaborating with parents, staff, and community members.*

Effective principals/assistant principals create a culture of collaboration between the school, families, and communities by creating an inviting environment that helps parents and community members feel welcome and comfortable in the school and by ensuring that parent and community member contributions are acknowledged and valued. Effective principals establish partnerships to engage parents/guardians and community members in establishing and supporting school goals and programs. Effective principals establish and maintain two-way communications among teachers, families, and community members using a variety of methods to ensure that all internal and external stakeholders have access to information about the school. Effective principals create a collaborative approach to helping all students succeed and ensure that the school culture promotes the treatment of all individuals with dignity, fairness, and respect. In addition, effective principals are visible ambassadors and advocates for the school by maintaining active involvement in parent-teacher organizations and community organizations. Effective principals establish positive relationships with members of the surrounding business community.

**Glossary of Terms for Domain 5**

| Term | Definition |
|---|---|
| Culture of collaboration | A set of norms, values, and behaviors that promotes frequent communication and solicitation of input and feedback among and between administrators and teachers in the school, parents/guardians of students attending the school, and members of the surrounding community. |
| Culturally sensitive practices | A set of behaviors that reflect knowledge of various cultures and respect for diversity of individuals' cultural/racial/linguistic backgrounds. |
| Meaningful involvement | Practices that help parents and family members feel that they are making a significant contribution to the mission and vision of the school and student achievement rather than simply serving as volunteers who conduct menial tasks such as filing. |

**Component 5.1: Culture of Family/Community Collaboration and Involvement.** *An effective principal/assistant principal supports and promotes a culture of family and community involvement to engage stakeholders in school goals and programs.*

Effective principals/assistant principals recognize that involving family and the community in the education of the students has an impact on student achievement, retention rates, staff morale, and improved use of resources (Epstein, Sanders, Sheldon, & al., 2009). Effective principals ensure that all families are welcome and that barriers to involvement have been addressed. Effective principals establish partnerships to engage parents/guardians and community members in establishing and supporting school goals and programs. Effective principals help stakeholders see the value of education for postsecondary success and community vitality. They monitor and adjust the involvement as needed to continually meet student needs and ensure that parents/guardians and community member contributions are acknowledged and that parents and community members feel valued.

| **Component 5.1 – Culture of Family/Community Collaboration and Involvement.** *An effective principal/assistant principal supports and promotes a culture of family and community involvement to engage stakeholders in school goals and programs.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal helps families/caregivers feel welcome at the school by creating an inviting environment and opportunities for involvement.<br><br>☐ The principal works with staff, families, and caregivers to identify barriers to involvement.<br><br>☐ The principal works with parent representatives to provide input to decisions about school goals and programs.<br><br>☐ The principal acknowledges parent and community member contributions to the school. | ☐ The principal creates multiple opportunities for meaningful involvement at the school.<br><br>☐ The principal works with staff and families/caregivers to implement strategies to address barriers to involvement.<br><br>☐ The principal works with parents and community members to provide input to decisions about school goals and programs.<br><br>☐ The principal acknowledges parent and community member contributions to the school and ensures that parents and community members feel valued. | and…<br><br>☐ The principal actively monitors parent and community involvement and adjusts as needed to create new opportunities for families and the community to support school success.<br><br>☐ The principal communicates the value of education for postsecondary success and community vitality and engages parents and community members to convey the same message to others.<br><br>☐ The principal routinely collects information on the effectiveness of parent, community, and school collaboration and engages parents and community members in improving the effectiveness of the partnerships. |

**Component 5.2: Two-way Communication with Internal and External Audiences.** *An effective principal/assistant principal uses multiple methods to frequently and clearly communicate to, and seek input from, parents, staff, and community members.*

Effective principals/assistant principals establish, maintain, and utilize multiple communication systems for students, parents, staff, and community members so that all stakeholders have access to information about the school and can communicate with the school easily and effectively. Effective principals use a variety of communication methods tailored to the intended audience and monitors to ensure that the methods are effective. In addition, principals ensure that the communication is frequent, clear, and easily understood and provide useful information to the intended audiences. Effective principals acknowledge incoming information and utilize the information, as appropriate, for decision-making.

| **Component 5.2 – Two-way Communication with Internal and External Audiences.** *An effective principal/assistant principal uses multiple methods to frequently and clearly communicate to and seek input from parents, staff, and community members.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal communicates frequently with parents and staff using multiple accessible methods of communication (verbal, written, e-mail/electronic, and posted on the school website).<br><br>☐ The principal provides parents and community members with information on multiple methods (in-person, telephone, electronic via e-mails or websites) to communicate with the school.<br><br>☐ The principal's communications are clear and easily understood.<br><br>☐ The principal utilizes some of the information provided by parents and the community in making decisions. | ☐ The principal builds effective two-way communication systems between home, community and school using multiple accessible methods including verbal, written, and electronic communications.<br><br>☐ The principal provides opportunities for parents to have access to electronic communications.<br><br>☐ The principal skillfully and clearly communicates information tailored to specific audiences, provides language translation as needed, and ensures that communications are easily understood.<br><br>☐ The principal considers all of the information provided by parents and community members in making decisions. | and…<br>☐ The principal moves beyond typical communication practices to proactively develop relationships with parents/guardians and community through home visits, innovative technology, and visiting community groups.<br><br>☐ The principal creates and promotes opportunities for students and families to explain and share their experiences with school and establishes a feedback loop that is invitational, transparent, effective, and trusted by members of the community. Examples include open forums, focus groups, surveys, etc.<br><br>☐ The principal tracks the impact of interactions with stakeholders by revising the approach and expanding the scope of communications when appropriate.<br><br>☐ The principal monitors the success of different approaches to communicating to identify the most appropriate channel of communicating in specific situations.<br><br>☐ The principal conveys information about how input from staff, parents, and/or community members was used in making decisions. |

**Component 5.3: Culture of Dignity, Fairness, and Respect.** *An effective principal/assistant principal establishes and supports a school culture, climate, and environment that treat all individuals with dignity, fairness, and respect.*

Effective principals/assistant principals model respectful behavior and hold teachers, other staff, and students to this high standard by taking appropriate action to reinforce respectful behavior when necessary. Effective principals take swift appropriate actions when inappropriate conduct is reported or observed. Effective principals build school and community capacity for dignity, fairness, and respect by initiating direct conversations about culture and diversity and how they impact learning.

| **Component 5.3 – Culture of Dignity, Fairness, and Respect.** *An effective principal/assistant principal establishes and supports a school culture, climate, and environment that treat all individuals with dignity, fairness, and respect.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal occasionally models professionalism.<br><br>☐ The principal occasionally holds students and colleagues to professional, ethical, and respectful behavior expectations.<br><br>☐ The principal actively seeks opportunities to engage in courteous conversations about diversity and culture. | ☐ The principal models professional, ethical, and respectful behavior at all times.<br><br>☐ The principal expects students and colleagues to display professional, ethical, and respectful behavior at all times.<br><br>☐ The principal builds the schools' and communities' collective capacity by initiating direct conversations about culture and diversity and how they impact learning. | and…<br>☐ The principal articulates and communicates appropriate behavior to all stakeholders, including parents and the community.<br><br>☐ The principal creates mechanisms, systems, and/or incentives to motivate students and colleagues to display professional, ethical, and respectful behavior at all times.<br><br>☐ The principal develops structures, outreach and training to ensure that staff develop the skill set to treat all people equitably and with respect.<br><br>☐ The principal develops staff capacity to engage in courageous conversations about diversity and culture – and how they impact student learning. |

**Component 5.4: Active Involvement with the Community.** *An effective principal/assistant principal exhibits high visibility and active involvement within the school and community.*

Effective principals/assistant principals manage and maintain positive relationships with all individuals within the school and the community. Effective principals are active and visible within the district and the community. Effective principals are engaged and active participants in district meetings, participate in district-wide projects when asked, support the district mission, vision, and strategic plan, and demonstrate open and timely communication with colleagues. Effective principals establish connections with the community that align and support accomplishment of the school vision and goals. In addition, effective principals are recognized by community members as effective leaders.

| **Component 5.4 – Active Involvement with the Community** *An effective principal/assistant principal exhibits high visibility and active involvement within the school and community.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal is an engaged and active participant in district meetings, participates in district-wide projects when asked, is supportive of the district mission, vision, and strategic plan, and demonstrates open and timely communication with colleagues.<br><br>☐ The principal engages some community organizations, community members, and/or businesses in annual school events. | ☐ The principal is an engaged and active participant in district meetings, proactively volunteers to participate and support in district-wide projects, is supportive of the district mission, vision, and strategic plan, and demonstrates open and timely communication with colleagues.<br><br>☐ The principal establishes ongoing positive relationships with community organizations, community members, and businesses and consistently makes efforts to maximize community contributions to school effectiveness. | and…<br><br>☐ The principal establishes strategic partnerships with community organizations, community members, and businesses that improve school effectiveness and works to increase the types and number of organizations with whom the school partners in order to deepen relationships and increase partner contributions.<br><br>☐ The principal is a district leader in promoting and enhancing collegial working relationships through timely communication, mentoring, sharing best practices and volunteering for projects in support of colleagues.<br><br>☐ The principal is well-known and highly regarded by internal and external stakeholders as an effective leader. |

## *Domain 6* – Ethical and Cultural Leadership

*Principals/assistant principals shall demonstrate the ability to provide ethical, cultural, and skilled leadership.*

Cultural proficiency is a system requiring the integration and transformation of knowledge about individuals and groups of people into specific standards, policies, practices, values, and attitudes used in appropriate cultural settings to increase the effectiveness and quality of services, thereby producing better outcomes (Davis & Donald, 1997). Effective leaders should try to incorporate cultural leadership into all aspects of their work and interactions with stakeholders. Effective principals are models of ethical behavior and follow the South Dakota Code of Ethics for Professional Administrators.

**Glossary of Terms for Domain 6**

| Term | Definition |
|---|---|
| Cultural competence | The ability to interact positively with people from different cultural backgrounds. Cultural competence includes an awareness of one's own cultural world view, understanding and appreciation of other cultural differences and world views, and the development of skills that lead to the ability to understand, communicate with, and effectively interact with people across cultures. |
| Culturally responsive instruction | Pedagogy that recognizes the importance of including students' cultural references in all aspects of learning. Includes instruction that incorporates activities within the context of various cultures; uses examples that are relevant to students' lives; and uses curricular resources that reflect students' backgrounds. |
| *South Dakota Code of Ethics for Professional Administrators* | The professional administrator shall comply with the following code of ethics: (1) Make the well-being of the students the basis of decision making and action; (2) Enforce and obey local, state, and national rules and laws in the performance of duties;(3) Exemplify high moral standards by not engaging in or becoming a party to such activities as fraud, embezzlement, deceit, moral turpitude, gross immorality, illegal drugs, or use of misleading or false statements; (4) Respect the civil rights of those with whom the administrator has contact in the performance of duties; (5) Interpret, accurately represent, and implement the policies and administrative regulations of the appropriate educational governing board; (6) Distinguish personal politics, attitudes, and opinions from stated policies of the appropriate educational governing board; (7) Fulfill professional responsibilities with honesty and integrity; (8) Maintain professional relationships which are free from vindictiveness, willful intimidation, and disparagement; (9) Safeguard confidential information; (10) Not allow professional decisions or actions to be impaired or influenced by personal gain, gifts, gratuities, favors, and services made or withheld; (11) Avoid preferential treatment and conflicts of interest; (12) Honor all contracts until fulfillment, release, or dissolution by mutual agreement of all parties; (13) Apply for, accept, offer, or assign a position of responsibility on the basis of professional preparation and legal qualifications; (14) Accurately represent personal qualifications and the evaluations and recommendations of others; (15) Cooperate with authorities regarding violations of the codes of ethics of the South Dakota Professional Administrators Practices and Standards Commission and the South Dakota Professional Teachers Practices and Standards Commission. |

**Component 6.1: Sensitivity to Diversity and Cultural Differences.** *An effective principal/assistant principal expresses appreciation for and sensitivity to diversity and cultural differences.*

Effective principals/assistant principals value diversity and cultural differences and understand the power dynamics associated with these differences. They use this understanding in a variety of ways to build a school culture that values all individuals within the school and all external stakeholders. Effective principals are constantly monitoring school structures and practices to ensure there are no limitations for any group of students or their families. Effective principals train all staff to improve their cultural competence and works with teachers to implement culturally responsive instruction.

| **Component 6.1: Sensitivity to Diversity and Cultural Differences.** *An effective principal/assistant principal expresses appreciation for and sensitivity to diversity and cultural differences.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal understands the diversity of the school community and recognizes that diversity is an asset to the school.<br><br>☐ The principal articulates the need for all school staff and students to develop cultural understanding and competence.<br><br>☐ The principal utilizes a variety of methods and resources to demonstrate an appreciation and understanding of the community's cultural diversity within the school.<br><br>☐ The principal demonstrates personal comfort talking about diversity and culture. | ☐ The principal understands and demonstrates an appreciation for and sensitivity to diversity in the school community and recognizes that diversity is an asset to the school.<br><br>☐ The principal provides professional development for school staff to develop cultural understanding and competence.<br><br>☐ The principal collaborates with the community to utilize a variety of methods and resources to demonstrate an appreciation and understanding of the community's cultural diversity within the school.<br><br>☐ The principal monitors school staff cultural competence and fosters the implementation of culturally responsive instruction. | and…<br><br>☐ Within the school, the students accept and respect students who are different than they are and expect their peers to value diversity.<br><br>☐ The principal secures external resources to expand the school's appreciation of the community's diverse cultural, social, and intellectual resources.<br><br>☐ The principal recognizes and integrates the learning opportunities that come from a diverse community.<br><br>☐ The principal consistently solicits feedback to ensure that all cultural groups feel respected and valued and immediately addresses any area of concern. |

**Component 6.2: Modeling Values, Beliefs, and Attitudes.** *An effective principal/assistant principal displays values, beliefs, and attitudes that inspire others to higher levels of performance.*

Effective principals/assistant principals serve role models who exemplify high expectations for performance, lifelong learning, and other values and beliefs that the school articulates within its mission, vision, culture, values, and expectations. Effective principals are supportive, kind, and open, and show optimism for the future. Effective principals inspire others to achieve their personal best. Effective principals are passionate advocates for learning and continuous improvement and for education as the pathway to success. They specifically and intentionally put effort into inspiring all students to work hard and learn.

| **Component 6.2: Modeling Values, Beliefs, and Attitudes.** *An effective principal/assistant principal displays values, beliefs, and attitudes that inspire others to higher levels of performance.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal serves as a role model who exemplifies high expectations for performance and other values articulated in the school mission and vision.<br><br>☐ The principal is supportive, kind, and open.<br><br>☐ The principal verbalizes a belief in students and tries to inspire students to work hard and learn. | ☐ The principal serves as a role model who exemplifies high expectations for performance, lifelong learning, and other values and beliefs that the school articulates within its mission, vision, culture, values, and expectations.<br><br>☐ The principal is supportive, kind, and open and shows optimism for the future.<br><br>☐ The principal is a passionate advocate for the school.<br><br>☐ The principal symbolizes a belief in students through statements and actions, and inspires students to work hard and learn. | and…<br><br>☐ The principal is widely viewed as an effective role model and inspiration to students.<br><br>☐ The principal is a passionate advocate for learning and continuous improvement and for education as the pathway to success.<br><br>☐ The principal inspires teachers and students to achieve their personal best. |

**Component 6.3: South Dakota Code of Ethics.** *An effective principal/assistant principal complies with the code of professional ethics in chapters 24:08:03 and 24:11:03.*

Effective principals/assistant principals are familiar with both the South Dakota Code of Ethics for Professional Administrators and The South Dakota Code of Ethics for Teachers. Effective principals model and support the behaviors in all situations.

| **Component 6.3: South Dakota Code of Ethics.** *An effective principal/assistant principal complies with the code of professional ethics in chapters 24:08:03 and 24:11:03.* | | | |
|---|---|---|---|
| **Unsatisfactory** | **Basic** | **Proficient** | **Distinguished** |
| *Principal does not meet the performance domain.* ***Evaluator narrative is required.*** | *Principal does not meet the performance domain but is demonstrating progress toward meeting domain.* | *Principal meets performance domain.* | *Principal exceeds performance domain.* |
| Narrative: | ☐ The principal is aware of and consistently follows all of the provisions of the South Dakota Code of Ethics for Professional Administrators and Teachers. | ☐ The principal holds all teachers accountable for following the provisions of the South Dakota Code of Ethics for Teachers. | and…<br>☐ The principal collects feedback on the extent to which he/she is viewed as aligning practices with the provisions of the South Dakota Code of Ethics for Professional Administrators and The South Dakota Code of Ethics for Teachers and makes corrections as needed. |

# APPENDIX H: GLOSSARY OF TERMS

**Aggregation** – the combining of multiple measures into a single score.

**Artifacts** – are a wide variety of tangible evidence that is intended to lend support to a principal's effectiveness and subsequent rating.

**Continuous improvement** – a process that includes steps such as planning, implementing, evaluating and improving over time leading to better processes and outcomes.

**Formative** – includes measures and a process that is intended to give quality feedback to principals on progress toward their goals and informs subsequent growth plans. No consequences are associated with these measures or process.

**Indicators** – are observable and measurable statements about what leaders do to ensure effective teaching and successful learning by every student.

**Multiple Measures** – require a number of different measures to judge both student and principal performance on their standards or expectations.

**Performance levels/categories** – are labels for levels of principal effectiveness based on rubrics, multiple measures and supporting artifacts. In South Dakota these levels are unsatisfactory, basic, proficient and distinguished.

**PEWG** – is the acronym for the Principal Evaluation Working Group

**Professional Development Plan** – is the individualized plan for principal professional development based on prior performance. Each plan consists of professional development goals and clear action steps for how each goal will be met.

**Rubrics** – are a set of descriptions or criteria used to score or rate principal's performance on domains and indicators. Good rubrics consist of a measurement scale (e.g., four-point), a set of clear criteria, and performance descriptions for each criterion at each point on the scale.

**School Improvement Plan** – is a course of action developed by the principal, working collaboratively with a school team. They review past performance, set goals and develop a plan to meet those school goals.

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

**Domains** – are statements of what an effective principal should know and be able to do. Good domains are based on research of what effective principals do in schools that have raised student achievement.

**Summative** – an end-of-cycle or end-of-the-year evaluation that is based on multiple measures, domains and performance criteria that usually results in a judgment (such as being assigned a rating) being made about the principal.

**Surveys** – are questionnaires about the principal's performance given to various stakeholder groups. In this case, questions on how well a principal meets standards or other expectations can be asked of their teachers, principals, students and/or community members. Stakeholder feedback is designed to give principals informal feedback on how they are perceived by different stakeholder groups. A "360" survey is given to all stakeholders who surround the principal.

**Weighting** – occurs when different numerical emphases are placed on different measures. For example, a weight of 20% would count twice as much as a weight of 10% when calculating a score.

# APPENDIX I: FREQUENTLY ASKED QUESTIONS AND ANSWERS

## A. Timeline

1. **When am I required to be fully implementing Principal Effectiveness?**

   **Answer**: The 2015-16 school year should be used as a learning year to ready your district for full implementation in the 2016-17 school year.

2. **What forms or planning documents should I be using to get ready for implementation? Are any required to be returned to the Department of Education?**

   **Answer:** There are three parts to this answer:

   a. You can find all of the forms and planning documents at the bottom of http://doe.sd.gov/secretary/PE.aspx. The Principal Effectiveness Handbook is also located at that website and is very beneficial to prepare for implementation.
   b. The **Gap Analysis and Planning Guide** (due June 30, 2015) identifies statutory and regulatory requirements for teacher evaluation in South Dakota and provides an opportunity for districts to plan for successful implementation.
   c. The **District Self-Reflection** (due June 30, 2016) will be similar to the Principal Effectiveness System Gap Analysis. The report will include a section to document what occurred in the district during the learning year (2015-16), including lessons learned.

## B. Evaluation Protocols

1. **Are superintendents who also serve as principals evaluated using the Principal Effectiveness System?**

   **Answer:** Individuals serving as both the superintendent and principal/assistant principal roles are not required to be evaluated using the Principal Effectiveness System. They are evaluated per district policy/procedure.

2. **Are SPED Directors evaluated if they are not a principal?**

   **Answer:** SPED directors are not reported to the DOE for the purpose of principal evaluations. If a principal/assistant principal is also a SPED Director, he/she would be required to be evaluated as a principal. If the SPED director is not a teacher or principal/assistant principal the district may evaluate the SPED Director using the Principal Evaluation Model, but the summative ratings would not be reported to the DOE.

3. **How does a SPED director who is also a teacher get evaluated?**

   **Answer:** Since the SPED director is a teacher, he or she will be evaluated as a teacher.

4. **In the 2016-17 school year when Principal Effectiveness must be implemented by all districts, does a 5th year principal need to be evaluated in this school year or could the 2016-17 school year be considered an off year for the principal?**

   **Answer:** The 5th year (or beyond) principal only needs to be evaluated every other year. If the principal is not evaluated 2016-17, he/she will need to be evaluated in the 2017-18 school year.

5. **Do districts evaluate preschool teachers?**

   **Answer:** Preschool teachers are not included in the definition of a teacher. Whether to evaluate preschool teachers is a district decision. These evaluations should not be reported for teacher evaluations in the PRF.

6. **May principals continue to evaluate their assistant principals using this model or do the superintendents have to evaluate the assistant principals as well?**

   **Answer:** Principals may continue to evaluate assistant principals. This is a district decision.

## C. Reporting

1. **Principal Effectiveness Summative Ratings will be uploaded to the DOE through the PRF in an aggregate format during the fall 2017 collection. How will the format appear in the report?**

   **Answer:** The final version of the reporting form has not been developed by the Department of Education. Below is a draft version of what may be collected. Principal Effectiveness Summative Ratings will most likely be located in the Personnel Record Form (PRF), but factors such as an *n* size and who will be able to enter the data is currently being discussed.

| Total Number of Principals and Assistant Principals | Total number of Principals/Assistant Principals Evaluated | Total number of Principals/Assistant Principals with a rating of Meets Expectations | Total number of Principals/Assistant Principals with a rating of Exceeds Expectations | Total number of Principals/Assistant Principals with a rating of Below Expectations | Total number of times Professional Judgment is used |
|---|---|---|---|---|---|
| | | | | | |

2. **What if there is only one principal?**

   **Answer:** DOE is currently discussing *n* sizes so principals' summative ratings are not identifiable.

3. **What if a school clerical staff completes and submits the PRF? Should clerical staff know principals' summative ratings?**

   **Answer:** The SD DOE is discussing this question and identifying options so that only evaluators would be able to report the principal effectiveness ratings.

4. **How are principal effectiveness scores reported to the public?**

   **Answer**: The DOE does not plan to include information regarding teacher effectiveness or principal effectiveness on the district or school report cards. DOE will report aggregate data on the state report card.

5. **Will teacher or principal effectiveness data be on the report card?**

   **Answer:** Only state-level aggregate data will appear on the state report card. No teacher or principal effectiveness data will appear on district or school level report cards.

6. **Are artifacts uploaded into the PRF?**

   **Answer:** No. There is no way to upload artifacts into the PRF. The DOE is looking into adding the principal effectiveness evaluation forms into Teachscape so districts can have a workflow process for principal evaluation, including the ability to upload artifacts.

## D. Professional Practices

1. **Is it possible to include teachers' input in principal professional practice ratings?**

   **Answer:** Valid teacher surveys are a good source of feedback for administrators. Surveys are mentioned in the Principal Evaluation Handbook; however, they are not a requirement. If a district would like to include teacher surveys as a measurement for evaluation, they may use surveys as an artifact for professional practices.

2. **How were the domain weightings established?**

   **Answer:** The weightings were recommended by the initial workgroup and were maintained throughout the CTL subcommittee's work in addition to feedback from the pilots. Districts may decide to change the domain weights based upon needs and priorities of the district.

3. **How were the rubrics for each component in the six domains created?**

   **Answer:** The state's Regional Educational Lab (RMC and Marzano Research) used research from the principal workgroup to create the rubrics. The principal evaluation workgroup and CTL subcommittee then vetted and approved the rubrics. They have been updated slightly based on feedback from the pilots.

4. **How are districts supposed to make all of their effectiveness commitments in the first month of the school year, including identifying which components will be used for evaluations? This question was framed in the context of the new Principal Effectiveness Timeline: SY 2016-2017-Implementation of the Principal and Teacher Effectiveness Systems.**

   **Answer:** Districts should determine prior to the beginning of the school year, or within the first month, the method they will use to identify the components for evaluations. The new Gap Analysis Form will ask the district to identify the process by which components will be selected and not the actual components that will be used. Components selected would be reported at the conclusion of the school year.

5. **If a district submitted a Gap Analysis plan for the Teacher Effectiveness work and identified 5 components from the framework on which to focus, are these components set in stone OR may a district be flexible in which components are focused upon for each individual teacher? The idea of flexibility makes excellent sense so the principal / evaluator can work with teachers on their strengths and areas for growth that are individually identified and apply to their specific needs.**

   **Answer:** This is a district decision. The minimum requirement will include at least one component from each of the four domains. Some district administrators have chosen to select all components that will be used for all teachers. Other districts are choosing a set number of the components and allow the teachers to select additional components. There are many different ways districts can select the components and the DOE offers flexibility so districts can choose what works best for their district. This is also true for principal evaluation. In this case the requirement is at least one component from each of the six domains.

## E. School Growth and SLOs

1. **Are there any districts that are not using SLO's as a measure for showing student growth?**

   **Answer:** There have not been any requests by districts to crosswalk SLOs to another method of measuring student growth as of spring 2015. If districts would like to use a different measure they will need to complete and submit the Teacher or Principal Crosswalk to the DOE by January 31st prior to the year it will go into effect.

2. **Why are the principal student growth attainment percentages more stringent than the teacher student growth attainment percentages?**

   **Answer:** The Commission on Teaching and Learning (CTL) determined the percentages for the teacher SLOs based on research and lengthy discussions to identify what is attainable, fair and realistic. The CTL sub-committee for principal evaluation reviewed the percentages required for teachers and felt the principal student growth attainment percentages should be higher, reflecting the importance of instructional leadership. This sub-committee was comprised primarily of administrators.

3. **May the weights of Student Growth be changed without going through a crosswalk? Example: May districts change the weight of SLOs to be 85% and SPI or AMO 15% for lower elementary staff?**

   **Answer:** School Growth rating is defined as a rating based upon:

   (a) The percentage of teachers under the principal's or assistant principal's supervision attaining expected or high student growth ratings on the teachers' evaluations pursuant to article 24:57 unless the department approves another method; and

   (b) The school's SPI key indicator scores referenced in chapter 24:55:02, the school's academic progress goal referenced in chapter 24:55:05, or some combination thereof, with the items referenced in this subdivision being at least twenty-five percent of the total school growth rating;

   The rules state that AMOs and SPI **must** be a minimum of 25% and cannot be changed through the crosswalk process. A crosswalk can be completed for the other 75% of the school growth rating.

4. **Do districts set the AMO and/or SPI growth goal that is part of the Principal Effectiveness model?**

   **Answer:** A principal and his/her evaluator should work together to set the AMO or SPI growth goal. The minimum requirements stipulate that SPI and/or AMO must be a minimum of 25% of the school growth rating. If the principal/assistant principal works in collaboration with a school leadership team, the team's input should be considered as well.

   The goal, whether AMO based or SPI based, should reflect a measure of meaningful and reasonable growth, but is not necessarily the same goal that is used to determine a school's rating on the Sate Report Card.

5. **How do districts set AMO goals for the 2014-15 school year? Will AMOs be reset for the 2015-16 school year?**

   **Answer:** For the 2014-15 school year, schools may use district data to set student growth goals. AMOs will be reset when the 2015 Assessment results are available and schools may use the Smarter Balanced Assessment (SBAC) data to set their student growth goals

6. **What if a SPED Director evaluates SPED teachers? Do SPED teachers' SLOs affect the principal's school growth rating?**

   **Answer**: This is a district decision but the district may want to consider the following questions:

   a. Should a principal's student growth be based on SLOs for teachers she/he did not approve?
   b. If the principal is the supervisor for the SPED director, should part of the principal's responsibility include ensuring the SPED director is providing good instructional leadership to the SPED teachers and assisting the teachers appropriately with the SLOs?

7. **What if a principal evaluates a third of the staff, the assistant principal evaluates another third of the staff, and the two together evaluate the final third of the staff. How would student growth (SLO's) be measured?**

   **Answer:** This is a district decision.

8. **What about teachers who work in a standalone program? For example, a district has ESL teachers who are evaluated by the assistant superintendent and travel from building to building multiple times a day and are not attached to a specific building or principal. They will write SLO's, but they don't have a principal to whom these would be attached.**

   **Answer:** This is a district decision.

9. **Scenario: Districts have SPED teachers who are not a teacher of record. The 3rd and 4th grade general education teachers supply all the instruction. The SPED students then go to the resource room or SPED room and get support from the SPED teachers. Does the SPED teacher supplying support write an SLO since the students are part of the general education curriculum?**

   **Answer:** Yes, the SPED teacher would need to write an SLO. General education teachers and special education teachers utilize the same criteria for writing SLO's. In this example, the SPED teacher may not be serving as the teacher of record for report card grading but does provide specialized instruction to meet the needs of students identified on the IEP. The SPED teacher needs to write an SLO that addresses what he/she does and a goal to move students forward. The SPED teacher's goal and assessment may look very similar to the goal and assessment of the general education teacher counterpart. The two teachers could also collaborate on the development of their SLO.

10. **May students be counted twice on two different SLOs?**

    **Answer:** Yes. Students could be part of the general education teacher's SLO and the SPED teacher's SLO. Another example is in the middle school or high school, since every teacher needs to write an SLO, a student could be counted in an SLO for multiple classes.

11. **What about teachers who work in a standalone program? For example, a district has ESL teachers who are evaluated by the assistant superintendent and travel from building to building multiple times a day and are not attached to a specific building or principal. They will write SLO's, but they don't have a principal to whom these would be attached.**

    **Answer:** This is a district decision.

## F. Use of Assessments

1. **Will the 2014-15 Smarter Balanced Assessment (SBAC) decide focus/priority schools and AMOs?**

   **Answer:** Yes, the 2014-15 SBAC assessment data will be used to help determine Focus and Priority schools and will be the baseline data for schools' AMOs.

2. **What is the role of state required standardized assessments (Smarter Balanced, DSTEP Science, NCSC) in SLOs?**

   **Answer:** The standardized assessments **must** be used to identify priority content for the SLO in math, ELA, and science. The data will also be used to set AMO and SPI growth goals for the principal's student growth goal.

3. **Is the SBAC assessment in 2014-15 the same as the test in 2013-14?**

   **Answer:** This Smarter Balanced assessment will be the same format as the field test administered in 2014. The operational test will be computer-adaptive within the grade level expectations for each grade so that all students in a given grade will be tested over all requirements of the test blueprint.

4. **Do districts have to use SBAC to determine priority content? What if teachers use Aims Web to determine priority content and the data is different?**

   **Answer:** Teachers in tested grades and subjects must use SBAC results (or D-STEP science results) to help determine priority content for their classes (SDAR). Aims Web data (or other local data) may be used along with the state assessment data to help determine progress that is being made.

5. **Is it true that Aims Web and SBAC correlate since Pearson owns both?**

   **Answer:** No, Pearson has no affiliation with Smarter Balanced.

## G. Summative Rating Matrix

1. **Districts were told that first year principals were expected to be basic on their professional practice rating. What if first year principals achieve a high school growth rating? Why would the evaluator need to use professional judgment in this situation?**

**Figure 11: Summative Principal Effectiveness Rating Matrix and Performance Categories**

| STUDENT GROWTH RATING | PROFESSIONAL PRACTICE RATING: UNSATISFACTORY | BASIC | PROFICIENT | DISTINGUISHED |
|---|---|---|---|---|
| HIGH | ✪ | ✪ | | |
| EXPECTED | | | | |
| LOW | | | ✪ | ✪ |

| SUMMATIVE EFFECTIVENESS RATING CATEGORIES | |
|---|---|
| | EXCEEDS EXPECTATIONS |
| | MEETS EXPECTATIONS |
| | BELOW EXPECTATIONS |
| ✪ | PROFESSIONAL JUDGMENT AND POLICY REVIEW |

**Answer:** The areas where judgment can be used are identified in the Summative Rating Matrix. These areas are based on incongruence between the professional practice and school growth ratings. They are only a recommendation and the evaluator does not need to use professional judgment if it is not needed.

## H. Training

1. **Training participants have asked to get the June 2015 training dates out ASAP, since districts already have other trainings and meetings being scheduled for June.**

   **Answer:** The SD DOE in partnership with Eastern Dakota Educational Cooperative will sponsor statewide workshops June 15-19, 2015 (locations to be determined) for superintendents and principals focused on the six domains, twenty-two components, and the related rubrics. The training will include some unpacking of the domains and guidance related to selecting appropriate components on which to base an evaluation. District leaders will work on completing their Gap Analysis and Planning Guides, too. If regional training doesn't work, districts may use State-Provided days for in-district Principal Effectiveness coaching. The dates and locations will be located at http://doe.sd.gov/secretary/PE.aspx.

2. **Are there any Teachscape trainings besides online trainings?**

   **Answer:** Yes, through the 2015-16 school year, training options are available on the Professional Development Menu of Options. DOE is also working with Teachscape to develop some South Dakota specific trainings. In addition, a meeting will be held with Teachscape and representatives from some local districts to provide input on the system and identify any changes that need to be made to make it more user-friendly. For training options for Principal Effectiveness, check out http://doe.sd.gov/secretary/PE.aspx.

## I. Other

1. **Will focus/priority evaluations mesh/align with the principal effectiveness evaluations?**

   **Answer:** Yes, evaluation requirements for Focus and Priority schools go above and beyond the principal effectiveness evaluations. Artifacts submitted to Indistar for Focus/Priority schools should also serve as artifacts for the Principal Effectiveness System. Events/Activities that occur as part of being a Focus/Priority school should also serve as evidence for the Principal Effectiveness System.

2. **Principals would like to add a question to the research survey regarding the percentage of time they spend relative to each domain.**

   **Answer:** The 2013-14 research asked which domain principals felt was the most important and critical to being a good principal. A question can be added to the survey which asks the percent of time they spend in each domain.

# Appendix J: Evaluation and Professional Growth Process Guides

## PROFESSIONAL PRACTICE SELF-ASSESSMENT

| | |
|---|---|
| Principal: | |
| School: | |
| Evaluator: | |
| Date: | |

The self-assessment asks principals to identify strengths and areas of growth, providing a summary that reflects current level of performance relative to the South Dakota Framework for Effective Principals. Completing this self-reflection prepares principals and evaluators to collaborate on developing professional practice goals for the year.

For each component, select the performance level that you believe best applies to your performance for each of the domain components.

## DOMAIN 1: VISION AND GOALS

| | Unsatisfactory | Basic | Proficient | Distinguished |
|---|---|---|---|---|
| 1.1 Shared Vision for School and Student Success | ☐ | ☐ | ☐ | ☐ |
| 1.2 Reviewing and Monitoring for School Improvement | ☐ | ☐ | ☐ | ☐ |

| *Identify an <u>area of strength</u> for Domain 1. Why do you believe this is an area of strength?* |
|---|
| |

| *Identify an <u>area of growth</u> for Domain 1. How will improving benefit your practice?* |
|---|
| |

## DOMAIN 2: INSTRUCTIONAL LEADERSHIP

| | Unsatisfactory | Basic | Proficient | Distinguished |
|---|---|---|---|---|
| 2.1 Effective Use of Data to Support Instruction | ☐ | ☐ | ☐ | ☐ |
| 2.2 Involvement in Curriculum, Instruction, and Assessment | ☐ | ☐ | ☐ | ☐ |
| 2.3 Distributive Leadership | ☐ | ☐ | ☐ | ☐ |
| 2.4 Monitoring and Evaluating Standards and Content | ☐ | ☐ | ☐ | ☐ |
| 2.5 Continuous Improvement | ☐ | ☐ | ☐ | ☐ |

| *Identify an <u>area of strength</u> for Domain 2. Why do you believe this is an area of strength?* |
|---|
| |

| *Identify an <u>area of growth</u> for Domain 2. How will improving benefit your practice?* |
|---|
| |

## DOMAIN 3: SCHOOL OPERATIONS AND RESOURCES

| | Unsatisfactory | Basic | Proficient | Distinguished |
|---|---|---|---|---|
| 3.1 Operational Procedures | ☐ | ☐ | ☐ | ☐ |
| 3.2 Shared Leadership | ☐ | ☐ | ☐ | ☐ |
| 3.3 High Quality Teachers | ☐ | ☐ | ☐ | ☐ |
| 3.4 Challenges and Opportunities | ☐ | ☐ | ☐ | ☐ |

| *Identify an <u>area of strength</u> for Domain 3. Why do you believe this is an area of strength?* |
|---|
| |

| *Identify an <u>area of growth</u> for Domain 3. How will improving benefit your practice?* |
|---|
| |

## DOMAIN 4: SCHOOL, STUDENT, AND STAFF SAFETY

| | Unsatisfactory | Basic | Proficient | Distinguished |
|---|---|---|---|---|
| 4.1 Safe Environment | ☐ | ☐ | ☐ | ☐ |
| 4.2 Clear and Consistent Expectations | ☐ | ☐ | ☐ | ☐ |
| 4.3 Student Behavior Management | ☐ | ☐ | ☐ | ☐ |
| 4.4 Conflict Resolution | ☐ | ☐ | ☐ | ☐ |

| *Identify an <u>area of strength</u> for Domain 4. Why do you believe this is an area of strength?* |
|---|
| |

| *Identify an <u>area of growth</u> for Domain 4. How will improving benefit your practice?* |
|---|
| |

## DOMAIN 5: SCHOOL AND COMMUNITY RELATIONSHIPS

| | Unsatisfactory | Basic | Proficient | Distinguished |
|---|---|---|---|---|
| 5.1 Culture of Family/Community Collaboration and Involvement | ☐ | ☐ | ☐ | ☐ |
| 5.2 Two-Way Communication and Internal and External Audiences | ☐ | ☐ | ☐ | ☐ |
| 5.3 Culture of Dignity, Fairness, and Respect | ☐ | ☐ | ☐ | ☐ |
| 5.4 Active Involvement with the Community | ☐ | ☐ | ☐ | ☐ |

| *Identify an <u>area of strength</u> for Domain 5. Why do you believe this is an area of strength?* |
|---|
| |

| *Identify an <u>area of growth</u> for Domain 5. How will improving benefit your practice?* |
|---|
| |

## DOMAIN 6: ETHICAL AND CULTURAL LEADERSHIP

| | Unsatisfactory | Basic | Proficient | Distinguished |
|---|---|---|---|---|
| 6.1 Sensitivity to Diversity and Cultural Differences | ☐ | ☐ | ☐ | ☐ |
| 6.2 Modeling Values, Beliefs, and Attitudes | ☐ | ☐ | ☐ | ☐ |
| 6.3 South Dakota Code of Ethics | ☐ | ☐ | ☐ | ☐ |

| *Identify an <u>area of strength</u> for Domain 6. Why do you believe this is an area of strength?* |
|---|
| |

| *Identify an <u>area of growth</u> for Domain 6. How will improving benefit your practice?* |
|---|
| |

# PROFESSIONAL PRACTICE GOAL-SETTING FORM

Develop one professional practice goal that demonstrates how you will work to improve your professional practice(s) during the school year.

| | |
|---|---|
| ***Professional Practice Goal:*** | *What do you do this year to improve your professional practice? List the related Framework for Effective Principals components.* |
| | |

| | |
|---|---|
| ***Identify Necessary Learning:*** | *What personal learning has or needs to occur to accomplish your goal? Identify necessary supports or describe how your goal relates to an established professional growth plan.* |
| | |

| | |
|---|---|
| ***Measures of Success:*** | *How will you know you have accomplished your goal? Specify a timeline and any significant benchmarks during the year.* |
| | |

Principal Signature: Date:

Evaluator Signature: Date:

# FORMATIVE REVIEW PROCESS GUIDE

| | |
|---|---|
| Principal: | |
| School: | |
| Evaluator: | |
| Date of Formative Review/Collaboration: | |
| Date of Pre-Review Conference: | |
| Date of Post-Review Conference: | |

**Purpose**: Professional practice should be evaluated over the course of an entire school year through ongoing reviews of a principal's performance. The evaluation should consider the principal's duties and responsibilities as outlined in the job description, effectiveness as a building manager, and overall competence as an instructional leader for students and teachers in the school. The overall evaluation should result in a list of the principal's strengths and weaknesses with supporting reasons for both and should be used to set goals and trajectories for professional development in the upcoming year.

Each review will be conducted on-site and should cover enough time to observe a principal in multiple facets of the work. These reviews should be conducted by the principal's evaluator and include structured conversations before and after the review takes place. These conversations should be scheduled in advance of the review and include at least one objective (related to the selected component(s) for evaluation) and should include a review of the principal's interactions and activities during a typical workday. This can include workdays in which the principal is contracted to work, but students are not present. At least one formative review conducted should include the observation of a leadership team meeting.

**Directions**: Principals and evaluators collaboratively complete and exchange the Formative Review Process Guide during the review process.

## FORMAL PRE-REVIEW CONFERENCE FORM

**Directions**: The principal completes the pre-review conference form. The completed form is submitted to the evaluator in advance of the pre-review conference. In addition, principals may submit any relevant artifacts (teacher lesson plans, individual professional growth plan, Teacher-developed SLOs, etc.). This is usually completed at the beginning of the school year.

| Date of Form Submission to Evaluator | |
|---|---|

| *How do you plan to guide the development and implementation of a shared vision, mission, and goals for the school? (Domain 1)* |
|---|
| |

| *How do you plan to communicate with staff and review research and data to promote a school culture and instructional program that fosters student learning and professional growth for staff? (Domain 2)* |
|---|
| |

| *How do you plan to efficiently and productively manage school operations and resources? (Domain 3)* |
|---|
| |

| *How do you plan to foster a physically, emotionally, and cognitively safe learning environment for students, staff, and community? (Domain 4)* |
|---|
| |

| *How do you plan to foster relationships by collaborating with parents, staff, and community members? (Domain 5)* |
|---|
| |

| *How do you plan to provide ethical, cultural, and skilled leadership? (Domain 6)* |
| --- |
| |

| *Do you have an established professional practice goal(s)? If so, restate the goal.* |
| --- |
| |

| *Is there anything that you would like me to specifically observe?* |
| --- |
| |

| *What is the school's growth goal based on SPI, AMO, and/or progress narrowing the achievement gap? What will you do in order to make sure your school attains this goal?* |
| --- |
| |

| *How are you involved in the SLO process? How are you making sure SLOs are done correctly and that SLO goals are rigorous, yet attainable?* |
| --- |
| |

## EVALUATOR REVIEW EVIDENCE AND FEEDBACK FORM

**Directions**: The evaluator completes this portion of the Review Process Guide to provide principals with notes and evidence collected during reviews. This form is completed and returned to the principal as soon as possible following the formative review.

| | |
|---|---|
| Date of Form Submission to Principal | |
| Review Includes a Staff Meeting | ☐ |

**REVIEW NOTES AND EVIDENCE**

| TIME | EVIDENCE |
|---|---|
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |

**EVALUATOR REVIEW SUMMARY** – select at least one component from each domain, if applicable. Due to the unpredictable nature of the principal's job, not all may apply at one observation.

| DOMAIN 1: Vision and Goals |
|---|
| ✓ 1.1 Shared vision for school and student success<br>✓ 1.2 Reviewing and monitoring for school improvement |
| EVALUATOR SUMMARY |
| **DOMAIN 2: Instructional Leadership** |
| ✓ 2.1 Effective use of data to support instruction<br>✓ 2.2 Involvement in curriculum, instruction, and assessment<br>✓ 2.3 Distributive leadership<br>✓ 2.4 Monitoring and evaluating standards and content<br>✓ 2.5 Continuous improvement |
| EVALUATOR SUMMARY |
| **DOMAIN 3: School Operations and Resources** |
| ✓ 3.1 Operational procedures<br>✓ 3.2 Shared leadership<br>✓ 3.3 High quality teachers<br>✓ 3.4 Challenges and opportunities |
| EVALUATOR SUMMARY |
| **DOMAIN 4: School, Student, and Staff Safety** |
| ✓ 4.1 Safe environment<br>✓ 4.2. Clear and consistent expectations<br>✓ 4.3 Student behavior management<br>✓ 4.4 Conflict resolution |
| EVALUATOR SUMMARY |

| DOMAIN 5: School and Community Relationships |
| --- |
| ✓ 5.1 Culture of family/community collaboration and involvement<br>✓ 5.2 Two-way communication with internal and external audiences<br>✓ 5.3 Culture of dignity, fairness, and respect<br>✓ 5.4 Active involvement with the community |
| EVALUATOR SUMMARY |
| **Domain 6: Ethical and Cultural Leadership** |
| ✓ 6.1 Sensitivity to diversity and cultural differences<br>✓ 6.2 Modeling values, beliefs, and attitudes<br>✓ 6.3 South Dakota Code of Ethics |
| EVALUATOR SUMMARY |

## FORMAL POST-REVIEW CONFERENCE FORM

**Directions**: The principal completes this post-review conference form after the evaluator has provided review feedback to the principal. The completed form is submitted to the evaluator in advance of the post-review conference. In addition, principals may submit any relevant post-review artifacts. This part is usually filled out towards the end of the school year. Due to the unpredictable nature of the principal's job, not all may apply at one observation.

| Date of Form Submission to Evaluator | |
|---|---|

| *How successful were you at guiding the development and implementation of a shared vision, mission, and goals for the school? (Domain 1)* |
|---|
| |

| *How successful were you at communicating with staff and reviewing research and data to promote a school culture and instructional program that fosters student learning and professional growth for staff? (Domain 2)* |
|---|
| |

| *How successful were you at efficiently and productively managing school operations and resources? (Domain 3)* |
|---|
| |

| *How successful were you at fostering a physically, emotionally, and cognitively safe learning environment for students, staff, and community? (Domain 4)* |
|---|
| |

| *How successful were you at fostering relationships by collaborating with parents, staff, and community members? (Domain 5)* |
| --- |
| |

| *How successful were you at providing ethical, cultural, and skilled leadership? (Domain 6)* |
| --- |
| |

| *How successful were you at meeting your professional practice goal(s)?* |
| --- |
| |

| *How successful were you at meeting your school's growth goal based on SPI, AMO and/or progress narrowing the achievement gap?* |
| --- |
| |

| *How successful were your teachers at attaining expected student growth on SLOs?* |
| --- |
| |

## FORMAL POST-REVIEW EVALUATOR FEEDBACK AND NARRATIVE

**Directions**: The evaluator completes this form following the post-review conference. This form serves as the official documentation of the review and provides clear performance feedback. In addition, this document may also summarize progress on growth attainment and on the principal's Individual Professional Growth Plan.

| | |
|---|---|
| Date of Form Submission to Principal | |

**FORMAL REVIEW SUMMARY**

| REVIEW SUMMARY COMMENTS |
|---|
| EVALUATOR NARRATIVE |

| GROWTH ATTAINMENT PROGRESS (OPTIONAL) |
|---|
| EVALUATOR NARRATIVE |

| INDIVIDUAL PROFESSIONAL GROWTH PLAN PROGRESS (OPTIONAL) |
|---|
| EVALUATOR NARRATIVE |

**SIGNATURES**

The signature of the employee shall not imply that the employee agrees with evaluation, but merely indicates that the review has been discussed.

We have discussed the evaluation.

Evaluator: _____ Date: _____

Employee: _____ Date: _____

# PROFESSIONAL PRACTICE RATING FORM

| | |
|---|---|
| Principal: | |
| School: | |
| Evaluator: | |
| Date of Form Submission to Principal: | |

**Purpose**: The professional practice rating form summarizes performance relative to the Framework for Effective Principals and serves to document a principal's final professional practice rating for the evaluation cycle.

**Directions**: Evaluators complete this form after all evidence of professional practice performance is gathered and assessed. The completed form is provided to the principal in advance of the summative conference.

## PROFESSIONAL PRACTICE RATING SUMMARY

**Directions:** Evaluators complete this portion of the form to summarize the professional practice rating and provide a summative narrative of performance relative to the Framework for Effective Principals.

| PROFESSIONAL PRACTICE RATING CALCULATION | | | | | | |
|---|---|---|---|---|---|---|
| | DOMAIN 1 | DOMAIN 2 | DOMAIN 3 | DOMAIN 4 | DOMAIN 5 | DOMAIN 6 |
| Points (0 – 4 points) | | | | | | |
| Recommended Weight | 10% | 30% | 10% | 20% | 20% | 10% |
| Total Points (Points times Weight) | | | | | | |

| | |
|---|---|
| **Sum of Total Points** | |

| PROFESSIONAL PRACTICE SCORING RANGES | | | |
|---|---|---|---|
| UNSATISFACTORY | BASIC | PROFICIENT | DISTINGUISHED |
| 1.00 – 1.49 | 1.50 to 2.49 | 2.50 to 3.49 | 3.50 – 4.00 |

| PROFESSIONAL PRACTICE RATING |
|---|
| Select a Professional Practice Rating |

**EVALUATOR NARRATIVE**

## COMPONENT-LEVEL PERFORMANCE SUMMARY

**Directions:** Evaluators complete this form to provide detailed information about performance relative to both observable and non-observable components.

**COMPONENTS**
The level of performance associated with a component is the composite of all evidence gathered through observation during the evaluation cycle and of all artifacts and evidence supplied by the principal to the evaluator. The level of performance may reflect a summative score for multiple formal and informal observations. **Make sure to select a level of performance for at least one component from every domain.**

| DOMAIN 1:VISION AND GOALS | |
|---|---|
| 1.1 Shared Vision for School and Student Success | Select a Level of Performance |
| 1.2 Reviewing and Monitoring for School Improvement | Select a Level of Performance |
| EVALUATOR SUMMARY: | |

| DOMAIN 2: Instructional Leadership | |
|---|---|
| 2.1 Effective use of data to support instruction | Select a Level of Performance |
| 2.2 Involvement in Curriculum, Instruction, and Assessment | Select a Level of Performance |
| 2.3 Distributive Leadership | Select a Level of Performance |
| 2.4 Monitoring and Evaluating Standards and Content | Select a Level of Performance |
| 2.5 Continuous Improvement | Select a Level of Performance |
| EVALUATOR SUMMARY: | |

| DOMAIN 3: School Operations and Resources | |
|---|---|
| 3.1 Operational Procedures | Select a Level of Performance |
| 3.2 Shared Leadership | Select a Level of Performance |
| 3.3 High Quality Teachers | Select a Level of Performance |
| 3.4 Challenges and Opportunities | Select a Level of Performance |
| EVALUATOR SUMMARY: | |

| DOMAIN 4: School, Student, and Staff Safety | |
|---|---|
| 4.1 Safe Environment | Select a Level of Performance |
| 4.2 Clear and Consistent Expectations | Select a Level of Performance |
| 4.3 Student Behavior Management | Select a Level of Performance |
| 4.4 Conflict Resolution | Select a Level of Performance |
| EVALUATOR SUMMARY: | |

| DOMAIN 5: School and Community Relationships | |
|---|---|
| 5.1 Culture of Family/Community Collaboration and Involvement | Select a Level of Performance |
| 5.2 Two-way Communication with Internal and External Audiences | Select a Level of Performance |
| 5.3 Culture of Dignity, Fairness, and Respect | Select a Level of Performance |
| 5.4 Active Involvement with the Community | Select a Level of Performance |
| EVALUATOR SUMMARY: | |

| DOMAIN 6: Ethical and Cultural Leadership | |
|---|---|
| 6.1 Sensitivity to Diversity and Cultural Differences | Select a Level of Performance |
| 6.2 Modeling Values, Beliefs, and Attitudes | Select a Level of Performance |
| 6.3 South Dakota Code of Ethics | Select a Level of Performance |
| EVALUATOR SUMMARY: | |

# SUMMATIVE EVALUATION FORM

| | |
|---|---|
| Principal: | |
| School: | |
| Evaluator: | |
| Date for Form Submission to Principal: | |

**Purpose**: This summative evaluation form combines multiple measures of principal performance to determine and document a principal's overall performance rating for the evaluation cycle. The summative rating is used to guide professional growth and improvement recommendations. The summative document is based upon information previously documented through the Professional Practice Rating Form and the Principal Evaluation Rating Spreadsheet.

## SUMMATIVE TEACHER PERFORMANCE AND NARRATIVE

**Directions**: Using the scoring matrix below, classify overall principal performance by combining the professional practice rating and school growth rating into an overall performance rating of Exceeds Expectations, Meets Expectations or Below Expectations.

PROFESSIONAL PRACTICE RATING

| SCHOOL GROWTH RATING | UNSATISFACTORY | BASIC | PROFICIENT | DISTINGUISHED |
|---|---|---|---|---|
| HIGH | ☐ | ☐ | ☐ | ☐ |
| EXPECTED | ☐ | ☐ | ☐ | ☐ |
| LOW | ☐ | ☐ | ☐ | ☐ |

| | |
|---|---|
| ☐ | EXCEEDS EXPECTATIONS |
| ☐ | MEETS EXPECTATIONS |
| ☐ | BELOW EXPECTATIONS |

**EVALUATOR NARRATIVE**

## RECOMMENDATIONS AND ACKNOWLEDGEMENT

**EVALUATOR RECOMMENDATION**

Based on the evidence gathered throughout the evaluation cycle, the principal's performance will result in the development of a:

| PROFESSIONAL GROWTH PLAN | PLAN OF ASSISTANCE |
|---|---|
| ☐ | ☐ |

**SIGNATURES**

The signature of the employee shall not imply that the employee agrees with evaluation, but merely indicates that the evaluation has been discussed.

We have discussed the evaluation.

Evaluator: _____ Date: _____

Principal: _____ Date: _____

**PROFESSIONAL JUDGEMENT (ONLY IF APPLICABLE)**

| SCHOOL GROWTH RATING | PROFESSIONAL PRACTICE RATING: UNSATISFACTORY | BASIC | PROFICIENT | DISTINGUISHED |
|---|---|---|---|---|
| HIGH | ☒ | ☒ | | |
| EXPECTED | | | | |
| LOW | | | ☒ | ☒ |

| SUMMATIVE EFFECTIVENESS RATING CATEGORIES | |
|---|---|
| | EXCEEDS EXPECTATIONS |
| | MEETS EXPECTATIONS |
| | BELOW EXPECTATIONS |
| ☒ | PROFESSIONAL JUDGMENT MAY BE EXERCISED |

**PROFESSIONAL JUDGEMENT - EVALUATOR NARRATIVE REQUIRED**

If applicable, provide a narrative explaining justification for adjustments made to the principal's final summative effectiveness rating.

# INDIVIDUAL PROFESSIONAL GROWTH PLAN

| | |
|---|---|
| Principal: | |
| School: | |
| Evaluator: | |
| Date: | |

**Purpose**: To promote reflective leadership and professional growth, principals are encouraged to develop an individual professional growth plan. Goals may be based upon a professional practice self-assessment, feedback received through the evaluation process, or other school or district initiatives.

**Directions**: Principals may complete this form to document areas of individual professional growth and improvement. The form may be completed during the first quarter of the annual evaluation cycle and will serve to initiate professional dialogue during evaluation conferences. The document may also serve as an artifact to demonstrate performance.

| | |
|---|---|
| ***Select Area(s) for Professional Growth:*** | *What goal(s) have you identified for this year? List any related Framework for Effective Principal components and describe the connection between this goal and your principal assignment.* |
| | |

| | |
|---|---|
| ***Growth Strategies Action Steps and Timelines:*** | *How do you plan to accomplish the goals you have outlined? List specific tasks and targeted completion dates.* |
| | |

| | |
|---|---|
| ***Identify Necessary Supports:*** | *What support do you need to implement your plan? List necessary professional development, support or resources.* |
| | |

## EVALUATOR NARRATIVE

Principal/Assistant Principal Signature: _____ Date: _____

Evaluator Signature: _____ Date: _____