

Annual Professional Performance Review

School Years 2016-19

**MEMORANDUM OF AGREEMENT:
BETWEEN PERU CENTRAL SCHOOL DISTRICT
AND
THE PERU ADMINISTRATIVE COUNCIL**

October 1, 2017



PERU ADMINISTRATIVE COUNCIL

Annual Professional Performance Review

INTRODUCTION

In an era of school accountability and reform, it is the intent of the Peru Central School District and the Peru Administrative Unit to be fully engaged in the APPR process. Open communication between the superintendent and the Principal is essential for the successful implementation of this evaluation process. Given the legislative mandate to implement a new APPR plan consistent with Education Law Section 3012-d and the attendant regulations, the parties agree to modify their current APPR pursuant to Education Law Section 3012 regarding the mandatory topics of negotiation in accordance with a revised administrator evaluation procedure, the components of which are outlined below. This MOA represents the parties' mutual understanding regarding both mandatory and non-mandatory topics of negotiation. Should any provision of this agreement be determined by the NYS Public Relations Board or a court to be a non-mandatory topic of bargaining or if any provision of this MOA is held to be a violation of law and therefore unenforceable, both parties agree to immediately meet to change/modify/add/delete any provision of this agreement to reflect only legal and mandatory topics of bargaining.

Whereas the parties above are obligated to negotiate mandatory topics regarding APPR provisions for Principal consistent with Education Law 3012-d and subsequent NYSED regulation, they hereby agree to the following:

Annual Professional Performance Criteria:

1. Student Performance Category and/or Required Student Learning Objectives
2. Observation Category based on SED Approved Principal Evaluation Rubric (60%)-The parties have agreed to utilize the NYSED-approved Multi-dimensional Principal Performance Rubric (Appendix B).
3. Evaluation will be aligned to the ISLLC Standards (Appendix A).

SECTION I: APPLICATION

1. The APPR process will be conducted for those administrators who are serving in the title of Principal.
 - This provision shall sunset on June 30, 2019 with implementation to begin upon approval by NYSED. All provisions of this agreement shall apply to all principal evaluations produced under its provisions for the 2016-17, 2017-18, and 2018-19 school years.
 - Should the law (3012-d) of 2015, the corresponding Rules of the Board of Regents, or NYSED guidance regarding 3012-d change from what was in place at the time of this agreement, the agreement shall be renegotiated to be consistent with further changes in law, regulation or NYSED guidance or with any required material change to the District APPR plan related to principal evaluation.
 - If districts are allowed, by subsequent law or regulation, to continue with previously NYSED approved 3012-c APPR plans, the parties agree to negotiate whether this plan will be implemented or the District will continue to implement the currently approved 3012-c plan.
2. The student performance category measure shall be the required state provided growth score or SLO. (See Section II)

3. The superintendent shall be the lead evaluator for principals and shall complete the required announced meetings two times per year first to review rubric, building goals and initiatives and the second to review progress with reaching building goals and evidence of those areas assessed in the rubric. The person serving as the required “independent observer” shall be a District administrator with a different District Beds Code or a certified evaluator contracted by the District to conduct evaluations. This person shall do the required unannounced observational school visit. (See Section III)
4. As noted The District shall utilize the LCI Multidimensional rubric, Section I, Domains 1 to 6 (covering all ISLLC 2008 Standards) for principal evaluation as the basis for the Observation (of Professional Performance) Category. This shall be according to the provisions of Section III and attached Appendix instruments.
5. Scores and ratings for the both the Student Performance Category and Observation Category (rubric) shall be provided annually no later than June 30. Final overall summative evaluations, including transition scores and ratings, shall be provided to principals annually no later than the 15th of July. If data for any student performance measure is not available by June 30, the related scores and ratings, including the final summative evaluation, shall be provided within 15 business days of receipt of the achievement results, or by some other District and Association mutually agreed upon date.
6. The following matrix, required by law and regulation, will be used to determine the overall rating for principals.

EVALUATION RATING MATRIX

OBSERVATION					
STUDENT PERFORMANCE		HIGHLY EFFECTIVE (H)	EFFECTIVE (E)	DEVELOPING (D)	INEFFECTIVE (I)
	HIGHLY EFFECTIVE	H	H	E	D
	EFFECTIVE	H	E	E	D
	DEVELOPING	E	E	D	I
	INEFFECTIVE	D (or I) *	D (or I) *	I	I
* If a State-designed supplemental assessment was included as an optional sub-component, the teacher can be rated no higher than Ineffective overall with a Student Performance rating of “I”.					

7. Improvement plans for principals with developing or ineffective overall evaluation ratings shall be according to the attached format and process. Such plans shall be mutually agreed upon within 10 district workdays following the issuance of the final summative evaluation and overall rating. (SEE SECTION IV).

8. An appeal of any principal's evaluation shall be for ineffective and developing ratings or any rating tied to compensation. The reasons for appeal shall be those identified in law and regulation as identified in Section V. The attached appeal process shall be utilized. An appeal of an evaluation may NOT be initiated prior to the issuance of the final composite rating. (SEE SECTION V)

9. Normal rounding procedures shall apply to all score computations where the calculated score falls between the points on any applicable range of scores used to determine a HEDI rating.

10. Specific procedures and forms for each sub-component are contained in the attached Sections II to VI. Any additional forms needed shall be developed mutually by the PAC President and Superintendent no later than 30 calendar days, or some other mutually agreeable date, following approval of the provisions of this agreement by NYSED.

11. The parties agree to enter into negotiations for a successor APPR agreement no later than March 1, 2019.

SECTION II: STUDENT PERFORMANCE CATEGORY

STATE PROVIDED GROWTH SCORES AND/OR REQUIRED STUDENT LEARNING OBJECTIVES (SLOs) SHALL BE THE MEASURES USED TO CALCULATE ORIGINAL SCORES AND A RATING FOR THIS CATEGORY.

In any instance where Student Learning Objectives (SLOs) are required in lieu of a state growth score, the principal shall develop such SLOs, consistent with any related NYSED requirements, for approval by the superintendent. They shall be submitted by the principal by October 15 or as soon as practicable. The superintendent shall meet with the principal and provide the decision on approval within 5 days of submission by the principal.

For all locally developed student performance measures, including SLOs, the students to be included in the data shall be those continuously enrolled from BEDS day to the date of the applicable tests, and for whom there is an appropriate score for the previous year, where needed.

Local considerations for special education, ELL, and poverty shall be incorporated into all student performance measures in any manner allowed

For the required Alternate SLOs during the "transition" period:

- Which allowable assessments are to be utilized shall be mutually agreed upon by the parties prior to the signing and submission to NYSED of any plans or forms which include provisions for such Alternate SLOs.
- Targets for Alternate SLOs, based on the agreed upon assessments, will be mutually agreed upon annually prior to implementation.

Principals of the K-2 and 3-6 Houses shall use the following criteria to determine growth:

The 20-point scores will be an average of all ELA and Math of all classrooms in their respective houses.

The District will use the following criteria for determining growth:

There are two criteria to meet iReady's Growth to Proficiency model. If a student meets either criteria, they are considered to have met the growth requirement for the year.

Annual growth targets may be adjusted by the following:

1. Original Target established by iReady (minus standard error of measure)
2. Weeks of instruction- determined at the point of assessment by iReady

The following NYSED SLO scoring charts will be required for scoring of any SLOs:

Target Results Scoring	
% of Students Meeting Target	Scoring Range
0 – 4%	0
5 – 8%	1
9 – 12%	2
13 – 16%	3
17 – 20%	4
21 – 24%	5
25 – 28%	6
29 – 33%	7
34 – 38%	8
39 – 43%	9
44 – 48%	10
49 – 54%	11
55 – 59%	12
60 – 66%	13
67 – 74%	14
75 – 79%	15
80 – 84%	16
85 – 89%	17
90 – 92%	18
93 – 96%	19
97 – 100%	20

	Overall Student Performance Category Score & Rating	
	<i>Minimum</i>	<i>Maximum</i>
H	18	20
E	15	17
D	13	14
I	0	12

The principal of the 7-12 Building shall receive 33.3% of score from the method outlined above based upon a building wide average of ELA and Math iReady Scores and 66.7% shall be determined from a score based on the overall average of 5 Regents exams (Global Studies, US History, Algebra CC, Living Environment and ELA CC) compared verse the State average of the prior year. Each exam shall be 1/5 of average.

Example- Peru vs State (year prior):

GS	Peru 77%	GS State 74%
USH	Peru 88%	USH State 82%
ACC	Peru 76%	ACC State 74%
LE	Peru 92%	LE State 84%
ELA CC	Peru 88%	ELA CC State 82%

Average: Peru 84.2%=84% State 79.2% - 79%

Peru exceeds State average +5% = Effective Rating = 16 points

Student Performance Conversion Chart – 20 Point Scale

SLO Points	HEDI Rating	% of Students Meeting SLO Target	% of Peru vs. State Average
20	Highly Effective	97%+	State Ave. +25%
19	Highly Effective	93 - 96%	State Ave. +20-24%
18	Highly Effective	90 – 92%	State Ave. +15-19%
17	Effective	85 – 89%	State Ave. +10-14%
16	Effective	80 – 84%	State Ave. +5-9%
15	Effective	75 – 79%	State Ave. +0-4%
14	Developing	67 – 74%	State Ave. -(1-4)%
13	Developing	60 – 66%	State Ave. -(5-9)%
12	Ineffective	55 – 59%	State Ave. – (10-14)%
11	Ineffective	49 – 54%	State Ave. – (15-19)%
10	Ineffective	44 – 48%	State Ave. – (20-24)%
9	Ineffective	39 – 43%	State Ave. – (25-29)%
8	Ineffective	34 – 38%	State Ave. – (30-34)%
7	Ineffective	29 – 33%	State Ave. – (35-39)%
6	Ineffective	25 – 28%	State Ave. – (40-44)%

5	Ineffective	21 – 24%	State Ave. – (45-49)%
4	Ineffective	17 – 20%	State Ave. – (50-54)%
3	Ineffective	13 – 16%	State Ave. – (55-59)%
2	Ineffective	9 – 12%	State Ave. – (60-64)%
1	Ineffective	5 – 8 %	State Ave. – (65-69)%
0	Ineffective	0 – 4%	State Ave. – (70-100)%

SECTION III: OBSERVATION CATEGORY

1. The parties agree that principals shall be evaluated using the Multidimensional Principal Performance Rubric, Section I, Domains 1 to 6 covering all ISLLC 2008 Standards for the Other Measures subcomponent.
2. The superintendent shall be the lead evaluator and complete the two required announced observational visits (general observations of events, meetings and two meetings to discuss as outlined in Section I, 3.). The person serving as the required “independent observer” shall be a district administrator with a different district BEDS code, or a qualified administrator contracted with the District, and shall complete the required unannounced school visit.
3. The rating of the Independent Observer shall constitute 10% of the rating for the Observation/School Visit Category for principals. The summative evaluation rating of the superintendent/supervisor shall constitute 90% of the rating for this category. (Note: specific procedures and forms shall be developed through the process outlined in Section I.)
4. Each observed element of the Multidimensional domain shall be rated by the supervisor in a holistic manner, circling the language on the rubric that best matches the performance of the principal for each element. These HEDI ratings shall be converted to a four-point scale: Highly Effective = 4 points; Effective = 3 points; Developing = 2 points; and Ineffective = 1 point.
5. For the unannounced visit only directly observed professional performance shall be used to rate and score applicable sections of the rubric. The principal may choose to invite the independent observer to join a planned meeting or activity, do a school walk-through visit focusing on leadership initiatives, or engage in an educational planning discussion related to school records and documents.
6. The supervisor’s summative evaluation shall be based, in part, on 2 visits meetings of 30 minutes or more to the school, while in session. These will be as agreed to between the superintendent and principal. Another school visit of at least 20 minutes shall be by the “independent observer” and will also be the required unannounced observational visit. Observational School Visits Meetings with Principal to discuss rubric and evidence of meeting the criteria are to be completed annually between September 15 and June 1, with at least one occurring after April 1. The following optional sources of information, if provided by the principal during the “observation cycle”, shall be considered observable evidence of performance by the supervisor in utilizing the rubric and instrument. These shall be provided to the superintendent at the time of an announced observational school visit.
 - a. School documents and records related to components of the rubric.
 - b. Progress on any organizational goals.

- c. The principal's self-analysis on the rubric for joint review and discussion.

Supervisors may also provide such additional documents as sources of evidence. However, any evidence to be used by the supervisor shall be presented to the principal at least two days prior to the observational visit biannual conversation in which it is to be used. Such evidence shall be used in only one observational meeting visit. Evidence of professional performance to be used resulting from "natural conversations" outside of the required observational visits shall be documented, in writing, to the principal within three days of such conversations. If considered in determining scores for the final summative evaluation, such written documentation shall be referenced and included.

7. Each observational visit/ meeting shall result in an observational report provided to the principal within 7 days of the observation visit or meeting. This will include the scores and/or ratings for elements observed as well as narrative information. For any element observed and rated "Ineffective" (1) or "Developing" (2), the observer shall:
 - Substantiate such scores/ratings with a reference to the specific observed evidence leading to such score.
 - Provide concrete suggestions for the principal's improvement, and
 - Indicate the assistance and resources to be provided by the District to support the professional growth of the principal in the areas rated "I" or "D".
8. Over the course of the year, all elements and domains will be assessed at least once by the supervisor.
9. For the supervisor's final summative evaluation, the element scores shall be determined according to the RUBRIC AVERAGE SCORE WEIGHTING CHART(Appendix C), and then averaged to determine a rubric score that shall be converted to a HEDI rating pursuant to the CONVERSION CHART below. Rounding to the nearest hundredth shall apply to average element scores to match the HEDI ranges in the conversion chart.

Summative Evaluation:

Based on a review of all meeting documentation, documented "natural conversations" about professional performance, and other sources of evidence reviewed in observation cycles, the superintendent shall compile and end-of-year summative evaluation.

Each rubric element shall receive a score with no score being lower than any observation score assigned to the element during an observation cycle during the year.

Element scores of 1 (I) or 2 (D), shall be supported by reference to specifically observed evidence during the observation cycles.

A final overall rubric score shall be computed using the average of all of the summative element scores. Normal rounding will apply to an overall average element score falling between the negotiated Observation Category HEDI ranges. This final average overall element score shall be the Overall Summative Observation Score from the superintendent as lead evaluator (weighted at 90% in determining the final Observation Category Rating). The superintendent's summative evaluation report (Appendix D) shall be presented, reviewed, and discussed in an additional end-of-year post-observation conference.

10. A form to document all school visits with related scores and ratings, and to calculate the final overall score and rating for this category, shall be developed through the process identified in Section I.
11. The HEDI bands for the Observation Category, based on the average rubric score shall be:

Observation Category (Rubric): Average Score* to HEDI Rating Conversion	
<u>Average rubric score</u> **	<u>Performance Level</u>
3.75 to 4.0	Highly Effective
2.5 to 3.74	Effective
1.5 to 2.49	Developing
1*** to 1.49	Ineffective

* For all components or sub-components of a category, the Average Score may be a Weighted Average Score to determine the HEDI rating for a category, as collectively bargained.

** For average scores that fall between these identified ranges, the attained average shall be rounded to the nearest hundredth.

*** Where all elements of a rubric are rated as 1, law (3012-d) requires that the score for the "Observation Category" be recorded and reported as 0 (zero).

Professional Development

The District will support the principal's professional development and ensure that all certified evaluators receive appropriate professional development, differentiated as identified by data and need. It is understood that quality professional development examines best practices, provides coaching/mentoring support, encourages risk-taking designed to improve student learning, cultivates team relationships and provides quality time for reflection and renewal. The District will make every effort to ensure that professional development for the principal be identified through collaborative discussion with his/her supervisor and tied to the ISLLC standards. As such, it is understood that the District will make every effort to provide specific and timely feedback through regularly scheduled meetings and ongoing communication. The principal will be expected to capture evidence of impact of his/her professional growth efforts including any personal and/or collegial reflective practices that promoted professional growth. Most importantly, it is recognized by everyone within the school community that quality professional development must focus and translate to improving and increasing student achievement.

Principal Improvement Plan

See Appendix E

Appeal Process

To the extent that a Principal wishes to issue an appeal, the principal will submit an appeal request form {Appendix F}. All appeals will be timely expeditious and follow the procedures outline in this agreement (A-E and 1-3).

- A. Appeals will be limited to the following situations:
 - a. A Principal will be able to appeal an ineffective or developing rating.
- B. The scope of any appeal will be limited to the following subjects:
 - a. The substance of the individual's annual professional performance review, which shall include the following:
 - 1. In the instance of a principal rated Ineffective on the Student Performance Category but rated Highly Effective on the Observation/School Visit Category based on an anomaly, as determined locally (Subpart 30-3.12(a)(1) of the Rules of the Board of Regents);
 - b. The District's adherence to the standards and methodologies required for such reviews, pursuant to Education Law 3012-d;
 - c. The adherence to the Commissioner's regulations, as applicable to such reviews;
 - d. Compliance with any applicable locally negotiated procedures regarding annual professional performance reviews or improvement plans; and
 - e. The District's issuance and/or implementation of the terms of the principal improvement plan.
- C. The entire appeals record will be part of the Principal's APPR.
- D. The appeals procedure constitutes the exclusive means for initiating, reviewing, and resolving any and all appeals. A Principal may not resort to any other contractual grievance procedure for the resolution of these appeals, except as otherwise authorized by law.
- E. Nothing in the appeals procedure will restrict the right of the District or the obligation of the Principal to proceed in accordance with otherwise standard practice, e.g., implementation of an improvement plan or denial/granting of tenure, while an appeal is pending.
- F. A Principal may not file multiple appeals regarding the same performance review. All grounds for appeal must be raised with specificity within one appeal. Any grounds not raised at the time the appeal is filed shall be deemed waived, unless the parties agree that new information may impact the overall appeal.
- G. In an appeal, the Principal has the burden of demonstrating a right to relief requested and the burden of establishing the facts upon which petitioner seeks relief.

H. The time line in Levels 1, 2 & 3 of the appeal process will be strictly adhered to. Failure of the petitioner to meet a timeline will nullify the appeal; failure of the respondent to meet a timeline will allow movement of the appeal to the next level.

LEVEL 1- LEAD EVALUATOR (SUPERINTENDENT)

- a. (Informal) Following receipt of a Principal's annual evaluation, the Principal is encouraged to immediately schedule a follow up meeting to informally discuss with the Superintendent any and all related issues. If the Principal has additional supporting evidence to share with the Superintendent regarding a particular element(s) of the evaluation, the Principal is encouraged to do so at this level.
- b. (Formal) If the Principal chooses to submit a formal appeal {Appendix F}, the Principal may request, in writing, a review by the Superintendent of Schools. The written appeal shall articulate in detail the basis of the appeal to the Superintendent of Schools. Failure to articulate a particular basis for the appeal in the aforesaid appeal writing shall be deemed a waiver of that claim. The evaluated Principal may only challenge the substance, rating and/or adherence to the parties' Annual Professional Performance Review Plan adopted pursuant to 8 NYCRR 30-2 and Education Law 3012-c and the scope listed in B above.

Upon receipt of the formal written documentation, the Principal will schedule a meeting for the parties to meet to review and discuss the documentation that is submitted in the written appeal.

Level 1 (a) and (b) shall take place within ten (10) business days, occurring during the school year including summer recess, of the receipt of a Principal's annual evaluation.

- c. Ten (10) business days following the issuance of the Principal Evaluation, the Superintendent and Principal will meet to generate a draft Principal Improvement Plan. The plan will be finalized within 5 days and issued to the Principal. If a Principal is challenging the issuance or implementation of a Principal Improvement Plan, the appeal must be submitted in writing within ten (10) business days of the issuance of the plan.
- d. When filing an appeal, the Principal must submit a detailed written description of the specific grounds for the appeal of the performance review being challenged. Along with the appeal, all supporting documentation must be submitted, or specifically noted if pending. Any grounds for appeals or any supporting documentation/information not submitted or noted at the time the appeal is filed shall not be considered, unless it is mutually agreed upon by the parties to consider the new documentation/information.
- e. Within ten (10) business days of receipt of an appeal, the Superintendent must submit a detailed written response to the appeal. Along with the response, all supporting documentation must be submitted, or specifically noted if pending, as well as any additional documents or materials relevant to the response. Any supporting documentation/information not submitted or noted at the time the response is issued shall not be considered in deliberations related to the resolution of the appeal. The Principal initiating the appeal, and at the discretion of the Principal the Principal's Association President(s), shall receive copies of the response and any and all additional information submitted with the response.

LEVEL 2 – PANEL

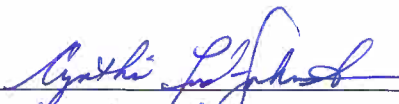
- a. Within five (5) business days of receipt of the Level 1 determination, if a Principal is not satisfied with such determination the Principal must submit the appeal to a bipartisan panel comprised of (2) panelists from retired Superintendent or Principal ranks. The individuals chosen will be mutually agreed upon by the Association and the District. The panel will be provided the entire appeals record. These panelists must be trained in the APPR process. The anonymity of the panelists and appellant will be protected to the greatest extent possible.
- b. Within five (5) business days of receipt of the Level 1 determination of the Principal's appeal, the panel will jointly conduct a paper review and deliberation of the matter, and issue a written recommendation for resolution to the Principal' Association President and the Superintendent of Schools. The recommendation may be to deny the appeal, to sustain the appeal and grant remedy; further reasoning for the recommendation, as well as dissenting opinions, if any, will be final and binding for all appeals on developing ratings. Appeals of ineffective ratings and split decisions on an appeal of developing rating will proceed to level 3 below.
- c. All costs associated with the panel including expenses will be born equally between the parties.

LEVEL 3 – SUPERINTENDENT

- a. Within five (5) business days of receipt of the Level 2 recommendation for resolution, the Superintendent of School will give due consideration to the panel's recommendation and issue a final and binding decision, in writing, to the appellant, to the Principal' Association, and to the panel members. Whether the appeal is denied or sustained, the Superintendent may set aside or modify a rating or improvement plan or order a new evaluation or improvement plan if procedures have been violated. The determination of the Superintendent will be final and shall not be grieved, arbitral, nor reviewable in any other form; however, the failure of either party to abide by the above agreed upon process shall be subject to the grievance procedure.

If personal or vacation leave with either party interfere with the timeline of the appeal process, the parties agree to meet and revise this schedule to an alternate agreeable timeline, but in all cases the appeal will be timely and expeditious.

Superintendent of Schools



Date 10-1-2017

PAC President



Date 10-1-2017

APPENDIX A

Interstate School Leadership

Licensure Consortium (ISLLC)

Interstate School Leaders Licensure Consortium Standards (2008)

Standard 1

An education leader 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.

Functions:

- A.** Collaboratively develop and implement a shared vision and mission
- B.** Collect and use data to identify goals, assess organizational effectiveness, and promote organizational learning
- C.** Create and implement plans to achieve goals
- D.** Promote continuous and sustainable improvement
- E.** Monitor and evaluate progress and revise plans

Standard 2

An education leader promotes the success of every student by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

Functions:

- A.** Nurture and sustain a culture of collaboration, trust, learning, and high expectations
- B.** Create a comprehensive, rigorous, and coherent curricular program
- C.** Create a personalized and motivating learning environment for students
- D.** Supervise instruction
- E.** Develop assessment and accountability systems to monitor student progress
- F.** Develop the instructional and leadership capacity of staff
- G.** Maximize time spent on quality instruction
- H.** Promote the use of the most effective and appropriate technologies to support teaching and learning
- I.** Monitor and evaluate the impact of the instructional program

Standard 3

An education leader promotes the success of every student by ensuring management of the organization, operation, and resources for a safe, efficient and effective learning environment.

Functions:

- A.** Monitor and evaluate the management and operational systems
- B.** Obtain, allocate, align, and efficiently utilize human, fiscal, and technological resources
- C.** Promote and protect the welfare and safety of students and staff
- D.** Develop the capacity for distributed leadership
- E.** Ensure teacher and organizational time is focused to support quality instruction and student learning

Standard 4

An education leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.

Functions:

- A. Collect and analyze data and information pertinent to the educational environment
- B. Promote understanding, appreciation, and use of the community's diverse cultural, social, and intellectual resources
- C. Build and sustain positive relationships with families and caregivers
- D. Build and sustain productive relationships with community partners

Standard 5

An education leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner.

Functions:

- A. Ensure a system of accountability for every student's academic and social success
- B. Model principles of awareness, reflective practice, transparency, and ethical behavior
- C. Safeguard the values of democracy, equity, and diversity
- D. Consider and evaluate the potential moral and legal consequences of decision-making
- E. Promote social justice and ensure that individual student needs inform all aspects of schooling

Standard 6

An education leader promotes the success of every student by understanding, responding to, and influencing the political, social, economic, legal, and cultural context.

Functions:

- A. Advocate for children, families, and caregivers
- B. Act to influence local, district, state, and national decisions affecting student learning
- C. Access, analyze, and anticipate emerging trends and initiatives in order to adapt leadership strategies

APPENDIX C

RUBRIC AVERAGE ELEMENT SCORE – WEIGHTING CHART

DOMAINS & Elements	HEDI SCORE 1= I 2= D 3= E	MULTIPLIER FOR WEIGHTIN G (AND NUMBER FOR THE DIVISOR TO EQUATE	TOTAL WEIGHT ED
1. SHARED VISION OF LEARNING			
a. Culture		3.5	
b. Sustainability		1.5	
2. SCHOOL CULTURE & INSTRUCTIONAL PROGRAM			
a. Culture		2	
b. Instructional Program		4	
c. Capacity Building		2	
d. Sustainability		1	
e. Strategic Planning Process		1	
3. SAFE, EFFICIENT, EFFECTIVE LEARNING ENVIRONMENT			
a. Capacity Building		3	
b. Culture		3	
c. Sustainability		2	
d. Instructional Program		2	
4. COMMUNITY			
a. Strategic Planning Process: Inquiry		3	
b. Culture		1	

c. Sustainability		1	
5. INTEGRITY, FAIRNESS, ETHICS			
a. Sustainability		2	
b. Culture		1	
6. POLITICAL, SOCIAL, ECONOMIC, LEGAL & CULTURAL CONTEXT			
a. Sustainability		1	
b. Culture		1	
TOTALS	DOES NOT APPLY	35*	
AVERAGE ELEMENT SCORE (TOTAL WEIGHTED SCORE DIVIDED BY TOTAL OF MULTIPLIERS) =			
OVERALL RUBRIC HEDI RATING BASED ON THE AVERAGE ELEMENT SCORE =			

For observations that have scores for only some elements, the total shall be calculated using only observed and rated elements. In those cases, the total in the "Multiplier" column, used as the divisor to determine the average, will be less than when all elements are rated.

Note: *Different weightings could be used that would also change the divisor to determine the average.

Note: This chart should be incorporated into an additional form to identify the principal, observer, and school visit date, as well as comments and identification of sources of evidence utilized, by element. Such forms should be developed through the process indicated in Section I.

APPENDIX D

PRINCIPAL ANNUAL PROFESSIONAL PERFORMANCE REVIEW SUMMARY

Principal's Name _____

Position/Site _____

School Year _____

Evaluator's Name _____

Supervisor's school visit dates: _____

Independent Observer's visit dates: _____

Date of Summative Evaluation: _____

STUDENT PERFORMANCE CATEGORY RATING: _____

NYSED GROWTH SCORE OR SLO SCORE/RATING:

_____/_____

OBSERVATION CATEGORY RATING: _____

SUPERVISOR SCORE/RATING (90%):

_____/_____

INDEPENDENT OBSERVER SCORE/RATING (10%):

_____/_____

APPR Overall Rating (HEDI): _____

Supervisor's Signature and date _____

Principal's Signature and date _____

SUMMARY FORM – PAGE 2

EVALUATION MATRIX RATING

OBSERVATION					
STUDENT PERFORMANCE		HIGHLY EFFECTIVE (H)	EFFECTIVE (E)	DEVELOPING (D)	INEFFECTIVE (I)
	HIGHLY EFFECTIVE	H	H	E	D
	EFFECTIVE	H	E	E	D
	DEVELOPING	E	E	D	I
	INEFFECTIVE	D (or I) *	D (or I) *	I	I
* If a State-designed supplemental assessment was included as an optional sub-component, the teacher can be rated no higher than Ineffective overall with a Student Performance rating of "I".					

APPENDIX E

PRINCIPAL IMPROVEMENT PLAN

Upon rating a principal as “ineffective” or “developing”, an improvement plan designed to rectify perceived or demonstrated deficiencies must be developed and commenced no later than ten (10) district workdays after the issuance of the final evaluation rating. . The Superintendent, in cooperation with the Principal, must develop an improvement plan that contains:

1. A clear delineation of the deficiencies that promulgated the ineffective or developing assessment.
2. Specific improvement goal/outcome statements.
3. Specific improvement action steps/activities.
4. A reasonable time line for achieving improvement.
5. Required and accessible resources to achieve the goal.
6. A formative evaluation process documenting meetings strategically scheduled throughout the year to assess progress. These meetings shall occur at least twice during the year: the first between December 1 and December 15 and the second between March 1 and March 15. A written summary of feedback on progress shall be given within five (5) business days of each meeting.
7. A clear manner in which improvement efforts will be assessed, including evidence that demonstrates improvement.
8. A formal, written summative assessment delineating progress made.

PRINCIPAL IMPROVEMENT PLAN

Name of Principal _____

School Building _____ Academic Year _____

Deficiency that promulgated the “ineffective” or “developing” performance rating:

Improvement Goal/Outcome:

Action Steps/Activities:

Timeline for Completion:

Required and Accessible Resources, including identification of responsibility for this provision:

Date(s) of formative evaluation:

December:

March:

Other:

Evidence of goal achievement:

Assessment Summary: Superintendent is to attach a narrative summary of improvement progress, including verification of the provision of support and resources as outlined above no later than 10 days after the identified completion date. Such summary shall be signed by the superintendent and principal, with the opportunity for the principal to attach comments.

APPENDIX F
APPEAL RECEIPT FORM

Appeal Submitted To: _____

Person Submitting Appeal: _____

Date of Appeal Submission: _____

The terms and/or conditions of APPR Evaluation involve in appeal:

This is to verify that on the _____ day of _____, 20____,

I received a written appeal from _____ relative to the

Principal Annual Professional Performance Review

SIGNED: _____ DATE: _____

Superintendent of Schools

Multidimensional Principal Performance Rubric

Domain 1 – Shared Vision of Learning

An education leader 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.

	Ineffective 1	Developing 2	Effective 3	Highly Effective 4
Culture¹ (attitudes, knowledge, behaviors and beliefs that characterize the school environment and are shared by its stakeholders)	claims to have a vision and mission for the school, but keeps it private	identifies the school's vision and mission, and makes them public	collaborates with key stakeholders in the school to develop and implement a shared vision and mission for learning	engages stakeholders representing all roles and perspectives in the school in the development, monitoring and refinement of a shared vision ² and mission for learning
	school vision and mission are unrelated to the district vision and mission	school vision and mission are created in isolation of the district's vision and mission and aligned as an afterthought	school vision and mission aligns with the vision and mission of the district	school vision and mission intentionally align with the vision and mission of the district and contribute to the improvement of learning district wide
	disregards the need to use the school's vision and mission to guide goals, plans and actions	refers to the school vision and mission as a document, unconnected to programs, policies or practices	explicitly links the school's vision and mission to programs and policies	uses the school's vision and mission as a compass to inform reflective practice, goal-setting, and decision-making
Sustainability (a focus on continuance and meaning beyond the present moment, contextualizing today's successes and improvements as the legacy of the future)	assumes that the school's improvement is either an event or the responsibility of a single individual	provides selected staff with opportunities to discuss school improvement efforts	has a process and structure in place for organizational improvement and uses it to assess the school	uses and regularly evaluates strategic processes and structures to promote the school's continuous and sustainable improvement

¹ In the electronic version, Culture is hyperlinked to an input PowerPoint.

² In the electronic version, shared vision is hyperlinked to an annotated shared visioning activity.

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Multidimensional Principal Performance Rubric

Domain 2 (cont.)

	Ineffective 1	Developing 2	Effective 3	Highly Effective 4
Instructional Program <i>(design and delivery of high quality curriculum that produces clear evidence of learning)</i>	promotes a curricular program that provides students with limited, surface or cursory exposure to a topic, concept or skill set and establishes or defines meaning for students, focusing on the recall of isolated concepts, skills and/or facts	establishes a curricular program focused primarily on recall, comprehension and factual knowledge acquisition that enables students to develop a basic understanding of a topic and/or process and includes few, if any, opportunities for them to construct meaning	creates a comprehensive, rigorous, and coherent curricular program that address all levels of thinking, enables students to develop knowledge and skills related to a concept, problem, or issue, and supports their construction of meaning during the most important lessons and tasks	engages students and teachers in designing and revising a learner-centered curricular program that integrates basic and higher levels of thinking throughout and provides opportunities for students to emulate professionals and construct meaning as they engage in a thorough exploration of a concept, problem, issue, or question
	maintains a hands off approach to instruction	provides mixed messages related to expectations for instructional methodology and own understanding of “best practices”	supervises instruction and makes explicit the expectation that teachers remain current in research-based, best practices and incorporate them into their own work	supervises instruction on an ongoing basis, and engages in collegial opportunities for learning, action research and/or inquiry related to best practices in teaching and learning
	initiates actions that interrupt instructional time and distract from learning (e.g., meetings, announcements, unplanned assemblies, phone calls to teachers in classrooms, etc.)	allows actions that disrupt instructional time and distract from learning (e.g., meetings, announcements, unplanned assemblies, phone calls to teachers in classrooms, etc.)	maximizes time spent on quality instruction by protecting it from interruptions and inefficient scheduling, minimizing disruption to instructional time	involves diverse stakeholders in uncovering issues that challenge time spent on quality instruction and in innovative approaches to dealing with them

Multidimensional Principal Performance Rubric

Domain 2 (cont.)

	Ineffective 1	Developing 2	Effective 3	Highly Effective 4
Strategic Planning Process: <i>monitoring/inquiry (the implementation and stewardship of goals, decisions and actions)</i>	judges the merit of the instructional program based on what is used by others	evaluates the impact of the instructional program based on results of standardized assessments	gathers input from staff and surveys students as well as formal assessment data as part of process to monitor and evaluate the impact of the instructional program	provides time and the expectation for students and staff to participate in multiple cycles of field testing, feedback and revision of the instructional program in order to monitor and evaluate its impact and make necessary refinements to support continuous improvement

Multidimensional Principal Performance Rubric

Domain 3 (cont.)

	Ineffective 1	Developing 2	Effective 3	Highly Effective 4
Sustainability <i>(a focus on continuance and meaning beyond the present moment, contextualizing today's successes and improvements as the legacy of the future)</i>	avoids engaging with management or operations systems	monitors and evaluates the management and operational systems	monitors, evaluates and revises management and operational systems	establishes processes for the ongoing evaluation, monitoring and revision of management and operational systems, ensuring their continuous, sustainable improvement
Instructional Program <i>(design and delivery of high quality curriculum that produces clear evidence of learning)</i>	allocates time as required to comply with regulations and mandates	schedules time outside of the typical school day for teachers to support instruction and learning	ensures teacher and organizational time is focused to support quality instruction and student learning	engages groups of students and teachers in determining how to best allocate and manage time to support ongoing and sustainable improvements in quality instructional practices and student learning

Multidimensional Principal Performance Rubric

Domain 5 – Integrity, Fairness, Ethics

An education leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner.

	Ineffective 1	Developing 2	Effective 3	Highly Effective 4
Sustainability <i>(a focus on continuance and meaning beyond the present moment, contextualizing today's successes and improvements as the legacy of the future)</i>	associates “accountability” with threats and blame for students’ academic and social difficulties	focuses on accountability for academic and social success of students whose test results threaten the school’s standing	ensures a system of accountability for every student’s academic and social success	enables an approach to “accountability” that upholds high ethical standards and inspires stakeholders (educators, parents, students and community partners) to own and be responsible for every student’s academic and social success
	makes decisions based on self-interest and is caught off guard by consequences of decisions and responds by denying, becoming defensive or ignoring them.	makes decisions and takes actions without considering consequences, dealing with them if and when they occur	considers and evaluates the potential moral and legal consequences of decision-making	engages the diverse perspectives of various stakeholders in using multiple sources of data to explore potential intended and unintended moral, legal and ethical consequences of decisions and actions that support the greater good
	blames mandates for decisions or actions that challenge the integrity or ethics of the school or its various stakeholders	assumes responsibility for decisions and actions related to mandates	assumes responsibility for thoughtfully considering and upholding mandates so that the school can successfully tread the line between compliance and moral and ethical responsibility	promotes resiliency by involving stakeholders in considering how to negotiate and uphold mandates in ways that preserve the integrity of the school’s learning and work and align with its ethical and moral beliefs

Multidimensional Principal Performance Rubric

Domain 6 – Political, Social, Economic, Legal and Cultural Context

An education leader promotes the success of every student by understanding, responding to, and influencing the political, social, economic, legal, and cultural context.

	Ineffective 1	Developing 2	Effective 3	Highly Effective 4
Sustainability <i>(a focus on continuance and meaning beyond the present moment, contextualizing today's successes and improvements as the legacy of the future)</i>	appears unaware of decisions affecting student learning made outside of own school or district waits to be told how to respond to emerging trends or initiatives	reacts to district, state and national decisions affecting student learning continues to rely on the same leadership strategies, in the face of emerging trends and initiatives, or copies others who they view as leaders in the field	acts to influence local, district, state, and national decisions affecting student learning , within and beyond their own school and district assesses, analyzes, and anticipates emerging trends and initiatives in order to adapt leadership strategies	engages the entire school community and all of its stakeholders in collaborating to make proactive and positive change in local, district, state and national decisions affecting the improvement of teaching and learning draws upon the perspectives, expertise and leadership of various stakeholders in responding proactively to emerging challenges to the shared vision, ensuring the resilience of the school, its growth, learning and improvements
Culture <i>(attitudes, knowledge, behaviors and beliefs that characterize the school environment and are shared by its stakeholders)</i>	advocates for self and own interests	advocates for selected causes	advocates for children, families, and caregivers	guided by the school vision, enables self, children, families and caregivers to successfully and appropriately advocate for themselves and one another

Multidimensional Principal Performance Rubric

Goal Setting and Attainment (cont.)

	Ineffective 1	Developing 2	Effective 3	Highly Effective 4
Strategic Planning⁵ • Prioritize • Strategize	considers goals in no special order changes commitment to goals as new ones emerge lists generic strategies that could apply to a variety of goals states the benefits of attaining the goal(s)	prioritizes goals based on own interests relies on own perspective to assert the importance and alignment of identified goals lists strategies that will be used to accomplish goals identified describes, in general terms, what successful goal attainment will look like and accomplish	prioritizes goals by considering what can be gained by pursuing each uses superintendent's perspective to test own assumptions about goals to see if they are truly connected to the school/district vision and needs articulates strategies supporting actions, and reasons for selecting them identifies anticipated specific measures of success for each goal	prioritizes goals by considering the potential benefits and unintended consequences of pursuing certain goals vis-a-vis others uses the perspectives of others to test own assumptions about the goals articulated and to see if they are truly connected to the school/district vision and needs articulates strategies supporting actions and also for overcoming obstacles to the plan, with rationale for selecting them that includes anticipated results, implementation intentions⁶ related to each, and evidence of strategy's impact. describes the evidence that, when collected and annotated, will support that attending to these goals actually decreases the distance between current reality and the vision

⁵ In this electronic version, *Strategic Planning* will hyperlink to a scaffolded, strategic planning worksheet.

⁶ In the electronic version, *implementation intentions* will be a hyperlinked definition with examples.

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Multidimensional Principal Performance Rubric

Goal Setting and Attainment (cont.)

	Ineffective 1	Developing 2	Effective 3	Highly Effective 4
Evaluating Attainment • Document ○ Insights ○ Accomplishments ○ New questions ○ Implications for moving forward • Next steps	documentation is a beginning and end event and focuses on restating actions taken and noting obstacles to goal achievement categorically claims goal attainment or uses failure to meet goals set as evidence that the goal setting process does not work dismisses the possibility of using goals to define next steps	sporadically documents thinking related to key moments, obstacles or achievements evaluates goals and goal attainment based on own impressions of what success should have looked like and what was actually achieved considers new goals based on success in achieving current goals, adjusting them to match perceived ability of the school to actually improve	periodically documents own thinking and reactions to the progress made obstacles encountered, and insights or questions that arise evaluates goals and goal attainment by assessing “evidence of success,” establishing the degree to which the goal has been achieved, and determining next steps towards attaining the school vision determines next steps and future actions to improve student learning, teacher practice, academic results and/or the school environment in light how successful the recent work was in making improvements	throughout the implementation of the action plan, systematically documents and reflects upon emerging insights, questions, perceived accomplishments, obstacles encountered, and unintended consequences taps the perspectives of those who supported the initial data analysis to help evaluate goal attainment and related impact on learning by assessing “evidence of success,” establishing the degree to which the goal has been achieved, and determining next steps in attaining the school vision and improving learning engages stakeholders⁷ in planning, future goals, actions and next steps to improve student learning, teacher practice, academic results and/or the school learning environment based on how much closer the school and district are to the vision

⁷ In the electronic version, stakeholders would be a hyperlink to a definition and stakeholder identification activity.
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