



Model Leader Evaluation and Professional Growth Program

For TIF 4 Maine Schools for Excellence Districts

A Handbook for Principals

For

Comment [ZM1]: District: Add district name

In Collaboration with the Maine Department of Education

2013

Comment [ZM2]: District: Add month

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Comment [ZM3]: District: Add district name

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2013

Comment [ZM4]: District: Add month



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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 the umbrella for a 5-year Teacher Incentive Fund (TIF) grant from the U.S. Department of Education. The TIF 4 grant is assisting selected districts in their design and implementation of comprehensive human capital management systems.

As a participating TIF 4 MSFE district, (district name) will implement strategies that address the five components of the MSFE human capital management system in the figure below.

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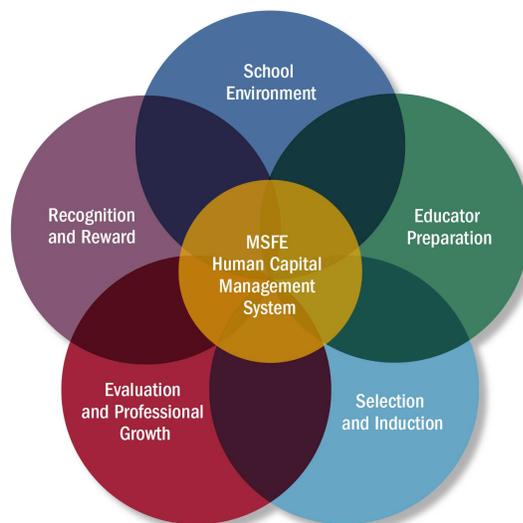
Figure 1. The MSFE Human Capital Management System

The MSFE Leader Evaluation and Professional Growth (LEPG) program is part of the Evaluation and Professional Growth component of the human capital management system for all educators. The name reflects the interdependence between performance evaluation and professional learning and growth, which are essential to the development of school principals, assistant principals, and other school leaders. Although the model LEPG program is designed for use with school principals, it will eventually be adapted for use with assistant principals and other educational leaders.

The LEPG program is a central component in districts' efforts to build a leadership pipeline, which systematically builds teacher-leader skills to prepare future principals. The LEPG program also can contribute to leadership preparation, hiring, induction, and compensation by clearly communicating leadership performance expectations.

The vision of MSFE is as follows:

- **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 administrators who are aligned in purpose, teamed in their efforts, and motivated to succeed in delivering high-quality instruction to students



The [redacted] LEPG Program: Purpose and Goals

The MSFE LEPG program outlines a core leader evaluation framework, which will serve as the foundation for each TIF 4 MSFE district's local leader evaluation and professional growth program.

(District name) identified the following programmatic purposes:

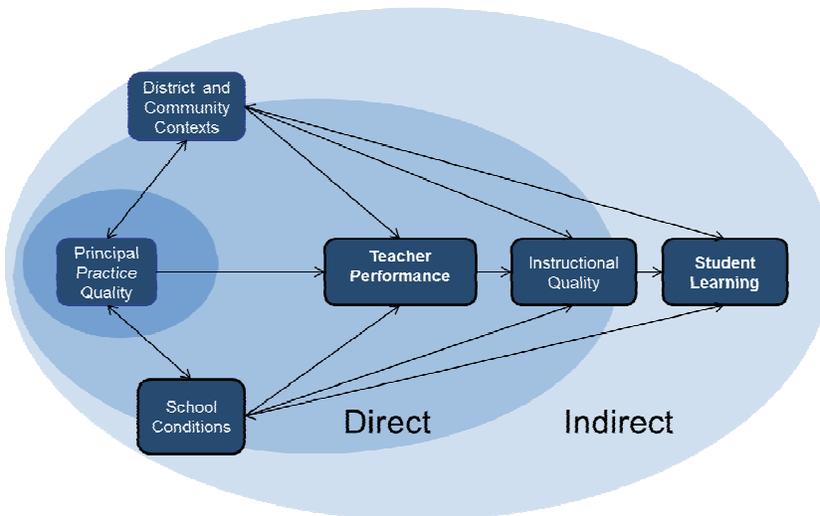
- To encourage development of a shared language about school-level leadership, principals' roles and responsibilities, and organizational direction within and across school districts.
- To support the continuous improvement of schools, instruction, and student learning.
- To support principals' professional growth and human capital decisions regarding principal hiring, retention, compensation, and promotion.
- Purpose 3

To ensure (district name) meets the purposes above, (district name)'s goals are as follows:

- To holistically assess principal performance, which is defined as an assessment of *practice quality* and *outcomes* or results (see Figure 2).
- Goal 2

LEPG is informed by a research-based framework developed by Clifford, Sherratt & Fetters (2012), which informs standards and measures design.

Figure 2. Framework for principal evaluation



The framework shows the relationship between principal practice, direct influences and indirect influences. The model recognizes that principals are directly responsible and highly influential on the instructional environment, and affect that environment by managing educator talent through systematic processes, assuring organizational effectiveness and engaging parents and community in the process of teaching. Indirectly, through the efforts of others, principals influence student learning.

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Comment [ZM9]: District: If you've identified another purpose, add it here. If not, delete this bullet.

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Comment [ZM12]: District: Insert additional district goals. If you do not have additional goals, delete this bullet.

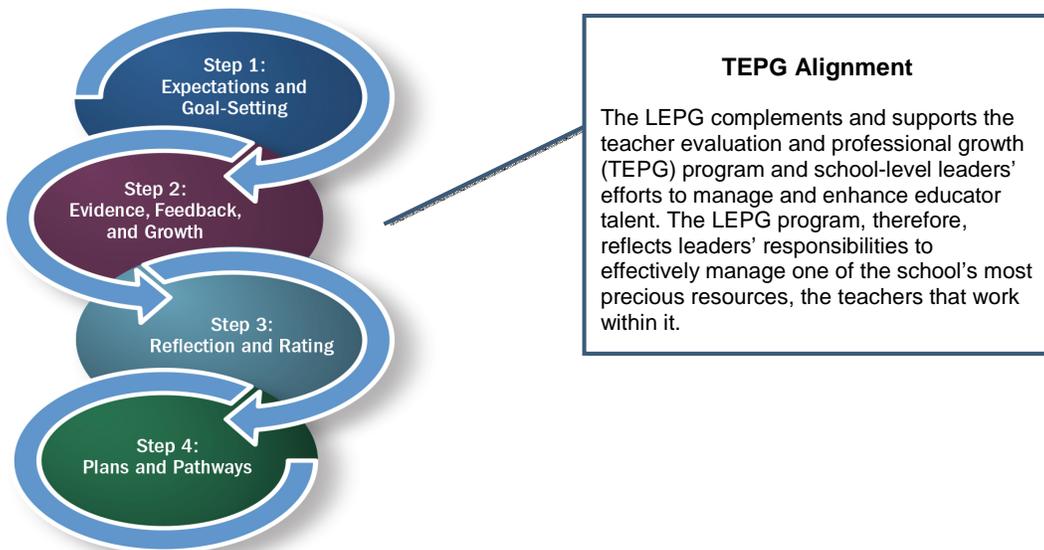
(District) Evaluation Process and Timeline

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In accordance with national guidelines for principal evaluation design (NAESP & NASSP, 2012), LEPG emphasizes annual systematic performance assessment, formative feedback on performance from supervisors, and professional growth linked to evaluation results. The evaluation and professional growth process can be illustrated in four overlapping steps (see Figure 3), which repeat annually.

The LEPG process is led by the school principal, in collaboration with his/her supervisor and in light of school-level goals and district initiatives. This way, the evaluation focuses on principal practice and school growth.

Figure 3. The Model Leader Evaluation Process



Step 1: Expectations and Goal Setting

The first step in the LEPG process occurs prior to the start of school, after school improvement planning and concurrent with teacher professional goal setting. This step includes two collaborative meetings.

1. In late July, principal supervisors¹ will convene a half-day **LEPG orientation**². The orientation assures that new principals understand the evaluation and professional growth program, and their expectations for performance. Principals can expect to receive a copy of the handbook and tools along with clarity on roles and responsibilities for gathering performance evidence.

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Comment [ZM15]: District: Adjust the length of session, if needed.

¹ We use the term "principal supervisor" or "supervisor" throughout the text to mean the individual responsible for evaluating and guiding the principal. The principal supervisor varies by district, and may include the superintendent, human resources director, or secondary/elementary director of schools.

² LEPG orientation is for principals who are new to the profession or new to the district and for principal supervisors who require an orientation.

2. Each year, principals will **complete a self-assessment and set professional learning goals** using the MSFE LEPG Rubric (see Appendix [L](#)). Principals may use the previous year's evaluation results (e.g., 360-degree survey data) as a means of self-reflection, and may also consider recent professional learning or professional aspirations when setting goals. The growth goals will include at least one *builder* goal, which is intended to address an area of improvement, and an *extender* goal, which is intended deepen knowledge and practice in an area of strength. In [August](#), principals and their supervisors will meet to discuss the self-assessment and develop a plan to monitor their goal progress throughout the school year.

Comment [ZM16]: District: Insert Appendix letter

Comment [ZM17]: District: Adjust the timeline, if needed.

Step 2: Evidence, Feedback, and Growth

Step 2 of the LEPG evaluation process occurs throughout the year and involves the tangible evaluation process utilizing a **multiple measures** approach (see Figure 4). The use of multiple measures in an evaluation system is recognized as the preferred approach because each measure has strengths and weaknesses as well as “noise” or measurement error.

The LEPG is intended to provide a holistic description of principal performance by using multiple measures to gather **evidence** and support performance improvement through **feedback** provided by supervisors in light of evidence.

Principals will submit evidence pertinent to the MSFE LEPG Rubric and the professional growth goals. It is highly recommended that evidence be judiciously selected for its ability to address multiple areas of the MSFE LEPG Rubric, strength of the measure, and efficiency. Evidence will be collected and reviewed twice per year. Principals will work in close coordination with their supervisor to make sure the evidence collection process is meaningful, efficient, and aligned to LEPG requirements. At midyear, a formative evaluation meeting will be held for supervisors to share evidence, results, discuss progress, provide feedback, and adjust plans. Toward the end of the school year, the principal and supervisor will attend a summative meeting to discuss final performance results.

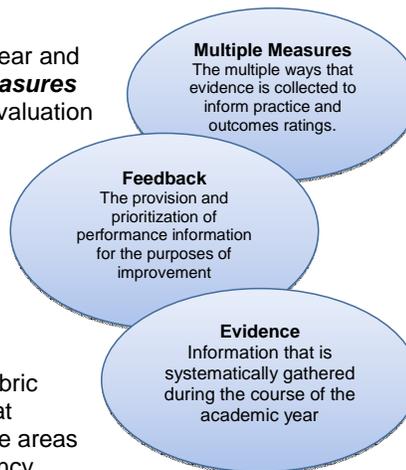
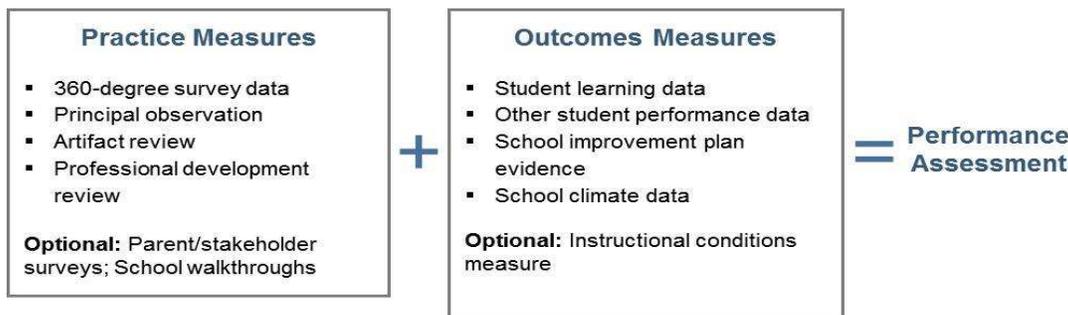


Figure 4. Practice and Outcomes Measures



The following sections describe the expectations of each measure as outlined in Figure X. (See Table 1 in Appendix [□](#) for a summary of measures).

Comment [ZM18]: District: Add Appendix letter

Practice Measures

360-Degree Survey

The [district](#) LEPG program includes an annual 360-degree survey, as a means of gathering principal practice information from principals, supervisors, and teachers/staff in the building. A 360-degree survey provides information from multiple perspectives on the same set of behaviors by asking different types of questions about principal practice. The LEPG program includes a 360-degree survey because polling teachers/staff provides important data on their perception of principals' work and their trust in the principal as a leader. Feedback from these surveys highlights differences in perspective and can support growth. Principals, supervisors, and teachers/staff are responsible for completing the 360-degree survey.

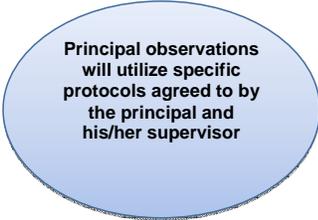
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Principal Observations and Conference(s)

The [district](#) LEPG program requires **formal observations** of principal practices. The observations are opportunities for supervisors to witness leadership practices in context and provide targeted feedback during the post-observation conference. Each principal observation focuses on principals' interactions with teachers, staff, and other constituents in one or more of the following activities:

Comment [ZM20]: District: Add district name

- Principal providing feedback to teachers
- Principal facilitation of student/school data conversations with teachers
- Principal leading meetings
- Principal completion of instructional rounds



Principal observations will utilize specific protocols agreed to by the principal and his/her supervisor

Principal supervisors are required to complete at least two formal principal observations a year and those observations will be announced and scheduled in advance to ensure that principals, teachers, and other stakeholders understand the purpose of the observation. The observation protocols and tools can be found in Appendix [□](#).

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The **formal observation cycle** includes the following:

- **Preobservation meeting.** The principal and supervisor will attend a short meeting to schedule the observation, discuss the focus of the observation, and identify particular issues or questions for observer attention.
- **Observation activity.** The supervisor, or a designee, will gather observational evidence by using video or scripting interactions between the principal, teachers/staff, and pertinent materials (e.g., data, procedures) for the entire length of the interaction.
- **Analysis of observation data.** The supervisor will analyze observation information, align it with the appropriate standard(s), determine a score for each relevant standard, and prepare performance feedback to share with the principal.

- **Postobservation meeting.** The supervisor and principal discuss the aligned and scored observation information, with the supervisor providing specific feedback on performance.

Artifacts are existing documents that principals use to manage, lead, and sustain school programs.

Artifact Review

Principals will be responsible for identifying, organizing, and submitting artifacts for review. In the submission, the principal will provide a short explanation of how the artifact is aligned to the MSFE LEPG Rubric and the purpose for including it in the submission.

Supervisors will use the artifacts and evidence gathered from other sources (e.g., surveys) to provide a rating for each standard at the formative and summative conference.

Professional Development Plan Review

In the district LEPG program, principals will be responsible for advancing their practice by engaging in a plan of professional learning. At the beginning of the every year, each principal will develop and implement a professional development plan. The plan will be reviewed twice during the academic year: once at midyear and once at the end of the year.

Throughout the year, principals will participate in professional learning opportunities and implement new learning. At the midyear conference, principals will share evidence of their progress and discuss how the learning is impacting their practice. At the end of the year, the supervisor review which will result in a score that is factored into the summative evaluation.

Student Learning Objective Quality Review

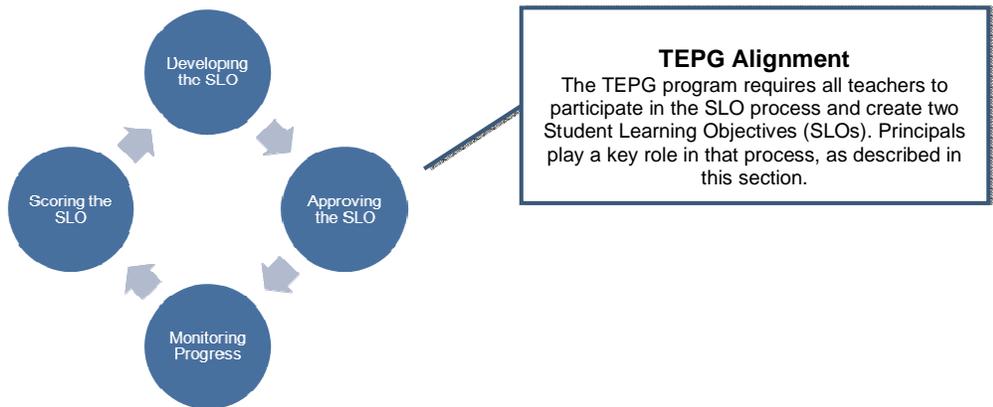
Principals play a central role in developing, approving, and monitoring teacher SLOs (see Figure 5). This quality review will ensure that principals support and encourage teachers to set appropriate and rigorous SLOs. To assess and provide feedback to principals on the quality of SLO development, district will convene a panel to review a randomly selected sample of SLOs within a school. The review will include 30 percent of all SLOs developed in the school the numeric score on this component will be the average score of school wide SLO quality.

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Figure 5. SLO Process Steps



Outcomes Measures

The **district** LEPG program includes **three** outcomes measures.

School-level attainment of SLOs. A percentage of a principals' summative performance score will include an aggregate percentage of students attaining SLOs. SLOs account for all content areas and grade levels, and the model TEPG program requires an SLO measure for each teacher. Inclusion of SLOs for principal evaluation reinforces principals' roles in supporting teachers' work with students.

Evidence of school goal attainment. Principals will be responsible for assuring their school goals are being implemented and providing evidence that organizational improvement objectives are being met. The level of attainment of school goals will be included as a measure of principal performance. The principal is responsible for accumulating and synthesizing evidence that the goals have been met on an annual basis. The principal will present evidence that SGP objectives have been attained to the principal's supervisor or other entity. Principals will be rated on their overall progress toward or attainment of school goals.

District staff commonly assist principals in collecting/analyzing school related data

School climate data. Similar to learner perception surveys at the classroom level, a school climate surveys are 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 **district** LEPG program acknowledges the enduring, direct influence a principal's work has on school climate. School climate surveys are typically administered annually to educators, other staff, and possibly students or parents.

Additional district measure(s)

Step 3: Reflection and Rating

Step 3 happens over the course of the school year through a series of scheduled face-to-face meetings between the principal and his/her supervisor culminating in the final effectiveness rating (see Figure 6). The LEPG program takes a numerical approach to combining measures into a single, final effectiveness rating. A standard score is created so that educators see strengths and weaknesses by totaling scores on each quality indicator. For more information about summative ratings, consult the Summative Effectiveness Rating section on page **11**.

TEPG Alignment

The numerical approach for principal evaluation is similar to the approach taken in the model TEPG program for teachers. Both approaches calculate a summative rating using weighted "scores" from multiple categories of measures.

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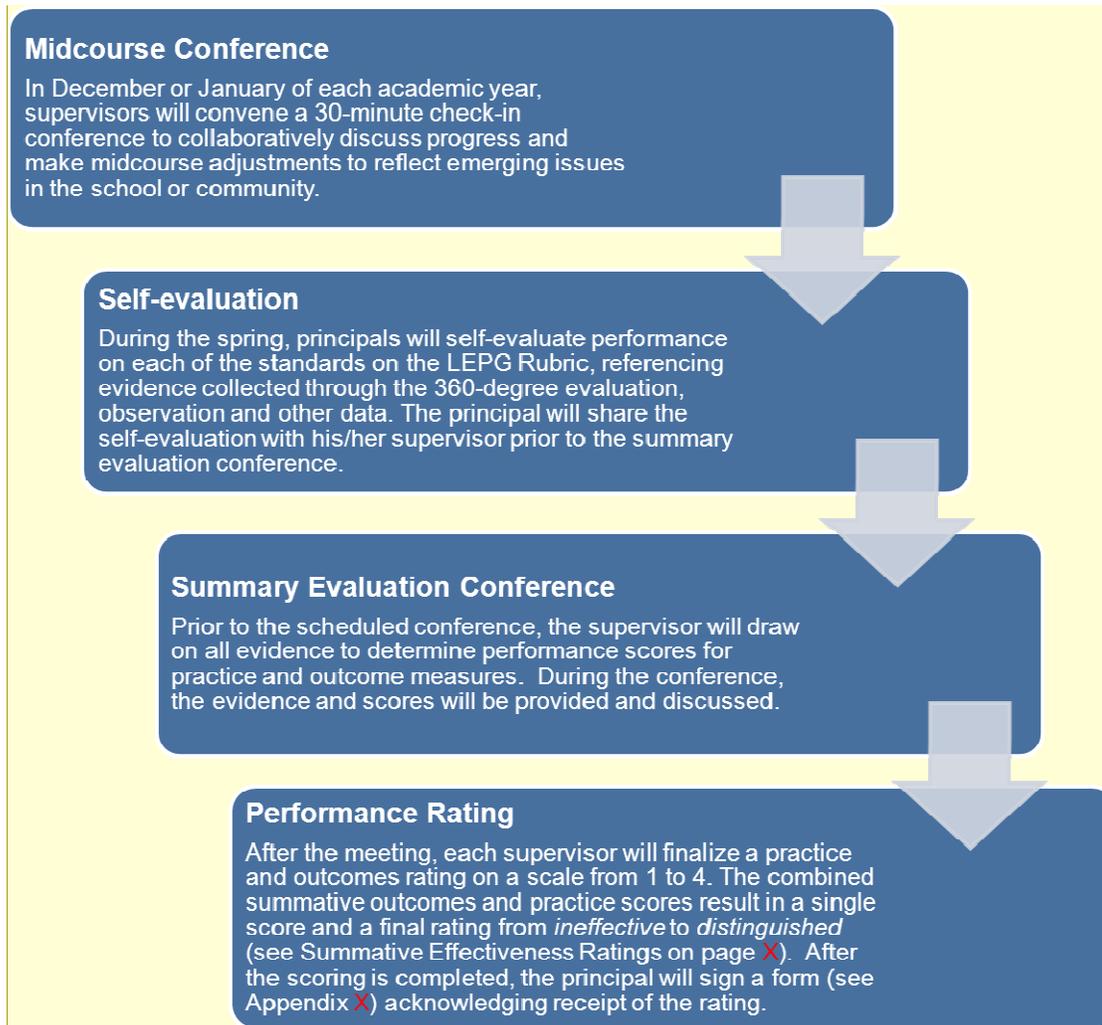
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Comment [ZM28]: District: Once you've selected the school climate survey, provide a sentence or two that identifies the survey. You may also want to include additional information from the vendor in the Appendix.

Comment [ZM29]: District: Add additional measure(s), if applicable. If not, delete.

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Figure 6. Reflection and Ratings Meetings



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Step 4: Plans and Pathways

Step 4 of the LEPG process is for principals and supervisors to use evaluation results to inform individualized professional development plans for the next evaluation cycle. There are two different growth plans identified in LEPG- Individualized and Monitored.

An **Individualized Growth Plan** is reserved for principals performing at the distinguished or effective level of performance. Those principals will continue to be evaluated annually and will complete an individualized growth plan with supervisors.

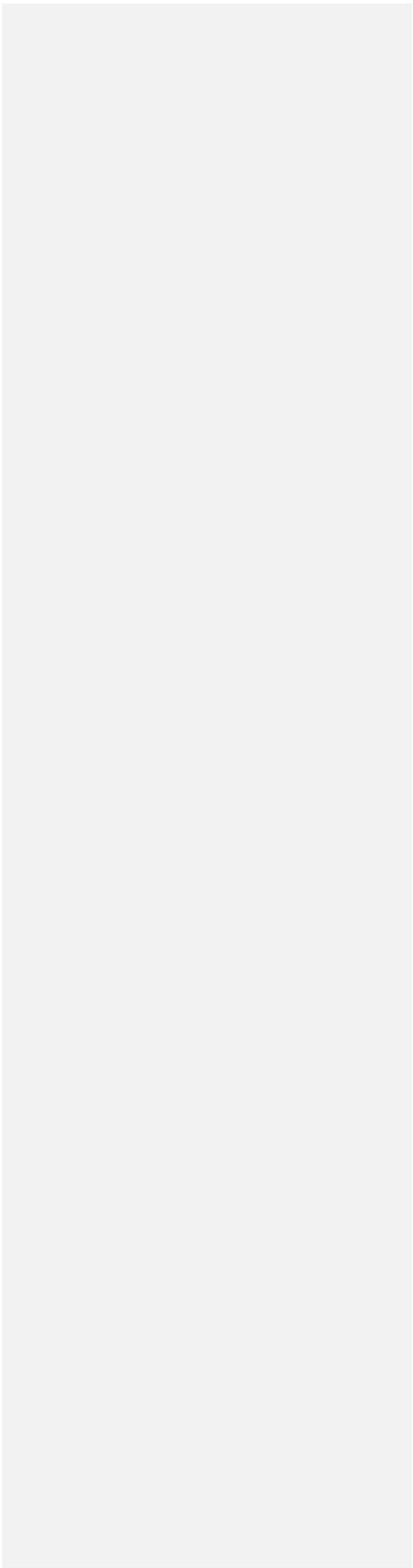
Monitored Growth Plans³ are for principals performing at the developing level. Those principals will continue to be evaluated annually and will complete a focused professional growth plan, focused on the standards that are in need of improvement. Developing principals may be assigned a mentor or coach to improve performance in particularly challenging areas, and supervisors may frequently meet to support development. Goals and a timeline to improve practice to effective will be identified in the plan.

A principal with a summary score of *ineffective* for any single year will be considered for immediate release from district employment, unless otherwise specified by district policies or agreements.

A principal also may be considered for release from employment if he or she receives an *ineffective* rating in a rubric standard or other area identified by the district as critical to adequate performance. District policies and procedures apply in these matters.

Comment [ZM32]: District: If you have any additional criteria for what is included in a Monitored Growth Plan, insert information

³ Districts will use different names for the “monitored growth plan.” Here, the term represents a plan that aims to immediately improve performance that is created by the supervisor or other district staff for implementation by the principal. Successful implementation of the monitored growth plan should result in an improved performance rating.
Maine Schools for Excellence



Leader Evaluation and Professional Growth Rubric

The MSFE LEPG rubric (see Appendix ___) was developed in collaboration with the National Board for Professional Teaching Standards, TIF 3 MSFE schools, and American Institutes for Research. It is a Maine-specific description of effective leadership practices built on the National Board's Standards for Accomplished Principals. Each Standard is broken down into a series of behavior-based measurable Indicators.

Comment [ZM33]: District: Add Appendix letter.

The MSFE LEPG Rubric guides self-assessment, the goal-setting process, the collection of evidence throughout the annual evaluation cycle, feedback from observers, and ratings of principal performance.

MSFE LEPG Rubric Performance Levels

The MSFE LEPG Rubric describes a continuum of practice for each indicator and includes four detailed levels of performance. Each performance level is briefly defined in Figure 7.

Figure 7. Overarching Performance Level Definitions

Ineffective	Developing	Effective	Distinguished
Leader displays poor performance levels, consistently not meeting goals and expectations. Significant evidence of poor leader performance is available. Leader is recognized by others (teachers, administration, students, and/or parents) for needing significant development to achieve acceptable levels of performance.	Leader displays below average performance levels, sometimes not meeting goals and expectations or only meeting goals after established timeframes. Evidence of below average leader performance is available. Leader is recognized by others (teachers, administration, students, and/or parents) for needing some development to achieve acceptable levels of performance.	Leader displays average or above average performance levels, consistently meeting goals and expectations within established timeframes. Evidence of expected leader performance is available. Leader is recognized by others (teachers, administration, students, and/or parents) for fully proficient performance.	Leader displays exemplary performance levels, consistently exceeding goals and expectations within established timeframes. A significant amount of evidence of high leader performance is available. Leader is recognized by others (teachers, administration, students, and/or parents) for exemplary performance.

The lowest level of performance—**ineffective**—describes actions and behaviors of a leader's practice that adversely impacts staff, students, and the school community. A leader's practice at this level reflects a lack of understanding of relational trust, leadership and instructional best practices, students, and the school community. The second level of performance—**developing**—describes a leader who is inconsistent in providing a school climate that is conducive to teaching and learning. The practices of principals who are new to the role may indicate this level of performance as they develop their craft. The third level of performance—**effective**—represents a principal who consistently meets expectations for leader performance. 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 consistently reaches above and beyond expectations. Practice would regularly reflect continued improvement and foster an inquiry-based culture of learning for self, staff, and students.

TEPG Alignment
The levels of performance in the LEPG Rubric are closely aligned to the expectations in the TEPG Rubric.

(Insert district name) Rubric Modifications and Examples of Evidence

Comment [ZM34]: District: Provide additional clarification of rubric or examples, as decided by the steering committee. If there are none, delete this text.

Summative Effectiveness Rating

Determining a principal'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 and learner growth. Evidence of principal 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 growth plans, and student learning data.

Although there are several possible methods for combining each measure 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.

In the MSFE model LEPG program, evidence informs ratings for performance measures in five categories: Professional Practice, Professional Growth, School Conditions, School Growth, and Learner Growth. Evaluators use multiple sources of evidence to rate each measure at the end of the annual evaluation cycle; if there are multiple measures within a single category, measure ratings are combined to create a composite category rating. Finally, the composite category measures are combined through a weighted average approach. This summative rating approach is highlighted in Table 1.

Comment [ZM35]: District: If your approach differs from the model, delete these paragraphs and insert a summary of your approach.

Comment [ZM36]: District: If your Ratings and Weights differ, edit this table accordingly.

Table 1. Ratings and Weights

	Professional Practice	Professional Growth	School Conditions	School Growth	Learner Growth
Measures	Performance on standards 1-8 of the MSFE LEPG Rubric	Performance on Standard 9 of the MSFE LEPG Rubric	Teachers' report of school climate	Progress toward toward goals	Student growth and improvement
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
Sources 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	Schoolwide student learning measure results, school attainment of SLOs
Calculation	Rate each indicator for Standards 1-8; average all indicator ratings for Standards 1–8.	Rate each indicator for Standard 9; average all indicator ratings for Standard 9.	Translate survey results into a 4-point scale.	Rate overall progress against SGP goals.	Rate performance for each measure and average.
Weight	40%	10%	10%	15%	25%

After all of the weights are applied and all of the measures are averaged together, the supervisor determines a principal's summative effectiveness rating associated with the raw score:

- 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 and learner growth categories of measures warrants further review before a summative effectiveness rating can be determined. In such cases, the superintendent will review the evidence underlying the discrepancy and present a written explanation and rating recommendation to a designated district committee, who will make the final rating determination. Regardless of the final rating, this principal's plan for the subsequent evaluation cycle must address the identified area(s) of need.

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., & Feters, 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. Tools and Forms

MSFE LEPG Rubric

Self-evaluation Forms

Goal-setting Forms

Observation Forms

Summative Effectiveness Rating Report

Individual Growth Plan

Monitored Growth Plan

Appendix B. Glossary of Selected Terms

Term	Description
Chapter 180	Chapter 180 (Title 20-A MRSA Ch. 508 § 180) is the rule that establishes standards and procedures for implementation of performance evaluation and professional growth systems for Maine educators. It is part of Title 20-A, Chapter 508 of the Maine Revised Statutes.
Human Capital Management System (HCMS)	HCMS is a district-wide approach to recruiting, retaining, and developing effective teachers and principals that strategically addresses the full spectrum of educator effectiveness policies and practices—preparation, recruitment, hiring, placement, induction, dismissal, compensation, professional development, tenure, working conditions, and more—and ensures alignment and coherence across them.
Leader Evaluation and Professional Growth (LEPG)	The LEPG program is a comprehensive performance assessment system for school leaders. The program is designed to reinforce a culture of learning that advances student learning and engagement, attracts and retains the best teachers, and improves teacher and school performance. The LEPG program is built on National Board for Professional Teaching Standards' core propositions and standards of accomplished leadership. Performance on the evaluation is part of a Recognition and Reward framework tied to the Performance Based Compensation (PBC) program. The LEPG is a critical element of the MSFE human capital management system and is a core requirement of the TIF grants. (See also TEPG, the equivalent system for teachers).
Maine Schools for Excellence (MSFE)	MSFE is the official name given to the TIF 3 and TIF 4 projects aimed at enhancing district-wide educator effectiveness and student learning. Technically, individual schools and districts are involved either in TIF 3 or in TIF 4. However, all TIF schools and districts are part of the overarching MSFE initiative.
Multiple Measures	The term “multiple measures” is frequently used in discussions about educator evaluation and is shorthand for two different concepts: <ol style="list-style-type: none">1. Multiple measures of student learning—the use of a variety of sources of student learning data, such as learning growth/value-added measures, standardized assessment scores, curriculum-based assessments, teacher-created assessments, rubric scores, or authentic assessments, performances, recitals, and others2. Multiple measures of educator effectiveness—the use of a variety of sources of data regarding an educator's performance, including observations, artifacts such as planning documents, student value-added data, or student or parent survey data

Performance-Based Compensation (PBC)	<p>Performance-based compensation programs aim to recognize and reward educators based on their job performance. The long-term goal of a PBC program is to ensure that educators are compensated with competitive, attractive salaries that reflect their work and value and that attract the best and brightest to the teaching profession. There are many different ways that PBC programs can be structured. However, all MSFE programs will include the following:</p> <ul style="list-style-type: none"> • A balanced set of measures over which teachers and leaders have direct influence • Priority weighting attached to each measure that reflects the relative importance of the measure • Performance targets that are aggressive but attainable • Pay options that are fair, transparent, and equitable • A distribution formula that is based on progress along a continuum, rather than an “all-or-nothing” situation
Student Growth Measures	<p>Student growth measures provide data regarding changes in students’ academic performance between two or more points in time. Student growth measures may be based upon standardized assessments or school- or teacher-created assessments.</p>
Student Learning Objective (SLO)	<p>A SLO is a student growth measure that involves teachers and evaluators setting long-term academic goals for groups of students and later assessing whether those goals were achieved. The SLO must be specific and measurable; based on available prior student learning data; aligned with state standards; and based on growth and achievement.</p>
Teacher Evaluation and Professional Growth (TEPG)	<p>The TEPG program is a comprehensive performance assessment system for teachers that incorporates multiple measures of teacher effectiveness and that aims to improve teaching practice over time. The program is a key component of the MSFE human capital management system and is a core requirement of the TIF grants. (See also LEPG, the equivalent system for school leader evaluation).</p>
Teacher Incentive Fund (TIF)	<p>The Teacher Incentive Fund (TIF) was established by the U.S. Department of Education in 2007. Since then, there have been four rounds of TIF grants awarded to over 100 grantees. At the beginning of the program, TIF grants focused primarily on innovative teacher compensation models. Over time, however, the program’s focus has shifted to broader human capital management systems, of which teacher compensation is only one piece. Maine is a recipient of the third and fourth rounds of TIF funding (TIF 3 and TIF 4).</p>