Superintendent Evaluation

MISSOURI'S EDUCATOR EVALUATION SYSTEM
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## Contents

Introduction ................................................................................................................................................................................................................... 4

Step 1: Identify the indicators to be assessed .............................................................................................................................................................. 6

Step 2: Determine baseline performance for each identified indicator ....................................................................................................................... 8

Step 3: Complete Form A-1 of the Superintendent’s Evaluation Tool ........................................................................................................................ 11

Step 4: Regularly assess progress and seek feedback ................................................................................................................................................. 14

Step 5: Complete a follow-up assessment for each selected indicator ...................................................................................................................... 14

Step 6: The board completes the final summative evaluation .................................................................................................................................... 15

Step 7: Reflect and Plan ............................................................................................................................................................................................... 17

Timeline for completion of the Superintendent Evaluation Protocol ......................................................................................................................... 18
Superintendent Evaluation Protocol

Introduction

In 2007, the Commissioner of Education appointed a committee to provide guidelines for revising the content and documents of the Missouri Performance Based Superintendent Evaluation (PBSE) model. Performance-based evaluation of school personnel has been implemented across the State of Missouri since 1983. The Excellence in Education Act of 1985 extended this process to include school administrators. With the leadership of the Department of Elementary and Secondary Education, input from the members of the statewide advisory committee and interviews with board members and superintendents a revised model of the 1983 PBSE has been completed.

Offered in the new model is a move toward the evaluation of the superintendent in an integrated systems approach. The criteria and the process in the new model are derived from national preparation standards (ELCC – Educational Leadership Constituent Council), national leadership assessment standards (ELPS [formerly ISLLC]- educational leadership policy standards), and local district improvement goals (CSIP – comprehensive school improvement plan). The approach provides a basis for a system that is practical, ethical, fair, useful, feasible and accurate so both the superintendent and the board of education can operate in an integrity-filled environment.

The superintendent evaluation process is a part of the Missouri’s Educator Evaluation System, which was created, field-tested and piloted, and refined by hundreds of educators across the state. The system is founded on general beliefs about the purpose of the evaluation process. Central to these beliefs is a theory of action which maintains that improving student performance is predicated on the improvement of educator practice. These beliefs include that evaluation processes are formative in nature and lead to continuous improvement; are aligned to standards that reflect excellence; build a culture of informing practice and promoting learning; and use multiple, balanced measurements that are fair and ethical. Districts are encouraged to collectively establish basic beliefs that serve as the foundation of their local evaluation process.

Evaluation of the superintendent is one of the most important responsibilities of the board of education. The evaluation criteria and the associated process represent the key means by which the board of education can address and effectively serve the needs of the school district as it seeks to improve student achievement and district operations. It is not a means to an end; instead, it is an ongoing and dynamic process. Implementing an evaluation tool that is agreed upon by the board and superintendent in a collaborative manner is often the most effective approach. An effective high quality superintendent evaluation process that is practical across a broad demographic spectrum:

- develops good board/superintendent relationships;
- promotes professional growth;
- provides clarity of roles;
creates common understanding of leadership and;
provides a mechanism for accountability; including improvement in student achievement as determined by multiple assessments.

The accompanying material offers a guide for evaluating the district superintendent for members of local school boards. The content, format, and suggested procedures are designed in a manner that will enable the model to be used in rural, suburban, and urban school settings. It is adaptable to local issues and conditions and can be modified to accommodate local priorities. Based on the theory of action and beliefs that are the foundation to the state’s model Educator Evaluation System, the primary purpose of the Superintendent Evaluation Protocol is to promote growth in effective practice that ultimately increases student performance. This occurs through the following process:
Growth requires focus. The identification of indicators is essential to establishing a particular focus based on performances articulated in the indicators. The model recommends that superintendents work on no more than three indicators to ensure a focus providing the best opportunity for in-depth evaluation and improvement. The baseline data serves as a starting point by establishing a current level of performance. Strategies for improvement are identified and practiced. Meaningful feedback is provided regarding the extent to which the new strategies are addressing the area of focus. A follow-up assessment provides indication of the amount of growth in performance that occurred. Reflection on the process and amount of growth that occurred or didn’t occur informs whether this particular indicator remains an area of focus or whether there is a new area of focus. This sequence is an important component to the growth in educational practice that occurs in the superintendent evaluation process described in the following steps:

**Step 1: Identify the indicators to be assessed**

**Rationale**

Appropriate indicators are selected that most support increasing student learning by promoting growth in teacher and principal practice through a focus on potential growth opportunities for the superintendent. The indicators identified create an alignment between district and school improvement plans and the efforts and primary responsibilities of the superintendent of the district.

**Description**

The selection of indicators is a very important step in the process. These determine the focus and rationale for improving effective practice and are based on what is needed most to improve student learning.

The identified indicators provide a focus area for ongoing learning and growth. Typically these are identified at the end of the year for returning superintendents. The determination of which and how many indicators to identify is determined with the following criteria in mind:

1. Driven by student learning needs
2. Derived from the Comprehensive School Improvement Plan and building improvement plans (CSIP-district level/BIP-building level)
3. A maximum of three indicators are recommended which are:
   - Based on student needs
   - Represents priorities of the district
   - Based on a potential growth opportunity for the superintendent and may be determined in collaboration between the superintendent and the local board of education
4. At a minimum, two of the indicators must address impact on student learning
5. Other indicators may be identified at any time based on issues and needs that arise, particularly in extreme instances where growth or change in practice must be addressed.

The superintendent standards and quality indicators include the following:

**Standard #1 Vision, Mission, and Goals**
Superintendents have the knowledge and ability to ensure the success of all students by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.
- Quality Indicator 1: Establish the Vision, Mission and Goals
- Quality Indicator 2: Implement the Vision, Mission and Goals

**Standard #2 Teaching and Learning**
Superintendents have the knowledge and ability to ensure the success of all students by promoting a positive culture and an effective instructional program, applying best practice to student learning, and designing comprehensive professional growth plans for staff.
- Quality Indicator 1: Promote Positive Culture in the District
- Quality Indicator 2: Provide Effective Instructional Programs
- Quality Indicator 3: Ensure Continuous Professional Learning

**Standard #3 Management of Organizational Systems**
Superintendents have the knowledge and ability to ensure the success of all students by leading personnel and managing the organizational structure and resources in a way that promotes a safe, efficient, and effective learning environment.
- Quality Indicator 1: Manage the Organizational Structure
- Quality Indicator 2: Lead Personnel
- Quality Indicator 3: Manage Resources

**Standard #4 Collaboration with Families and Stakeholders**
Superintendents have the knowledge and ability to ensure the success of all students by collaborating with families and other community members, responding to diverse community interests and needs, and mobilizing community resources.
- Quality Indicator 1: Collaborate with Families and Other Community Members
- Quality Indicator 2: Respond to Community Interests and Needs
- Quality Indicator 3: Mobilize Community Resources
Standard #5 Ethics and Integrity
Superintendents have the knowledge and ability to ensure the success of all students by acting with integrity, responsibility and in an ethical manner.
Quality Indicator 1: Personal and Professional Responsibility

Standard #6 The Education System
Superintendents have the knowledge and ability to ensure the success of all students by understanding, responding to and influencing the larger political, social, economic, legal, and cultural context.
Quality Indicator 1: Understanding the Larger Context
Quality Indicator 2: Respond to the Larger Context
Quality Indicator 3: Influence the Larger Context

Standard #7 Professional Development
Superintendents remain current on best practices in education administration and school-related areas as evidenced by establishing a plan for his/her professional development each year.
Quality Indicator 1: Increase knowledge and skills based on best practices

Appropriate indicators are selected to most support increasing the capacity of staff for improving student learning and reflect potential growth opportunities for the superintendent. The indicators identified create an alignment between the Comprehensive School Improvement Plan (CSIP) and documentation and growth of the superintendent. Growth Guides and Possible Sources of Evidence provide articulation of discrete elements and evidence. These are used to assist with documentation on the Superintendent Evaluation tool as a part of the evaluation process.

Step 2: Determine baseline performance for each identified indicator

Rationale
In order to determine growth on an indicator, it is necessary to establish baseline performance and compare it to follow-up performance. Growth in practice occurs between these two points in time.

Description
Each superintendent growth guide includes a description of performance for each indicator. The baseline assessment is determined by considering the evidence at each level of the growth guide. Evidence falls into one of three different categories: commitment, practice and impact. Evidence in the commitment frame focuses on the quality of the leadership skills of the superintendent and may include data and information such as licensing, credentialing, improvement plans at the district and building levels, handbooks, and other district-level regulations.
and protocols. Evidence in the practice frames focuses on observable behaviors, or the quality of leadership that the superintendent demonstrates. Evidence in the impact frames focuses on outcomes or evidence through the performance or artifacts and products of principals, teachers and students throughout the district as a result of the superintendent’s leadership practices.

It is important to think about a superintendent’s baseline performance by taking these three separate categories of evidence into consideration. After all, if the superintendent promotes what they think is a high level of leadership and instruction, monitors principal and teacher performance and provides feedback in what they think is an effective manner and yet students in the district are not achieving, then there is still something less than ideal occurring in learning experiences throughout the district. Identifying where that growth opportunity exists that limits the learning experience for all students in the district is the type of focus that leads to growth in practice.

It is first necessary to determine the appropriate description of the superintendent’s baseline performance. This description of performance will be either Emerging, Developing, Proficient or Distinguished. To determine the appropriate level, it is necessary to establish the highest level for which there is an alignment of evidence of performance.

For example, in Growth Guide 2.2, a determination about the superintendent’s performance might be as illustrated below. There is Commitment evidence that the superintendent ensures documentation and monitoring of current instruction and assessment practices. There is also observable Practice evidence that the superintendent engages with staff to determine the overall effectiveness of these practices. Evidence at the Impact level reveals that staff assesses the overall effectiveness of instruction and assessment practices. Although evidence can be gathered by observing teacher and student performance and various artifacts, an additional way to gather evidence at the impact level could be through the use of surveys. Although this is perceptual in nature, research maintains that it does offer useful data.
In this illustration, the highlighted areas reflect the existing evidence of the performance of the superintendent. As noted by the highlighted text, there are examples of evidence in two different columns, Emerging and Developing. However, it is only in the Emerging column where there is an alignment of evidence, or evidence from all three professional frames. The alignment of evidence for this particular performance results in a descriptive rating at the Emerging level. In this particular example, facilitating a collaborative process among teachers and leaders on the consistent use of effective instruction and assessment practices that positively impact student learning would represent a growth opportunity for this superintendent. Achieving this growth would establish an alignment of evidence at the Developing level, resulting in a change in the superintendent’s descriptive rating.
Step 3: Complete Form A-1 of the Superintendent’s Evaluation Tool

Rationale
The primary purpose of the Superintendent Evaluation process is to promote growth. Therefore, the acquisition and application of new learning and skills is essential for turning opportunities for growth into outcomes and results.

Description
The baseline performance assessment and description of performance for each indicator identifies opportunities for growth. It is important when addressing an opportunity for growth that a very clear plan be developed. The Form A-1 of the Superintendent Evaluation is the document used to articulate the various necessary components of this plan.

This form describes specific indicators of success and how they related to district goals and strategies as articulated in the Comprehensive School Improvement Plan (CSIP). This provides opportunity to identify specific sources of new learning, the practice of skills related to new learning and timelines for completion. The following key general components are included:

1. It corresponds to the examples of evidence provided in the appropriate growth guide
2. It is a clear articulation of a plan or goal statement to address growth opportunities
3. It includes specific strategies and timelines for application of new learning and skills
4. It is focused on results and outcomes
**Evaluation Indicators** – provides opportunity to identify which specific indicator(s) the superintendent is focusing on

**District Goals and Strategies** – articulates the link between the focus area(s) of the superintendent and specific priority areas of the district as documented in the CSIP

**CSIP Goal #** – documents the goal number as articulated in the district CSIP

**Indicators of Success** – corresponds to the evidence articulated in the appropriate growth guide

**Target Date** – establishes a proposed date for achieving the indicators of success

**Date Achieved** – verifies when the indicator of success was achieved

**Narrative** – description offered by the superintendent of the overall improvement process

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**Table:**

<table>
<thead>
<tr>
<th>District Goals and Strategies</th>
<th>CSIP Goal #</th>
<th>Indicators of Success</th>
<th>Target Date</th>
<th>Date Achieved</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Evaluation Indicators:**

- 1.1 Establish the vision, mission and goals
- 1.2 Implement the vision, mission and goals
- 2.1 Promote positive culture in the district
- 2.2 Provide effective instructional programs
- 2.3 Ensure continuous professional learning
- 3.1 Manage the organizational structure
- 3.2 Lead personnel
- 3.3 Manage resources
- 4.1 Collaborate with families and other community members
- 4.2 Respond to community interests and needs
- 4.3 Mobilize community resources
- 4.4 Personal and professional responsibility
- 4.5 Understand the larger context
- 4.6 Understand the larger context
- 4.7 Influence the larger context
- 7.1 Increase knowledge and skills based on best practices

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**Narrative (Self-Evaluation):** when possible, please evidence your self-evaluation with examples drawn from CSIP strategies, objectives, or goals.

**To be completed by the Board Member:**

<table>
<thead>
<tr>
<th>Professional Commitment Rating: (Check One)</th>
<th>Ineffective</th>
<th>Minimally Effective</th>
<th>Effective</th>
<th>Highly Effective</th>
</tr>
</thead>
</table>

**Narrative (Board Member evaluation):**

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**Superintendent’s Signature/Date**

**Board Member’s Signature/Date**

*A rating of “Ineffective” or “Minimally Effective” must be explained in the narrative and preceded by efforts to improve as identified in the Superintendent’s Professional Development Plan.*

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When considering different strategies to address growth opportunities, the state model offers several different sources of research including the Balanced Leadership Research conducted by Tim Waters, Robert Marzano and Brian McNulty. This includes a crosswalk comparing twenty-one leadership responsibilities with Missouri’s Leader Standards and Quality Indicators. Also provided is research specific to instructional practices. These include the work of Dr. Robert Marzano, Dr. John Hattie, and Mr. Doug Lemov. These bodies of research were included because of the effect size information provided and their proven record of having impact on student learning. Crosswalks are provided for each to align each body of research with teacher indicators. This research is located in the teacher evaluation section.

A document called the Possible Sources of Evidence is provided as well. This is a single page document provided for each standard. This document provides a list of “possible” sources of evidence that a superintendent might consider including as a component of Form A-1.

It is important to note that this is not a comprehensive list of all evidence sources nor is it a checklist of things to do and/or provide. It simply offers for consideration some possible examples that might be included.

The evidence provided is categorized by the three professional frames found on each of the superintendent’s growth guides. In this way, superintendents and boards of education can use this to clarify exactly what kind of evidence might be considered for each indicator of success.

### Possible Sources of Evidence

**Standard 2: Teaching and Learning**

Superintendents have the knowledge and ability to ensure the success of all students by promoting a positive school culture, providing an effective instructional program, applying best practice to student learning, and designing comprehensive professional growth plans for staff.

#### Professional Commitment

- Examples of student, staff, and parent culture/ climate surveys
- Focus group interview questions
- Descriptive feedback on culture
- Procedures for reporting, investigating, and resolving incidents of school bullying, harassment, etc.
- Student, parent, and staff handbooks

#### Professional Practice

- Structures and protocols to celebrate student/staff success (academic, behavioral, cultural, extra-curricular, etc.)
- Newsletter
- Educational communication structures (website, memos, social media, etc.)
- List of strategies and procedures related to professional growth plan

#### Professional Impact

- Data confirming technology use
- Professional growth plans data
- Non-academic records of individual progress (class participation, engagement, motivation, behavior, etc.)

### Possible Sources of Evidence (Continued)

**Professional Commitment**

- Structures in place to promote collegiality, collaboration, and cultural awareness
- Culture and profile data
- Research on effective practices (journals, articles, etc.)
- Inventory of curricular materials
- Assessment of diverse needs of students
- Posted student work, behavioral norms/class procedures

**Professional Practice**

- Ensures that policies and practices respect a culturally diverse environment
- Ensures that all principals promote effective and rigorous standardized-based units of instruction
- Ensures that professional growth plans focus on learning for staff that is focused on improving student performance
- Leads celebrations for student, schools, and district-wide successes

**Professional Impact**

- Develops and nurtures a culture in which staff reflect on their practice, use student data, current research, best practices and theory to continuously adapt instruction
- Fosters instructional practices that reflect high expectations, engages all students, and are personalized to accommodate diverse learners
- Uses district meetings as collaborative opportunities for principals and teachers to share strategies and best-practices
- Reads and shares research

- Fosters ongoing coaching and training that builds classroom proficiency
- Provides time and opportunities for individual/team/whole staff professional learning
- Promotes the use of effective and appropriate technology to support student learning
- Uses peer observations to monitor collective implementation of instructional strategies
Step 4: Regularly assess progress and seek feedback

Rationale
In keeping with the research on formative development, the essential role of practice and feedback will ensure that the acquisition and application of new learning, skills and strategies will lead to the improvement of effective practice resulting in improved learning for students.

Description
Determine progress made on the acquisition and application of new skills and knowledge using a variety of formal and informal strategies. Helpful feedback and resources can be gathered from members of the the local board of education, key stakeholders in the community, building and district administrators, peers, mentors, coaches, associations, and regional service centers.

Feedback on the extent of progress made on the growth opportunities from the identified indicator is critical. It ensures that new learning takes place. More importantly, it ensures that new skills and strategies are applied and practiced and there is documentation of growth and improvement. The following guidelines assist in this process of regular assessment of progress and feedback:

1. Seek regular and frequent feedback
2. Feedback should be specific to the appropriate growth guide and information documented on Form A-1
3. Informal feedback may be provided by mentors, coaches, peers, external consultants, etc.
4. A formal follow-up assessment and discussion should occur between the superintendent and board members

Step 5: Complete a follow-up assessment for each selected indicator

Rationale
To determine growth on an indicator, it is necessary to compare the follow-up assessment to the baseline assessment. The comparison of these two assessments provides a measure of growth that has occurred on the performance articulated in each selected quality indicator.

Description
Using the same process to determine the baseline performance assessment, the follow-up performance assessment is determined by considering the evidence at the appropriate level of the growth guide. When making a determination about the follow-up assessment, it is necessary to consider the particular professional frame of the superintendent’s opportunity for growth. For example, a superintendent might be working on growth in the area of commitment, or in practice, or in impact.
As a reminder, evidence falls into one of three different categories: commitment, practice and impact. Evidence in the commitment frame focuses on the quality of the leadership skills of the superintendent and includes data and information such as licensing, credentialing, improvement plans at the district and building levels, handbooks, and other district-level regulations and protocols. Evidence in the practice frames focuses on observable behaviors, or the quality of leadership that the superintendent demonstrates. Evidence in the impact frames focuses on outcomes or evidence through the performance or artifacts and products of principals, teachers and students throughout the district as a result of the superintendent’s leadership practices.

The purpose of a follow-up assessment is to determine the extent to which the plan articulated on Form A-1 was addressed. In particular, it is used to determine the extent to which the strategies outlined addressed the goal. If the strategies did address the goal, then the opportunity for growth will have been addressed and satisfied. This is documented in the Date Achieved section of the form and may be added to the Narrative section that the superintendent completes.

**Step 6: The board completes the final summative evaluation**

**Rationale**
The evaluation process exists for the improvement of superintendent, principal and teacher practice as a necessary catalyst for improving student performance. The summative evaluation pulls together the data that has been collected and provides a final overall statement of the superintendent’s effectiveness.

**Description**
An overall determination on performance uses baseline and follow-up assessments, feedback generated throughout the year on selected indicators and any other data or information relevant to the superintendent’s performance observed or gathered throughout the year. This information is captured on the bottom of Form A-1 in the “Narrative (Board Member evaluation)”. Each board member completes a copy of this section, including an overall rating for the superintendent’s performance. The possible overall ratings of performance include “Ineffective, Minimally Effective, Effective and Highly Effective”.

Using board members individual responses, the board reaches consensus using the following Summative Report. Keep in mind, the levels provided on the growth guides (Emerging, Developing, Proficient and Distinguished) are specific to describing the degree of competence of the superintendent on a performance articulated through a quality indicator on a particular growth guide. The performance ratings listed on the
Summative Report (Ineffective, Minimally Effective, Effective and Highly Effective) provide a rating for the superintendent’s overall effectiveness in their position as leader of the district.

### MISSOURI'S EDUCATOR EVALUATION SYSTEM

**Performance Based Superintendent Evaluation SUMMATIVE Report**

Directions: To be used by the Board President and Board members to reach consensus based on individual Board member responses.

<table>
<thead>
<tr>
<th>Education Leadership Policy Standard</th>
<th>Ineffective</th>
<th>Minimally Effective</th>
<th>Effective</th>
<th>Highly Effective</th>
<th>Consensus</th>
</tr>
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<tbody>
<tr>
<td>INDICATOR #1 –</td>
<td></td>
<td></td>
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<tr>
<td>INDICATOR #2 –</td>
<td></td>
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<td></td>
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<td>INDICATOR #3 –</td>
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Signatures indicate the document has been reviewed and discussed with the Superintendent.

Superintendent’s Signature/Date

Board President’s Signature/Date

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Step 7: Reflect and Plan

Rationale
The evaluation process exists primarily for the improvement of effective practice in order to improve student performance. Ongoing reflection and planning are used to ensure that learning needs for all students in the district are continually met.

Description
The improvement of effective practice is a means to an end. The ongoing and continual process of improving professional practice is essential for ensuring that student learning needs remain the focus of the evaluation process. The ultimate result is the improvement of student learning. Monitoring the growth of student learning caused as a result of the superintendent’s improved practice satisfies the primary purpose of the evaluation process.

Reflection on personal growth is an important part of feedback. It provides personal insight to areas of strength and potential growth opportunities for future focus. As a part of this reflection, consider the following:

1. Assess whether the particular areas of improvement of effective practice impacted principal and teacher practice and student learning
2. Reflect on personal growth and possible future opportunities for continued growth
3. Plan ahead for future opportunities for growth. In collaboration with the board members, key stakeholders, other district leadership, principals, and perhaps teachers and staff and/or colleagues, select indicators for next year (applies to returning superintendents).
4. Continue to acquire new knowledge and practice new strategies and skills
### Timeline for completion of the Superintendent Evaluation Protocol

<table>
<thead>
<tr>
<th>Step #</th>
<th>Step 1</th>
<th>Step 2</th>
<th>Steps 3</th>
<th>Step 4</th>
<th>Step 5</th>
<th>Step 6</th>
<th>Step 7</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Identify indicators to be assessed</td>
<td>Determine baseline performance</td>
<td>Develop a plan for growth</td>
<td>Reguarily assess progress on the intended growth</td>
<td>Determine follow-up performance</td>
<td>Status and growth determines overall rating</td>
<td>Monitor the impact of improved practice on student performance</td>
</tr>
<tr>
<td><strong>Title and Description of Step</strong></td>
<td>Select indicators to be assessed based on CSIP, previous year's Growth Plan (if applicable), and student and/or teacher performance data.</td>
<td>Conduct an baseline assessment of identified indicators and identify areas of strength and opportunities for growth.</td>
<td>Based on the opportunities for growth and the baseline assessment, determine an appropriate area(s) for growth that include the practice and application of new knowledge and skills.</td>
<td>Seek feedback on progress based on the evidence of appropriate growth guides. Use the appropriate growth guides, possible sources of evidence, and repeated opportunities for practice. Seek targeted feedback on areas of strength and opportunities for growth.</td>
<td>Conduct a final assessment of identified indicators. Determine overall progress on the growth plan as evidenced by the appropriate growth guides.</td>
<td>Determine the final status and growth score to inform employment determination. Act on the final determination.</td>
<td>Continue to monitor student growth and reflect on the impact of improved effective practice. Reflect on progress on growth opportunities. Indicators for next year may be selected based on local student data and the results of the evaluation process.</td>
</tr>
<tr>
<td><strong>Forms</strong></td>
<td>A - 1</td>
<td>Growth Guides</td>
<td>A - 1</td>
<td>Growth Guides &amp; Possible Sources of Evidence</td>
<td>Growth Guides</td>
<td>A - 1/ Summative</td>
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<td>Timeline: 1st year Supt</td>
<td>July - Aug</td>
<td>Sept</td>
<td>Oct</td>
<td>November through December</td>
<td>Jan - Feb</td>
<td>Feb - June</td>
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<tr>
<td>Timeline: Returning Supt</td>
<td>April - June</td>
<td>Aug - Oct</td>
<td>November through December</td>
<td>Jan - Feb</td>
<td>Feb - April</td>
<td></td>
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