Maine Schools for EXCELLENCE

Enhancing Educator Effectiveness and Student Learning

Model Leader Evaluation and Professional Growth Program

Guide for Maine Schools for Excellence Districts

Maine Department of Education

Revised: November 2014

Our thanks to the Maine teachers and leaders in the Teacher Incentive Fund Maine Schools for Excellence districts who have contributed many hours of effort and expertise to the development and continual refinement of this work. In addition, we wish to thank the members of the LEPG Workgroup, Statewide Practitioners Group, and other stakeholders who shared their knowledge and feedback in developing and refining the Model LEPG Program.

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The Maine Schools for Excellence Vision

Improving student learning and educator effectiveness is at the heart of the Maine Schools for Excellence (MSFE) initiative, which is assisting two cohorts of districts in the design and implementation of comprehensive human capital management systems.

The vision of MSFE is

- **To** enhance educator effectiveness and student learning
- **For** the benefit of all stakeholders, including students, educators, parents, and the community
- **By** developing an integrated and coherent human capital management system that aligns with the district mission and includes the following key features for all educators: regular, specific measurement and feedback; ongoing, targeted professional development; and fair and equitable recognition and rewards
- **So that** schools can better attract and retain high-performing educators and benefit from a workforce of teachers and leaders who are aligned in purpose, teamed in their efforts, and motivated to succeed in delivering high-quality instruction to students

MSFE is the umbrella initiative for two five-year Teacher Incentive Fund (TIF) grants from the U.S. Department of Education: TIF 3 and TIF 4. The TIF 4 grant, which was awarded in October 2012, emphasizes a multifaceted approach to recruiting, supporting, and retaining effective educators that mirrors Maine's strategy for addressing these critical, interrelated issues.

With the TIF grants and in compliance with Maine state law, MSFE has committed to a human capital management system approach to improve educator effectiveness. This focus reflects the emerging consensus that strategies addressing the preparation, selection, evaluation, growth, and recognition of educators are inextricably linked and must draw upon common language and data. As the graphic to the right shows, participating TIF MSFE districts will implement strategies that address the five components of the MSFE human capital management system:

- School environment
- Educator preparation
- Selection and induction
- Evaluation and professional growth
- Recognition and reward

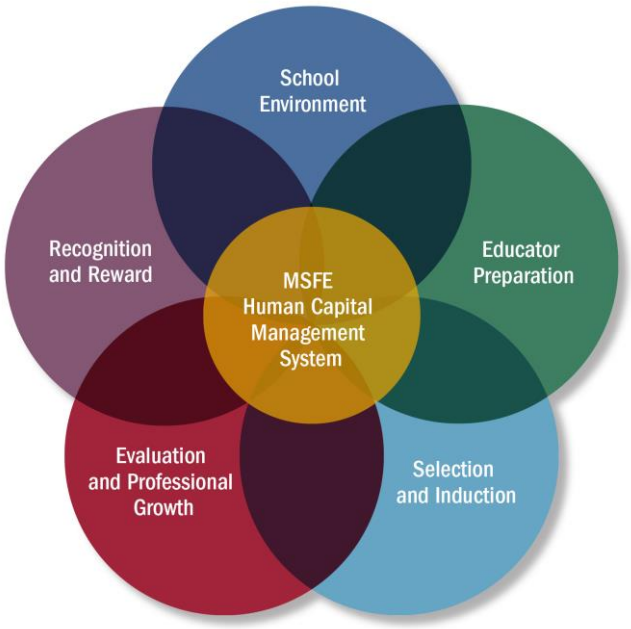


Figure 1. The MSFE Human Capital Management System

The Model Leader Evaluation and Professional Growth Program

The Maine Model Leader Evaluation and Professional Growth (LEPG) Program was designed to evaluate the performance of school leaders. The LEPG Program was developed by Maine school leaders themselves—in collaboration with Maine Department of Education staff, American Institutes for Research (AIR) staff, Maine superintendents, and other external experts. Although the Model LEPG Program is designed for use with school principals, it can be adapted for use with assistant principals and other educational leaders.

This guide includes

- An overview of each step of the leader evaluation process
- An overview of the types of evidence used to measure leader performance
- Details regarding the MSFE approach to calculating summative scores for leaders under the Model LEPG Program

Although this guide provides guidance for implementation in each of these areas, MSFE districts have flexibility in implementation within the requirements of the TIF grant and Maine educator effectiveness law.

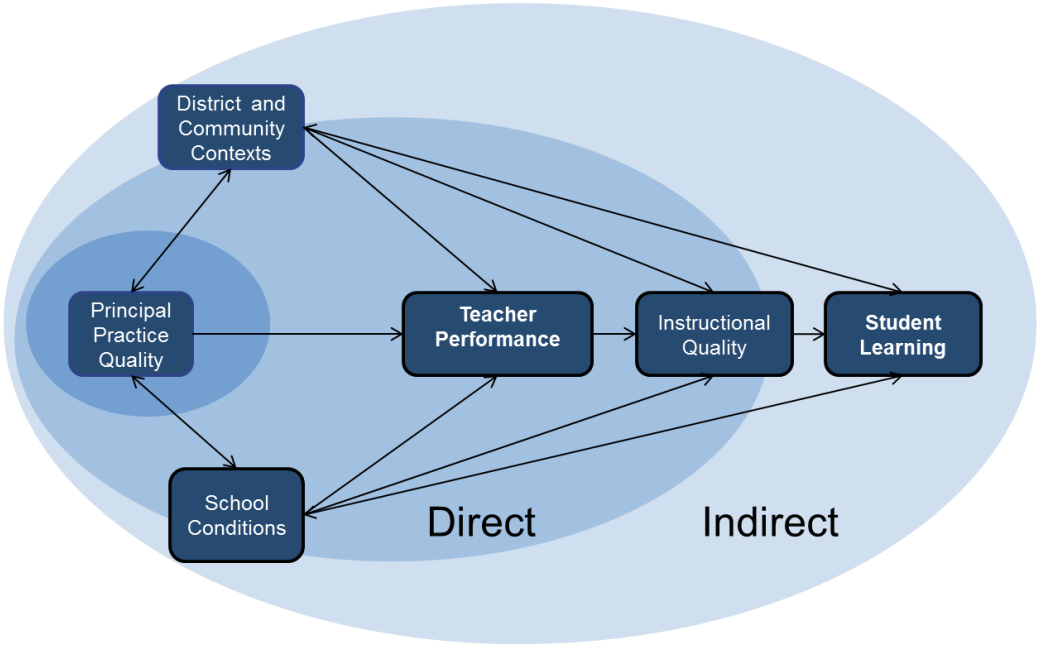
School leaders can influence many aspects of schooling, which means that comprehensive evaluations of leadership practice can become complicated and cumbersome. Following guidance from the National Association of Elementary School Principals and National Association of Secondary School Principals (2012), LEPG focuses on what matters most for leading schools, according to the research. LEPG also reflects the goals Maine educators articulated for the new leadership evaluation system.

LEPG includes a set of core leadership evaluation components that serve as a foundation for each MSFE district's leadership evaluation and professional development program. The Model LEPG Program

- Provides a starting point for discussion and decision making in the district steering committees to determine appropriate adaptations to the model to fit local MSFE district preferences, improvement agendas, and needs.
- Provides a practical, fair, and comprehensive assessment of school leaders' practices for the purposes of professional growth and human resources decisions.
- Develops a common language for discussing school leadership practice and organizational direction.
- Supports school leader development and retention.
- Fully satisfies the requirements of the TIF grant and is in alignment with Maine Rule Chapter 180.

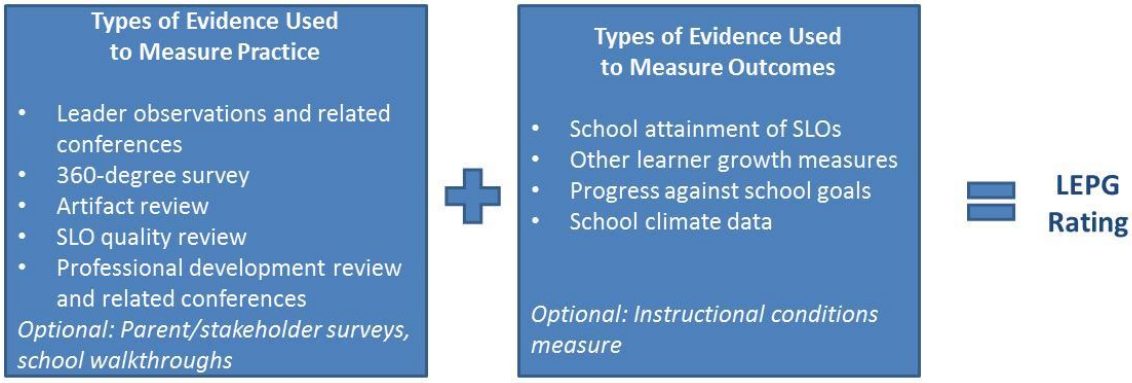
The Model LEPG Program is informed by a research-based framework developed by Clifford, Sherratt, and Fetters (2012), which informs standards and measures design (see Figure 2).

Figure 2. The LEPG Framework for Leader Evaluation



The framework shows the relationship among leader practice, direct influences of this practice, and indirect influences of this practice. The model recognizes that school leaders are directly responsible for and highly influential within the instructional environment. Leaders influence that environment by managing educator talent through systematic processes while assuring organizational effectiveness and parent and community engagement in the education process. Through the efforts of others, leaders indirectly influence student learning. A holistic assessment of leader practice should assess practice quality and address each of the outcomes identified in the framework. LEPG provides a holistic view of school leader performance by gathering types of evidence used to measure practice and outcomes (see Figure 3).

Figure 3. Types of Evidence Used to Inform Practice and Outcome Measures



Model Evaluation Process and Timeline

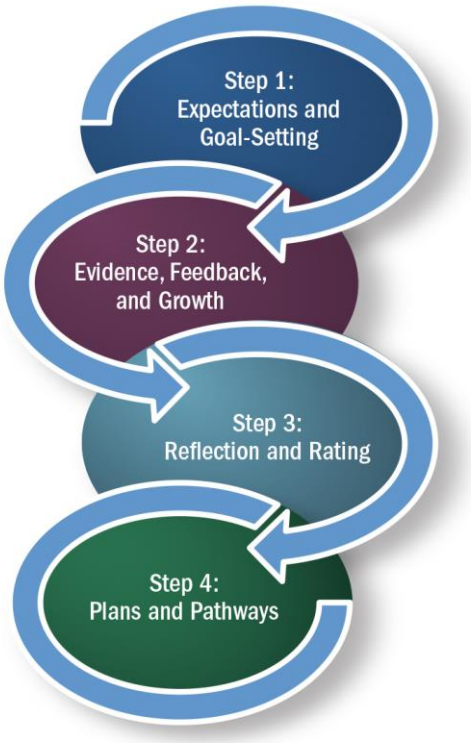
The Model LEPG Program emphasizes annual systematic performance assessment, formative performance feedback from evaluators, and professional growth linked to evaluation results. The annual evaluation and professional growth process can be illustrated in four overlapping steps. The four-step process mirrors the TEPG process, which leaders facilitate with teachers.

The model LEPG gives school leaders and their evaluators opportunities for professional conversations, formative feedback and professional growth. LEPG has been designed to be practical, fair, and rigorous:

1. All school leaders will be evaluated annually.
2. All school leaders will engage in some form of peer review.
3. All school leaders will receive a formative evaluation by December and a summative evaluation by June of each academic year.
4. Multiple methods will be used to gather evidence on leader performance.
5. Evaluation results will influence human resource decisions, such as professional growth planning and continued employment.

Evaluators are responsible for assuring that the evaluation process occurs according to schedule. Leaders and other educators will contribute to successful implementation of the evaluation process. Details on training requirements for leaders and evaluators are included in Appendix B: LEPG Program Required Training.

Figure 4. The Model Leader Evaluation Process



A general overview of the four steps of the LEPG process is described in Table 1.

Table 1. Overview of LEPG Evaluation Cycle

Step	Suggested Timing[1]	Meetings	Associated Forms/Tools
Step 1: **Leader self-reflection and goal setting, drawing upon previous year's Step 4: Plans and Pathways, if available**	Early in the school year	Beginning of the year conference	• LEPG Conference Form—Beginning-of-Year Conference section
Step 2: **Ongoing evidence collection** **Midyear conference to review evidence of progress against goals and make midcourse adjustments to goals and strategies to meet goals, as appropriate**	Midyear	Midcourse conference	• LEPG Conference Form—Beginning-of-Year Conference and Midcourse Conference sections • LEPG Artifact Submission Form(s) • LEPG Instructional Feedback Observation Protocol/Toolkit
Step 3: **Leader end-of-year self-evaluation** **Leader submission of evidence** **End-of-year summative conference** **Calculation of summative effectiveness LEPG rating**	May	Summative conference	• LEPG Conference Form—Beginning-of-Year Conference, Midcourse Conference, Summative Conference, and Summative Scoring sections • LEPG Artifact Submission Form(s) • Instructional Feedback Observation Protocol/Toolkit
Step 4: **Leader and evaluator develop professional growth plan for following school year based on summative effectiveness LEPG rating and areas of opportunity**	End of school year	In-person meeting is optional	• LEPG Conference Form—Plans and Pathways section at end of form

[1] Note: The timing of these meetings may be adjusted based on district preferences.

The model LEPG process is led by the evaluator, in collaboration with the school leader and in light of school goals and district initiatives. As such, the process focuses on leader practice as it relates to professional practice growth and to school and learner growth.

Step 1: Expectations and Goal Setting

Goal Setting for Professional Growth

The first step in the model evaluation process occurs prior to or during the beginning of the school year, after school and district improvement planning is complete and TEPG Step 1 is underway. Leader evaluation begins at this time so that school-level goals, student performance information, and other factors can be integrated into the leader evaluation system. MSFE recommends holding these meetings prior to the end of October in each school year.

All leaders begin the new evaluation cycle by reflecting on their strengths and improvement areas on the MSFE LEPG Rubric. Leaders may use the previous years' evaluation data (e.g., 360-degree survey data) for self-reflection. They may also use the "Plans and Pathways" section of the previous year's LEPG Conference Form, if they have been evaluated under LEPG in the past.

Completing this first step requires each leader to use the LEPG Conference Form to fill out the leader self-reflection and self-evaluation table in the Beginning-of-Year Conference section of the form.

The leader should draw upon the evidence examined through the self-reflection process to develop two growth goals for practice improvement. MSFE recommends that the professional practice goals include at least one *builder* goal, which is intended to address an area of improvement, and an *extender* goal, which is intended to deepen knowledge and practice in an area of strength. A leader under a monitored growth plan (i.e., improvement plan) as the result of an "ineffective" rating the previous school year should include two *builder* goals instead of one *builder* and one *extender*.

Based on the professional practice goals, each leader creates a professional development plan that will provide support as the leader works toward accomplishing his or her professional practice goals. In the professional development plan table in the LEPG Conference Form, the leader should identify strategies that will help in achieving his or her goals. This can include activities that will be done independently, with a colleague, or through organized professional development. These strategies may be things the leader is already doing or something new he or she would like to try.

The leader should identify how he or she will measure progress toward each goal and what evidence he or she will collect to demonstrate attainment.

When developing the professional growth plan, leaders must identify strategies to collaborate with their peers to receive feedback on practice.

The method of peer review is at the discretion of the district, and evaluators are responsible for reviewing and approving the type of peer review proposed by the leader, based on available

opportunities for in-person or remote collaboration. When possible and appropriate, leaders should incorporate peer observation as part of the peer review plan.

Some possible options for incorporating peer review into the LEPG process might include

- Integrating peer review into one of the observation protocols, either in-person or by viewing a recording of the leader's implementation of an observation protocol
- Including peers as raters on the leadership 360-degree survey where appropriate
- Inviting a peer to review and offer feedback on a leader's professional growth plan and engaging in ongoing dialogue throughout the year with that peer

During the academic year, the professional development plan may be adjusted to reflect emerging priorities. The evaluator assesses the degree to which the professional development plan has been enacted.

Goal Setting for School and Learner Growth

In parallel with goal setting for practice improvement, the leader and evaluator identify outcome measures related to school improvement and student learning. The outcomes should be related directly to the school goals and student learning objectives (SLOs), which are created by teachers and others who work with the leader.

The leader identifies and records these school and learner growth goals in the LEPG Conference Form—Beginning-of-Year Conference section.

The leader and other school staff may adjust the school goals in light of previous school performance data. The school goals that are to be addressed during the current academic year are included as part of the School Growth category. The Model LEPG Program provides flexibility to adjust the weight given to these measures in order to reflect school or district priorities.

The leader is also responsible for setting SLOs with teachers. Because leaders are responsible for assuring that SLOs are attained, the leader outcome measure will be based in whole or part on the school-level, aggregate percentage of students attaining their SLOs. Leaders are also held accountable for the quality of SLOs in the evaluation of their practice, through SLO quality reviews, a process that is described further in a subsequent section on types of evidence. The SLO Quality Review process by a party other than the school leader also helps ensure that SLOs are appropriately rigorous.

Beginning-of-Year Conference

In the fall, the leader meets with the evaluator to finalize the leader's professional practice goals, school and learner growth goals, and professional development plan. During the beginning of the year conversation, the leader and evaluator compare their thoughts on the proposed professional practice goals and professional development plan outlined in the LEPG Conference Form, as well as the school and learner goals and planned action steps to support goal attainment. Throughout this conversation, both the leader and evaluator should take into account current districtwide initiatives and recent achievement data.

Based on the outcomes of this conversation, the leader and evaluator may choose to refine the professional practice, school growth, or learner growth goals, and the related professional development plan.

Following the beginning-of-year conference, the leader and evaluator should sign the Beginning-of-Year Conference section of the LEPG Conference Form.

Supporting Documents: LEPG Conference Form—Beginning-of-Year Conference section

Step 2: Ongoing Collection of Evidence, Feedback, and Monitoring of Growth

Step 2 of the LEPG process spans a large part of the school year and describes the ongoing collection of evidence and monitoring of growth against goals. Although the types of evidence are described in more detail in a subsequent section of this document (Overview of LEPG Types of Evidence), the process for the midcourse formative feedback is described here.

Midcourse Conference

In December or January of each academic year, the leader and evaluator should convene a check-in to discuss evaluation results and make any needed midcourse adjustments to reflect any unanticipated issues in the school or community. The 30-minute conversation should reference evidence collected thus far in the evaluation cycle using the LEPG Conference Form—Midcourse Conference section as a guide. Topics of discussion should include progress on the professional practice, school growth, and learner growth goals, artifacts collected during the first half of the year (Artifact Submission Form), and any observations that have taken place in the first half of the school year (Instructional Feedback Observation Protocol and Instructional Feedback Observation Form).

Following the midcourse conference, the leader and evaluator should sign the Midcourse Conference section of the LEPG Conference Form.

Supporting Documents: LEPG Conference Form—Beginning-of-Year and Midcourse Conference sections, LEPG Artifact Submission Form and supporting artifacts, LEPG Instructional Feedback Observation Protocol/Toolkit, data related to progress on learner and school goals

Step 3: Reflection and Rating

Step 3 includes the reflection and rating process, during which the leader receives performance feedback from the evaluator. No leader feedback or reporting should occur without a face-to-face meeting with the evaluator to discuss and explain results. These meetings are critical to the leader's understanding of results and prioritization of next steps, which may include targeted professional development.

Supporting Documents: LEPG Conference Form—Beginning-of-Year, Midcourse, and Summative Conference sections, LEPG Artifact Submission Form and supporting artifacts, survey data as appropriate, Instructional Feedback Observation Protocol/Toolkit, data related to progress on learner and school goals

Self-Evaluation and Submission of Evidence

At the end of each evaluation cycle, the leader is asked to self-evaluate performance on each of the model LEPG Core Propositions and Standard Indicators and to prepare a brief explanation of each rating (one or two sentences highlighting examples of evidence). The self-evaluation should reference evidence collected through the 360-degree evaluation, observation, artifacts, and other data. The leader should share the self-evaluation with his or her evaluator two weeks in advance of the summative evaluation meeting.

End-of-Year Summative Conference

The end-of-year summative evaluation conference involves a comprehensive review of leader performance. Districts typically schedule summary evaluation conferences between May and July of each year, depending on the school schedule and availability of student data. At a minimum, the evaluator and leader should meet for 60 minutes. Districts may elect to include the superintendent in the summative evaluation conference (if the superintendent is not the leader's evaluator).

Prior to the scheduled conference, the leader's evaluator draws on evidence analysis that he or she, district staff, or other vendors have conducted. The evidence includes all types of evidence outlined in this guide that the leader has collected throughout the school year, including those described in Table 2.

Table 2. Types of Evidence That Inform Practice and Outcome Measures

Professional Practice		Performance Outcomes		
Evidence of Professional Practice	**Evidence of Professional Growth**	**Evidence of School Conditions**	**Evidence of School Growth**	**Evidence of Learner Growth**
▪ Observation form(s)[2] ▪ 360-degree survey results[2] ▪ Artifacts (related to practice) ▪ SLO quality review form(s)	▪ Professional development plan (PDP) review[2] ▪ Artifacts (related to professional growth and professional development)	▪ School climate survey data	▪ School improvement plan and artifacts related to progress against school goals	▪ School-level, aggregate percentage of students attaining SLOs ▪ Other learner growth measures

During this conference, the leader and evaluator should review the leader's progress against professional practice goals, as recorded in the Professional Development Plan and Goal Setting for School and Learner Growth tables in the LEPG Conference Form. The leader and evaluator should then walk through the leader's self-evaluation ratings so that the leader has the opportunity to share his or her thoughts on performance in each of the five

Supporting Documents: LEPG Conference Form—Beginning-of-Year, Midcourse, and Summative Conference sections, LEPG Artifact Submission Form and supporting artifacts, survey data as appropriate, Instructional Feedback Observation Protocol/Toolkit, data related to progress on learner and school goals

[2] Including peer review of a leader's implementation of an observation protocol, adding peers as raters on the leadership 360-degree survey, or peer review of the PDP are three possible options for incorporating peer review into the LEPG process

summative performance categories and present evidence to support each rating. This meeting provides an opportunity for the leader and evaluator to discuss tentative LEPG ratings based on the evidence presented and the leader's self-evaluation.

Following the summative conference, the leader and evaluator should sign the Summative Conference section of the LEPG Conference Form.

Summative LEPG Ratings

Within two weeks after the summative evaluation conference, the evaluator assigns a LEPG rating, which reflects performance on each Standard Indicator in the MSFE LEPG Rubric (professional practice), and the four other performance measures, as detailed in Table 3.

The leader's evaluator uses a table similar to the leader's self-evaluation table (see LEPG Conference Form—Summative Rating of Leader by Evaluator section) to record the rationale for each rating, strengths and weaknesses of the leader in each area, and any evidence in support of the rating.

The evaluator provides the leader with this completed form, including complete summative LEPG ratings, the rationale table, and the summative scoring matrix, and schedules a time to review the summative rating.

During the summative conference, the evaluator shares evidence and discusses ratings with the leader. The evaluator should also provide the leader with opportunities to further discuss his or her self-evaluation and submit additional or supplementary evidence for consideration. Based on this discussion between the evaluator and the leader and the evidence collected, the evaluator will determine the final LEPG rating.

The Model LEPG Program takes a numerical approach to combining measures into a single, final effectiveness rating. The numerical approach for leader evaluation is similar to the approach taken in the Model TEPG Program for teachers. In the Model LEPG Program, evidence informs ratings for performance measures in five categories: Professional Practice, Professional Growth, School Conditions, School Growth, and Learner Growth. The evaluator uses multiple sources of evidence to measure performance in each of the categories at the end of the annual evaluation cycle; if there are multiple sources of evidence within a single category (e.g., learner growth could reflect both a school-level aggregate percentage of students attaining SLOs *and* school-level growth on the state assessments), ratings are combined to create a composite Learner Growth rating.

For the Professional Practice measure, the LEPG Rubric provides space for the evaluator to indicate ratings on each of the Standard Indicators for each type of evidence reviewed. The evaluator may then average all of the ratings for each type of evidence for each indicator to calculate the Professional Practice rating (PP rating).

Supporting Documents: LEPG Conference Form—Beginning-of-Year, Midcourse, and Summative Conference sections, and Summative LEPG Rating section, LEPG Artifact Submission Form and supporting artifacts, survey data as appropriate, Instructional Feedback Observation Protocol/Toolkit, data related to progress on learner and school goals

Other LEPG measures have unique guidance for calculating the rating based on the evidence, as indicated in Table 3, which follows.

District priorities are reflected in weights or “multipliers” that are predetermined. The district steering committee may determine whether to adopt the model approach, the weights to apply to each measure, and how the rating process and scores will be communicated to stakeholders.

Each performance measure is rated and then combined into a final rating (LEPG rating) from *ineffective* to *distinguished*. After the scoring is completed and feedback is provided, the leader and evaluator sign the end of the LEPG Conference Form acknowledging receipt of summative evaluation information and agreement with the summative rating. Should the evaluator need additional time to consider the LEPG rating following the summative rating conference, the final signatures can be obtained later, as appropriate.

More details on the summative scoring process for the MSFE Model LEPG Program are provided in a subsequent section of this document, The MSFE LEPG Approach to Summative Scoring.

Table 3. MSFE Summative LEPG Ratings and Weights

Performance Category (Measure Name)	Professional Practice (PP Rating)	Professional Growth (PG Rating)	School Conditions (SC Rating)	School Growth (SG Rating)	Learner Growth (LG Rating)
Types of Evidence	Observations and related conferences, Artifact review 360-degree survey results SLO quality review	Professional development plan review Conversations and documents related to professional goal progress	School climate survey results	Review of progress toward school goals	School-level, aggregate percentage of students attaining SLOs Other learner growth measures
Measured By	**PP Rating:** Overall rating reflecting performance on Core Propositions 1–6 of the MSFE LEPG Rubric	**PG Rating:** Overall rating reflecting performance on Core Proposition 7 of the MSFE LEPG Rubric	**SC Rating:** Overall rating reflecting all school stakeholders' report of school climate	**SG Rating:** Overall rating reflecting progress on school goals	**LG Rating:** Overall rating reflecting student learning and growth
Rating Scale	Ineffective = 1 Developing = 2 Effective = 3 Distinguished = 4	Ineffective = 1 Developing = 2 Effective = 3 Distinguished = 4	Low = 1 Low average = 2 High average = 3 High = 4	Did not meet = 1 Partially met = 2 Met = 3 Exceeded = 4	Did not meet/low = 1 Partially met/low average= 2 Met/high average = 3 Exceeded/high = 4
Calculation[3]	Rate each Standard Indicators for Core Propositions 1–6; average all Indicator ratings for Core Propositions 1–6. The LEPG Rubric provides space to calculate this rating.	Rate Standard Indicator for Core Proposition 7.	Translate survey results into a 4-point scale.	Rate overall progress toward school goals.	Rate performance for each measure and average. The SLO 1–4 scoring scale may be used here. Superintendents have flexibility in determining appropriate 1–4 scales for other student learning measures.
Example Weight[4]	40%	10%	10%	15%	25%

[3] Note: Districts may opt to weight each Standard Indicator based on local context.
[4] Note: Districts may opt to weight each measure differently for the purpose of calculating a LEPG rating, based on local context.

Step 4: Plans and Pathways

The final step of the LEPG process is for the leader and evaluator to use the evaluation results to inform individualized professional development plans for the next evaluation cycle. The professional growth planning process is repeated by defining new professional goals and allocating resources (e.g., time, finances) toward leader professional development support.

The leader should record preliminary plans for professional growth in the last section of the LEPG Conference Form—Plans and Pathways. The leader can then draw upon this planning the following fall to inform the subsequent year's professional development plan. Leaders may fall into two categories for their subsequent professional growth plans, described in Table 4.

Supporting Documents: LEPG Conference Form—Plans and Pathways section

Table 4. Types of Growth Plans

LEPG Rating	Ineffective	Developing	Effective	Distinguished
Type of Growth Plan	Monitored Growth Plan		Individualized Growth Plan	

Individualized Growth Plan

Leaders performing at the *distinguished* or *effective* level of performance continue to be evaluated annually and complete an individualized growth plan with evaluators. Leaders receiving a distinguished rating should be considered for mentor or coach positions to assist other leaders or to support new leader movement into leadership positions.

Monitored Growth Plan[5]

Leaders with an overall summary score at the *developing* level continue to be evaluated annually and complete a focused professional growth plan to improve performance. The monitored growth plan (i.e., improvement plan) focuses on Standard Indicators that are in need of improvement. Developing leaders may, for instance, be assigned a mentor or coach to improve performance in particularly challenging areas, and evaluators may frequently meet to support development.

A leader on a monitored growth plan who receives an overall summary performance score (LEPG Rating) of *developing* for two consecutive years should be considered for immediate release from district employment. A leader with a LEPG Rating of *ineffective* for any single year should be considered for immediate release from district employment, unless otherwise specified by district policies or agreements. A monitored growth plan will, at minimum, identify the Standard Indicators to be improved immediately, the goals to be accomplished, the activities that must be undertaken to improve, and the timeline for improving performance to the "effective" level.

[5] Districts will use different names for the "monitored growth plan." Here, the term represents a professional improvement plan that (per Rule Chapter 180) aims to immediately improve performance. The plan is created by the evaluator with input from the leader and sets forth clear, measurable objectives and deadlines for implementation by the leader. Successful implementation of the monitored growth plan should result in an improved performance rating.

When a leader is placed on a monitored growth plan, he or she may require additional support. When placed on the monitored growth plan, the leader will be observed by a second district-level administrator, who will participate in determination of the summary performance rating with the leader's current evaluator. A leader also may be considered for dismissal if he or she receives an *ineffective* rating on a particular Standard Indicator and practice is sufficiently concerning to warrant dismissal. District policies and procedures apply in these matters.

District-level staff should analyze leader performance data for trends or issues common across evaluations. An analysis such as this may help to identify common professional development activities, evaluate professional development effectiveness, project hiring needs to improve the leadership team, and indicate some issues that might be addressed in preservice training. District staff also should capitalize on areas of particular strength among principals by providing principals opportunities to mentor other leaders or prospective leaders.

To provide additional context for each step of the Model LEPG Program evaluation cycle, this guide also includes details regarding each type of evidence collected to inform a leader's summative effectiveness rating, in addition to details on how to calculate a leader's rating at the end of each school year. Summary tables of this information are included in the appendices of this guide.

Overview of LEPG Types of Evidence

The Model LEPG Program is intended to provide a holistic description of leader performance by using a variety of leadership-focused evidence to inform multiple measures and an overall LEPG rating. As described in Step 2 of the LEPG program, evidence collection and feedback are crucial to performance improvement and should occur throughout the academic year.

Given leaders' broad responsibilities, ***multiple measures*** must be used to describe performance. This is recognized as the preferred approach because there is no single perfect measure of leadership effectiveness. Each measure and piece of supporting evidence has strengths and weaknesses as well as "noise" or measurement error. Sample evidence includes, for example, leadership observation data; teacher and staff survey data; student survey information; written documents or other artifacts; student assessment results; or other information that helps evaluators and leaders determine the degree to which mission-critical goals have been met.

The results gained from collecting any type of evidence may be in the form of narrative, binary (yes/no), or numerical. One type of evidence may generate many data points or a single data point.

Because leaders' work varies and occurs in many venues, evidence of leadership actions is plentiful and can quickly become overwhelming to evaluators and district information systems. Leaders are encouraged to submit only evidence that is directly relevant to the LEPG leadership framework and the goals set by the evaluator and leader. Evidence should be selected judiciously for its ability to address multiple areas of the MSFE LEPG Rubric, its strength, and its efficiency.

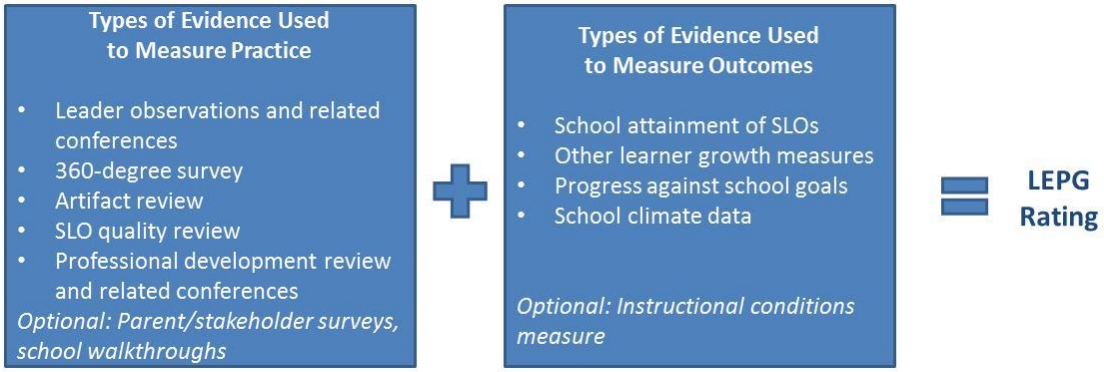
Evidence should be collected and reviewed at least twice per year—once through formative feedback during the midcourse conference and again at the end-of-year conference through summative feedback. LEPG implementation will likely involve close coordination among leaders, evaluators, and district staff who will each be responsible for collecting evidence. District staff may, for example, be responsible for coordinating administration of a schoolwide survey in the district to be used as evidence of leadership practice in each of the Standard Indicators.

What Is Feedback?

The Model LEPG Program defines "feedback" as the provision and prioritization of performance information for the purposes of improvement. The Model LEPG Program requires that an evaluator meet with the leader twice during the academic year (one formative midcourse conference and one summative end-of-year conference) to provide feedback, and encourages additional meetings with the leader. The evaluation process should be transparent and the leader should be fully informed about his or her progress so that there are no surprises at the summative evaluation meeting.

As shown in Figure 5. Types of Evidence Used to Inform Practice and Outcome Measures, the LEPG model includes nonnegotiable and optional types of evidence.

Figure 5. Types of Evidence Used to Inform Practice and Outcome Measures



An overview of each type of evidence organized by summative rating performance category or measure is provided in Table 5–7. A more detailed narrative overview of each type of evidence is provided in *Appendix A: Narrative Overview of Each Type of Evidence in the Model LEPG Program.*

Table 5. Sources of Evidence for Measuring Professional Practice

Performance Category (Measure Name)→	Professional Practice (PP Rating)					
Type of Evidence→	**Leader Observations**	**360-Degree Survey**	**Artifact Review**	**SLO Quality Review**	**Parent and Stakeholder Surveys**	**School Walk-Throughs**
Description→	Formal, announced observations of leader's work by evaluators	A survey on leader performance to be completed by the leader, evaluator, and teachers or staff in the building	Sample of artifacts highlighting leader performance	Sample of SLOs reviewed by district staff	A survey on principal performance to be completed by the parents or other stakeholders	Ten-minute, informal observations of principal practice
Forms and Tools→	LEPG Instructional Feedback Observation Protocol and Toolkit	360-degree survey tool of district's choice	LEPG Artifact Submission Form	SLO Quality Review Form	Survey tool of district's choice	N/A
Measured By→	Narrative or video-based evidence analyzed against **each Standard Indicator for Core Propositions 1–6**, as appropriate, using the previously noted forms and tools	360-degree survey descriptive ratings (i.e., survey results) analyzed against **each Standard Indicator for Core Propositions 1–6,** as appropriate	Completed Artifact Submission Form for 8 to 10 artifacts with leader's notes analyzed against **each Standard Indicator for Core Propositions 1–6,** as appropriate	Results of SLO quality review of 30 percent of SLOs analyzed against **Core Proposition 4,** including review of SLO growth targets for appropriate rigor.	Descriptive survey ratings analyzed against **each Standard Indicator for Core Propositions 1–6,** as appropriate	Narrative or video-based evidence analyzed against **each Standard Indicator for Core Propositions 1–6,** as appropriate
Requirement→	All leaders; two or more times per year for summative rating	All leaders; once per year	Submitted by all principals; once per year	Required	Optional (recommended once per year)	Optional

Table 6. Sources of Evidence for Measuring Professional Growth

Performance Category (Measure Name)→	Professional Growth (PG Rating)
Type of Evidence→	**Professional Development Plan Review**
Description→	Sample of artifacts highlighting participation and application of learning
Forms and Tools→	LEPG Conference Form (Beginning-of-Year Conference section) LEPG Artifact Submission Form
Measured By→	Completed LEPG Conference Form (listed above) with **alignment to relevant Standard Indicators for Core Propositions 1–6, and measured against Core Proposition 7** Completed LEPG Artifact Submission Form (listed above) for three to five artifacts, including explanation of **alignment to the Standard Indicator for Core Proposition 7**
Requirement→	Submitted by all leaders

Table 7. Sources of Evidence for Measuring School Conditions, School Growth, and Learner Growth

Performance Category (Measure Name)→	School Conditions (SC Rating)		School Growth (SG Rating)	Learner Growth (LG Rating)	
Type of Evidence→	**School Climate Survey**	**Instructional Conditions Data**	**Progress Against School Goals**	**School Attainment of SLOs**	**Other Learner Growth Measures**
Description→	A survey on school culture and climate in the building completed by teachers, staff, and, occasionally, other stakeholders	Student survey of teaching quality and engagement	Sample of artifacts submitted as evidence that the school goals have been met	School-level aggregate percentage of students attaining SLOs	Measures of students' growth, at the classroom, grade, subject, or school level
Forms and Tools→	School climate survey of district's choice	Student survey of classroom climate and student engagement	LEPG Artifact Submission Form	Teacher SLO attainment data	School performance data demonstrating growth, at the district's discretion
Measured By→	Descriptive survey ratings, translated into a 4-point scale	School-level, average, aggregated student response to items for all teachers	Completed LEPG Artifact Submission Form (as listed above) for four to five artifacts, including explanation of school goals alignment , rating overall progress toward goals on a scale of 1–4	Analysis of student performance results against targets aggregated at the school level and compared to predetermined targets Averaged together with other student growth performance measures	Analysis of student performance results against growth targets aggregated at the school level
Requirement→	Recommended once per year	Optional	Submitted by all leaders with assistance from district staff	Required for all leaders[6]	Optional, but strongly encouraged for all leaders

[6] Note: To ensure that teacher SLOs approved by principals are appropriately rigorous, MSFE recommends incorporating review of SLO targets for appropriate rigor into the SLO Quality Review process.

The MSFE LEPG Approach to Summative Scoring

In the Model LEPG Program, leaders are evaluated and rated in five performance categories: Professional Practice, Professional Growth, School Conditions, School Growth, and Learner Growth. Performance is assessed in each category using various sources of relevant evidence. Table 5–7 in the previous section describe each source of potential evidence organized by performance category or measure, along with how each type of evidence is measured and whether it is required or optional in the Model LEPG Program.

Under the performance categories professional practice and professional growth, leaders are assessed on their practice through an analysis of the types of evidence listed in Table 5–7. Specifically, these types of evidence include leader observations, 360-degree surveys, artifact review, SLO quality review, and two optional types of evidence—parent or stakeholder surveys and school walk-throughs.

Evidence used to inform the school conditions, school growth, and learner growth performance categories are listed in Table 5–7. Specifically, the Model LEPG Program includes three types of evidence based on outcome measures. Each addresses key aspects of leaders' work, reflects the specific context of leadership practice, and can be prioritized or "weighted" by districts. The three required types of evidence are (1) school-level, aggregate percentage of students attaining SLOs, (2) evidence of school goal attainment, and (3) school conditions (or climate) data. In addition, districts are encouraged to include student growth on schoolwide assessments to inform the Learner Growth category; student test score results and other evidence of student learning and engagement to inform the School Growth category; and instructional conditions data to inform the School Conditions category.

> ***"Determining a leader's summative effectiveness rating is an ongoing process – not a one-time, year-end event."***

Determining a leader's summative effectiveness rating is an ongoing process—not a one-time, year-end event. Behind the final performance rating labels of *ineffective*, *developing*, *effective*, or *distinguished* is a year of work and conversations about professional practice, professional growth, school conditions, school growth, and learner growth. Evidence of leader performance comes from observations and related conferences, artifacts of practice, a review of professional development plans and goal attainment, surveys of staff, a review of school-level goals, and student learning data.

Although there are several possible methods for combining each of the five measures (PP rating, PG rating, SC rating, SG rating, and LG rating) into a final summative rating, the MSFE Model LEPG Program takes a numerical approach due to its transparency, flexibility with regard to missing data or additional data points, and alignment with the performance-based rewards component of the Recognition and Rewards Framework.

The overall summative effectiveness rating (LEPG rating) reflects a weighted average of all five measures, which the evaluator then compares to the cut scores below to arrive at a leader's summative effectiveness rating classification:

- Ineffective: less than 1.5
- Developing: 1.5–2.4
- Effective: 2.5–3.4

- Distinguished: greater than 3.4

A discrepancy of two or more rating levels between the Professional Practice (PP rating) and Learner Growth (LG rating) measures warrants further review before a summative effectiveness rating can be determined. In such cases, the superintendent will review the evidence underlying the discrepancy, seek out additional evidence if needed and available, and present a written explanation and rating recommendation to a designated district committee, who will make the final rating determination. Regardless of the final LEPG rating, this leaders' plan for the subsequent evaluation cycle must address the identified area(s) of need.

Summative Effectiveness Rating Descriptors

The lowest level of performance—ineffective—describes actions and behaviors of a leader's practice that adversely impact staff, students, and the school community. A leader's practice at the ineffective level reflects poor school-level leadership practice, noncompliance with pertinent laws and policies, and inattentiveness to the needs of students, teachers, and schools. At the second level of performance—developing—a leader displays leadership and management practices that are good but need to improve in terms of being systematic and inclusive. The third level of performance—effective—represents a leader who that takes a systematic, proactive approach to continuously improving school processes. Practice at this level demonstrates a solid understanding of relational trust, leadership and instructional best practices, students, and the school community. The top level of performance—distinguished—describes a leader's practice that reaches above and beyond expectations. Practice would regularly reflect continued improvement and foster an inquiry-based culture of learning for self, staff, and students.

References

Clifford, M., Menon, R., Gangi, T., Condon, C., & Hornung, K. (2012). *Measuring school climate for gauging principal performance: A review of the validity and reliability of publicly accessible measures*. Washington, DC: American Institutes for Research.

Clifford, M., Sherratt, E., & Fetters, J. (2012). *The ripple effect: A synthesis of research on principal influence to inform performance evaluation design*. Washington, DC: American Institutes for Research.

Condon, C., & Clifford, M. (2010). *Measuring principal performance: How rigorous are commonly used principal performance assessment instruments?* Washington, DC: American Institutes for Research.

National Association of Elementary School Principals and National Association of Secondary School Principals. (2012). *Rethinking principal evaluation: A new paradigm informed by research and practice.* Washington, DC: Authors.

Appendix A. Narrative Overview of Each Type of Potential Evidence in the Model LEPG Program

The following sections describe the types of evidence in Tables 5–7 in the body of this guide in more detail. Under the Model LEPG Program, school district steering committees have considerable choice when selecting the types of evidence on which principals are evaluated and how principals are evaluated.

Types of Evidence: Professional Practice

The Model LEPG Program requires formal, announced observations of key leader practices. The observations are opportunities for evaluators to witness leadership practices in context and provide targeted feedback to improve practice. Each leader observation focuses on the leader's interactions with teachers, staff, and other constituents to complete instructional leadership tasks.[7] Districts may select other leader observation instruments, but the Model LEPG Program recommends use of AIR's observation protocols, which focus on the following:

- Leader feedback during teacher summative performance evaluation conferences (i.e., instructional observation feedback)
- Leader facilitation of student or school data conversations with teachers
- Leading meetings
- Leader completion of instructional rounds

MSFE recommends that districts prioritize use of the instructional observational feedback protocol in early implementation years to familiarize themselves with the protocol and associated rubrics and forms. Districts may wish to focus on the other observation protocols in subsequent years of implementation.

For the Instructional Feedback Observation, evidence from the observations contributes to evaluator ratings on leader **Core Proposition 4. Teaching and Learning,** specifically:

> **Standard Indicator 4.3** Supporting Instructional Practice: The leader supports improvement of teacher practice through evidence-based, actionable feedback and access to quality professional development.

Under the Model LEPG Program, observations will be announced and scheduled in advance to ensure that leaders, teachers, and other stakeholders understand why observations are being completed and that leader practice—not teachers' or others' performance—is being observed. Announced and scheduled observations are necessary to ensure timely completion.

The LEPG model requires leader observation a minimum of two times per year, both of which contribute to the summative evaluation rating. More observations will increase ratings confidence. Each observation will use the same protocol, and the protocol will be selected in advance in accordance with the leader's goals. For example, an evaluator will observe the leader leading two data conversations per year. The leader and evaluator may select additional

[7] Including peer review (in-person or by video) into these observation protocols is one possible option for leaders to incorporate peer review into the LEPG process.

protocols, but a minimum of two observations should be conducted with each additional protocol.

The leader evaluator should be well trained on the observation protocol and prepared to model observation practices that the district expects the leader to use during classroom observation. The formal observation cycle includes the following:

- **Preobservation meeting.** The leader and evaluator will attend a short meeting to schedule the observation, discuss the focus of the observation, and identify particular issues or questions for observer attention. The evaluator will use the preobservation section of the Toolkit to guide and document the conversation.

  Supporting Documents: LEPG Instructional Feedback Observation Protocol and related Toolkit

- **Observation of a meeting or activity.** The evaluator, or a designee, will gather observational evidence by using video or scripting interactions between the leader, teachers or staff, and pertinent materials (e.g., data, procedures) for the entire length of the interaction. The evaluator will use guidance in the Instructional Feedback Observation Protocol and related Toolkit.

  Supporting Documents: LEPG Instructional Feedback Observation Protocol and related Toolkit

- **Analysis of observation data.** The evaluator will analyze observation information, and prepare performance feedback to share with the leader. The evaluator will use guidance in the Instructional Feedback Observation Protocol and related Toolkit to prepare for the postobservation meeting.

  Supporting Documents: LEPG Instructional Feedback Observation Protocol and related Toolkit

- **Postobservation meeting.** The evaluator and leader discuss the observation evidence, with the evaluator providing specific feedback on performance. The leader will use the guidance in the Instructional Feedback Observation Protocol and related Toolkit to guide the conversation.

  Supporting Documents: MSFE LEPG Rubric, LEPG Instructional Feedback Observation Protocol and related Toolkit

The evaluator will then use the evidence gathered through both observation cycles and the detailed notes collected in the Toolkit to make an initial scoring decision on **Core Proposition 4. Teaching and Learning,** specifically:

> **Standard Indicator 4.3** Supporting Instructional Practice: The leader supports improvement of teacher practice through evidence-based, actionable feedback and access to quality professional development.

For detailed guidance on scoring, see the 5. Rate and Plan section on pp. 10 and 11 of the LEPG Instructional Feedback Observation Protocol.

360-Degree Surveys

The Model LEPG Program includes an annual leadership 360-degree survey, as a means of gathering leader practice information from leaders, evaluators, teachers, and staff in the

building.[8] A 360-degree survey provides information from multiple perspectives on the same set of behaviors (or "constructs") by asking different types of questions about leader practice. The Model LEPG Program includes a 360-degree survey because polling teachers and staff provides important data on their perception of leader's work and their trust in the leader. Feedback from these surveys highlights differences in perspective and can support growth.

Districts should carefully choose the right 360-degree survey that is aligned with the practice rubric and feasible, given the constraints of cost and time**.** A brief titled *Measuring Principal Practice: A Summary of Publicly Available Survey Instruments* (Condon & Clifford, 2010) will be helpful to districts when making instrument selections. Leaders, evaluators, teachers, and staff are responsible for completing the 360-degree survey, and district staff is responsible for overseeing administration of the schoolwide survey.

The evaluator will analyze the descriptive survey results (i.e., the survey data) against each Standard Indicator for Core Propositions 1–6.

Artifact Review

The leader creates written documents, policies, procedures, and other *artifacts* to manage, lead, and sustain school programs. Some LEPG Rubric Core Propositions require the evaluator to review artifacts as evidence of performance. The leader is responsible for identifying, organizing, and submitting artifacts for review and should aim for artifacts that provide evidence related to the maximum number of Core Propositions and Standard Indicators.

When selecting artifacts for review, the leader should not create new artifacts for the sole purpose of LEPG but should draw from a variety of existing artifacts and provide a short explanation of their purpose to assist the evaluator in rating performance. The leader will use the Artifact Submission Form to summarize the artifacts he or she has collected and how they align with selected Core Propositions or Standard Indicators. The evaluator may use this completed form to analyze leader performance against selected Standard Indicators for Core Propositions 1–6.

Supporting Documents: MSFE LEPG Rubric, LEPG Artifact Submission Form

SLO Quality Review

The Model TEPG Program requires districts to use SLOs as a measure of teacher effectiveness. As described in this subsection, the Model LEPG Program includes school-level, aggregate percentage of students attaining SLOs as a measure of leader effectiveness as well. SLOs measure educators' progress in moving students from a baseline measure toward an agreed-upon learning target, regardless of grade level or subject area.

Leaders play a central role in developing, approving, and monitoring teacher SLOs (see Figure 6).

[8] Including peers as raters in the leadership 360 survey is one possible option for leaders to incorporate peer review into the LEPG process.

Figure 6. SLO Process Steps

Given the central role of SLOs in teacher and leader evaluation, it is required that districts evaluate leaders on the degree to which SLOs are rigorously set and against the evidence teachers bring to their summative evaluation conference. This approach will ensure that, despite being evaluated based on student attainment of SLOs (see the following section), leaders do in fact encourage teachers to set sufficiently challenging SLOs. To assess and provide feedback to principals on SLO development and evaluation, the district will convene a panel to review a randomly selected sample of SLOs within the school. The review will include 30 percent of all SLOs developed in the school and will be supported by the quality criteria established in the SLO training. A leader's numerical score on this practice component will be the average score of schoolwide SLO quality. Types of Evidence: Professional Growth

Professional Development Plan Review

In the Model LEPG Program, leaders are responsible for advancing their practice by engaging in a plan of professional learning. *All* leaders, regardless of their summative evaluation scores or years of experience, will develop and implement a professional development plan for each academic year.[9] The professional development plan that was created at the beginning of the year will be reviewed twice during the academic year: once at midyear and once at the end of the year. Leaders will use the information recorded in the LEPG Conference Form to record and monitor their professional development plan.

All leaders should align their professional goals and professional development plan to district or school priorities and Core Propositions and related Standard Indicators as appropriate and record this alignment in the appropriate place in the forms.

Supporting Documents: LEPG Conference Form

[9] Including peers as reviewers of the PDP is one possible option for leaders to incorporate peer review into the LEPG process.

Types of Evidence: School Conditions

School Climate Data

A school climate survey is commonly used to measure the perceived presence of teaching and learning conditions and gauge changes in perceptions over time. Inclusion of these data in the MSFE Model LEPG Program acknowledges the enduring, direct influence a leader's work has on school climate. Typically, school climate surveys are administered annually to educators, other staff, and possibly students or parents. A number of school climate survey instruments from which districts may choose are publicly available. More information on these options is available in the policy brief *Measuring School Climate for Gauging Principal Performance: A review of the validity and reliability of publicly accessible measures* (Clifford, Menon, Gangi, Condon, & Hornung, 2012).

Types of Evidence: School Growth

Progress Toward School Goals

Leaders are responsible for assuring that their school-level goals are being implemented and for providing evidence that organizational improvement objectives are being met.

The Model LEPG Program requires districts to use school goals as a measure of leader effectiveness. These school goals are often written in collaboration with multiple stakeholders in the school and in coordination with district improvement processes or agendas. Each school goal should describe baseline conditions by using student or other data, define a course of action (e.g., adapt programs), and state in measurable terms a target performance level. Multiple stakeholders, including district staff, review and approve the school goals during the spring or summer for implementation during the subsequent academic year.

The leader is responsible for accumulating and synthesizing evidence that the school goals have been met on an annual basis, and district staff members commonly assist the leader in collecting and analyzing data. The leader will present evidence that school goals have been attained to the principal's evaluator or other entity. The leader will be rated on the overall progress toward or attainment of school goals.

The leader records the school goals in the LEPG Conference Form as part of his or her planning for the beginning-of-year conference. These goals are revisited throughout the year to share evidence of progress toward the goals.

Supporting Documents: LEPG Conference Form

Types of Evidence: Learner Growth

School-Level Attainment of SLOs

The Model LEPG Program requires the use of a school-level, aggregate percentage of students attaining SLOs to evaluate leaders. Under Maine law, MSFE districts must include "multiple measures of student learning and growth" as a factor in measuring principal effectiveness. An aggregate, school-level percentage of students attaining SLOs constitutes "multiple measures" in that SLOs account for all content areas and grade levels, and the model TEPG program requires an SLO measure for each teacher. Beyond meeting requirements for more than one

measure of learner growth, the inclusion of SLOs in leader evaluation reinforces the leader's role in supporting teachers' work with students.

The leader records his or her SLO attainment goals in the LEPG Conference Form as part of planning for the beginning-of-year conference. These goals are revisited throughout the year to share evidence of progress toward the goals.

Other Learner Growth Measures

Supporting Documents: LEPG Conference Form

Though not a requirement of the Model LEPG Program, a district may opt to blend a school-level, aggregate percentage of students attaining SLOs with other evidence of student growth into a composite Learner Growth (LG) rating. An example of this follows, in which annual SLO results are averaged together with annual school- or district-wide results on student growth measured using the state assessment[10] to arrive at the leader's Learner Growth (LG) rating.

Table 8. Example Composite Learner Growth Rating

Source of Evidence	Results
School-Level Attainment of SLOs	3.0
School-Level Growth on SBAC Math	3.5
School-Level Growth on SBAC Reading	2.5
LG Rating	**3.0**

Regardless of whether districts use this blended approach for the Learner Growth rating, the Model LEPG Program strongly encourages use of additional schoolwide or districtwide student growth results as evidence of progress toward district goals and as a check to ensure that teachers' student growth goals are rigorous and aligned to school or district achievement goals.

Supporting Documents: LEPG Conference Form

The leader records other Learner Growth goals in the LEPG Conference Form as part of planning for the beginning-of-year conference. These goals are revisited throughout the year to share evidence of progress toward the goals.

[10] Districts may wish to use other timely assessments, (e.g., Northwest Evaluation Association Measures of Academic Progress® assessments) as long as they meet all Rule Chapter 180 requirements for permissible student growth measures.

Appendix B: LEPG Program Required Training

Districts adopting the Model LEPG Program will have access to training resources for evaluators and leaders that enable compliance with Rule Chapter 180.

Evaluator Training

According to Rule Chapter 180, a person is a qualified evaluator in the Model LEPG Program only if that person has completed training appropriate to the role he or she will play in the system. Evaluators must be trained in the specific professional practice model selected by the school administrative unit in which the evaluator will perform duties.

Evaluators must complete training in the following:

1. Conducting preobservation and postobservation conferences
2. Observing and evaluating the professional practice leaders
3. Developing and guiding professional growth plans

The training in observing and evaluating professional practice of leaders must include the following:

1. Training in evaluating performance based on evidence and without bias
2. Adequate time for evaluators to practice and become familiar with the model during their trainings
3. Opportunity for evaluators to work collaboratively
4. Training in assessing evidence of performance not directly observed in direct observations of leaders and in incorporating that evidence into a summative evaluation
5. Training designed to ensure a high level of interrater reliability and agreement

To continue to serve as trained evaluators, evaluators must maintain an identified minimum level of interrater reliability and agreement by participating in training or recalibration at intervals specified in the PE/PG system plan.

Leader Training

According to Rule Chapter 180, prior to implementing a PE/PG system, a school administrative unit must provide training to each educator who will be evaluated under the PE/PG system to provide the opportunity for each educator to understand the following:

1. The structure of the system, including the multiple measures of educator effectiveness and the evaluation cycle
2. The names and roles of administrators and others whose decisions impact the educator's rating
3. How to participate in professional development opportunities to assist the educator in meeting professional practice standards used in the system
4. The results and consequences of receiving each type of summative effectiveness rating
5. Other aspects of the system necessary to enable the educator to participate fully in the evaluation and professional growth aspects of the system