

**Honeoye
Central School District**

**Annual Professional Performance
Review Plan
Principal Evaluation**



**APPR Addendum to the collective bargaining agreement
between the Honeoye Administrators' and Supervisors'
Association and the Honeoye Central School District, Covering
the period: July 1, 2012 through June 30, 2013.**

GENERAL PROVISIONS

- I. Whereas the parties above are obligated to negotiate APPR provisions for principals consistent with Education Law 3012-c and subsequent NYSED regulation, they hereby agree to the following terms and conditions contained in the agreed upon Plan.
- II. This provision shall apply only to the title of principal.
- III. This provision shall sunset on June 30, 2013 with implementation to begin on _____, 2012.
- IV. Should the law (3012-c) of 2010 or the regulations regarding 3012-c change from what was adopted by the Board of Regents in May, 2011 and revised in the approved budget bill by the governor, this agreement shall be renegotiated to be consistent with further changes in law or regulation.
- V. For evaluations in 2012-13 done under this agreement, no ineffective rating shall be utilized in the expedited 3020-a process outlined in 3012-c.
- VI. The Superintendent shall be the lead evaluator for principals.

OTHER MEASURES (60%)

I. School Visits

- A. The Superintendent will make a minimum of two visits to the principal's school, one of which will be considered formal/announced, for at least one hour each school year for the purpose of gathering evidence to support performance expectations as outlined in the agreed upon Rubric in this Agreement.
- B. One of the visits from the Superintendent will be unannounced which shall occur between October 1st and April 1st. The Superintendent will meet during the visit or within five (5) working days after the unannounced visit with the principal to provide feedback on the evidence gathered during the visit. During the unannounced visit, the Superintendent will shadow the principal.
- C. The principal shall invite the Superintendent to one announced visit and schedule the visit in collaboration with the Superintendent. The principal shall review with the Superintendent at the beginning of the visit the intended evidence to be provided. The Superintendent will meet during the visit or within five (5) working days after the announced visit with the principal to provide feedback on the evidence gathered during the visit.

II. Structured Evidence Gathering

- A. The Superintendent shall schedule and meet once during the school year with the principal for the purpose of reviewing formative and summative assessment data for the principal's school. The principal shall compile and organize their school data for review. The principal will be responsible for leading the discussion through analysis of the data and reflection on what leadership actions are being taken in light of the data.
- B. The principal may submit to the Superintendent a portfolio of evidence benchmarked against the principal practice rubric. The format of the portfolio shall be at the discretion of the principal. The Superintendent must establish a submission date for the portfolio which shall be no later than ten (10) working days prior to the date that the Superintendent's annual evaluation on "Other Measures" is due.

III. Principal Practice Rubric

- A. The Multidimensional Principal Performance Rubric shall be used as the principal practice rubric. The Multidimensional Rubric will not be used to for evaluating other unit members unless specifically negotiated to do so in the HASA collective bargaining agreement.
- B. The principal practice rubric will be assigned 60 points of the total sixty points for Other Measures.
- C. The total number of assigned points shall be allocated to the domains/standards in the rubric as follows:
 - Domain 1-Shared Vision of Learning: **10 points**
 - Domain 2-School Culture and Instructional Program: **15 points**
 - Domain 3-Safe, Efficient, Effective Learning Environment: **15 points**
 - Domain 4-Community: **5 points**
 - Domain 5-Integrity, Fairness, and Ethics: **10 points**
 - Domain 6-Political, Social, Economic, Legal and Cultural Context: **5 points**
- D. The Superintendent shall meet with principals as a group prior to the opening of school to discuss and share with the principals examples of evidence for each rating of each domain in the Rubric in accordance with the State issued Standards in E. of this section, and the Superintendent shall provide to each principal by September 30th of each school year a written description of examples of evidence for each rating of each domain in the Rubric.

Rubric language- possible evidence as guidance (collaboratively reviewed)

- E. The following will be used in determining HEDI for Other Measures and the use of the Multidimensional Rubric.

Standards for Rating Categories	Other Measures of Effectiveness (Teacher and Leader Standards)
Highly Effective	Overall performance and results exceed standards.
Effective	Overall performance and results meet standards.
Developing	Overall performance and results need improvement in order to meet standards.
Ineffective	Overall performance and results do not meet standards.

- F. See attached “Scoring Bands for Multidimensional Rubric” which outlines the number of points to be assigned to the principal’s Other Measures component of APPR by the Superintendent. The Superintendent shall assign a point value for each Domain in accordance with Appendix A once the Superintendent has determined the HEDI designation for each Domain.

See attached “Conversion Chart for 60% Other Measures (Rubric)” which presents the APPR composite score based on the total number of points earned on the Multidimensional Rubric. In addition, the HEDI rating is presented based on the composite score converted from the total number of points earned on the Multidimensional Rubric.

V. Timelines and Deadlines

- A. Prior to August 1st annually, the Superintendent shall schedule and conduct a group meeting with all principals for the purpose of reviewing the terms and conditions of this Plan, the procedures, processes, and timelines for the execution of the Plan. The Association President, if not a principal, shall be invited to attend this meeting.
- B. Between January 1st and January 30th, the Superintendent shall schedule and conduct a Mid-Year Assessment meeting with each principal. The purpose of the meeting is for the Superintendent to identify any performance concerns based on evidence gathered or the lack of evidence gathered with the principal since July 1st of the preceding calendar year. The principal shall not be required to present any data or evidence during this meeting; however, the principal may respond to the concerns of the Superintendent. Within ten (10) working days after the Mid-Year Assessment meeting, the Superintendent shall provide to

the principal in writing a summary of the Mid-Year Assessment. This document shall not be placed in the principal's District personnel file, but rather shall be considered a written communication between the principal and Superintendent for professional development purposes. The summary may be submitted as evidence during any appeal process or hearing related to APPR.

- C. Prior to May 1st for probationary principals and June 1st for tenured principals, the Superintendent shall schedule and conduct a Pre-Assessment Meeting. On or before May 1 or June 1st, respectively, the Superintendent will finalize each principal's summative evaluation per contractual language. The purpose of the Pre-Assessment Meeting is for the principal to present additional evidence and to discuss with the Superintendent his/her self-assessment against the principal practice rubric in the hopes of appropriately addressing any concerns or issues prior to finalizing the document and thus avoiding any potential appeal to the best of both party's abilities.
- D. By May 15th for probationary principals and by June 15th for tenured principals, the Superintendent shall present to the principal all completed components of the APPR for that school year with the exception of the State Growth Score and Local 20 Score. When all data is known by the District, within ten (10) working days the complete APPR assessment will be presented to the principal.

VI. Principal Improvement Plan

- A. Upon rating a principal as ineffective or developing, a Principal Improvement Plan (PIP) designed to rectify perceived or demonstrated deficiencies shall be developed and commenced no later than ten (10) business days before the start of a school year. The Lead Evaluator for the principal, in conjunction with the principal, shall develop an improvement plan that contains:
 - 1. A clear delineation of the deficiencies that resulted in the ineffective or developing assessment.
 - 2. Specific improvement goal/outcome statements.
 - 3. Specific improvement action steps/activities.
 - 4. A reasonable time line for achieving improvement.
 - 5. Required and accessible resources.
 - 6. A formative evaluation process documenting meetings scheduled monthly throughout the year to assess progress. These meetings shall be scheduled by the Lead Evaluator. A written summary of feedback by the Lead Evaluator on progress shall be given within ten (10) business days of each meeting.
 - 7. A clear manner in which improvement efforts will be assessed, including evidence demonstrating improvement.

8. A formal, final written summative assessment delineating progress made with an opportunity for comments by the principal.
- B. The Superintendent will schedule a work session with the principal between August 1st and ten (10) days prior to the start of the school year to review and discuss the plan and to consider input from the principal.
 - C. The formal, final written summative assessment in A.8 of this section shall be completed and reviewed with the principal by June 1st.

VII. Appeals Process

- A. Appeals are limited to those identified by Education Law §3012-c, as follows:
 1. The substance of the annual professional performance review;
 2. The school district's adherence to the standards and methodologies required for such reviews;
 3. The adherence to the Commissioner's regulations, as applicable to such reviews;
 4. Compliance with any applicable locally negotiated procedures applicable to annual professional performance reviews or improvement plans; and
 5. The school district's issuance and/or implementation of the terms of the principal improvement plan.
- B. Appeals of annual professional performance reviews for tenured principals may be brought for ineffective, developing, or any rating tied to compensation. Appeals of annual professional performance reviews for non-tenured principals may be brought for ineffective or any rating tied to compensation. Regardless of the outcome of a non-tenured principal appeal, an appeal does not limit or impinge upon the District's right to deny tenure or terminate for reasons other than performance consistent with Education Law and/or Commissioner's Regulations.
- C. A principal may not file multiple appeals regarding the same performance review. The issuance of an improvement plan may prompt an appeal independent of the performance review. The implementation of an improvement plan may be appealed upon each alleged breach thereof. All grounds for appeal must be raised with specificity within such appeal. Any grounds not raised shall be deemed waived.
- D. The burden shall be on the district to establish by the preponderance of the evidence that the rating given to the appellant was justified or that an improvement plan was appropriately issued and/or implemented.
- E. All appeals shall be filed in writing and submitted to the Superintendent's Office with receipt provided by the Superintendent's Office.
- F. An appeal of a performance review must be filed no later than fifteen (15) business days of the date when the principal receives their final and complete annual professional performance review.
- G. If a principal is challenging the appropriateness of a principal improvement plan based on the rating(s) deemed to be below standard, appeals must be filed with fifteen (15) business days of the rating and issuance of such plan.
- H. During the implementation of an improvement plan, an appeal may commence based upon the failure of the district to implement any component of the plan due to non-conformity with implementation timelines and/or other required provisions. An appeal of this type

shall be within fifteen (15) business days of when the plan should have commenced to correct the plan.

- I. When filing an appeal, the principal must submit a written description of the specific areas of disagreement over his or her performance review, or the issuance and/or implementation of the terms of his or her improvement plan. Supportive evidence about the challenges may also be submitted with the appeal. Any additional documents or materials relevant to the appeal must be provided by the district upon written request for same. The performance review and/or improvement plan being challenged must also be submitted with the appeal.
- J. Within fifteen (15) business days of receipt of an appeal, the district must submit a detailed written response to the appeal. The response must include all additional documents or written materials relevant to the point(s) of disagreement that support the district's response. Any such information that is not submitted at the time the response is filed shall not be considered on behalf of the district in the deliberations related to the resolution of the appeal. The principal initiating the appeal shall receive a copy of the response filed by the school district, and all additional information submitted with the response, at the same time the school district files its response. Additional material supporting the challenges may be submitted by the principal up to the date of the hearing.
- K. Within ten (10) business days of the district's response, a single individual hearing officer shall be mutually chosen by the Superintendent and Association President from a list of hearing officers approved by the BOCES served by the District. In the event that the BOCES does not maintain a list of approved hearing officers, the Superintendent and Association President shall at the beginning of the school year mutually agree upon no less than two and no more than four hearing officers. The hearing officer for a specific appeal hearing will be assigned by mutual agreement. Where there is no mutual agreement a lottery selection will occur from this list. The parties agree that:
 - a. The hearing officer shall hear appeals in a timely manner after the appeal is made, but in no event shall it be less than five (5) business days or more than fifteen (15) business days after the hearing officer is selected. The aforementioned timelines may be extended by mutual agreement if the selected hearing officer is not immediately available, but will be completed in a timely and expeditious manner in accordance with Education Law 3012-c.
 - b. The hearing shall be conducted in no more than one business day unless extenuating circumstances are present and the hearing officer agrees to a second day.
 - c. The parties shall have the ability to be represented by either legal counsel, union representative, or appear pro se;
 - d. The parties shall exchange an anticipated witness list no less than two (2) business days before the scheduled hearing date;
 - e. The district shall have the opportunity to present its case supporting the rating or improvement plan and then the principal may refute the presentation. These may include the presentation of material, witnesses and/or affidavits in lieu of testimony.
 - f. A written decision on the merits of the appeal shall be rendered no later than ten (10) business days from the close of the hearing. Such decision shall be a final administrative decision. The decision shall set forth the reasons and factual basis for the determination on each of the specific issues raised in the appeal. The reviewer must either affirm or set aside a district's rating or improvement plan. A sustained

appeal will result in a rewritten evaluation as per the hearing officer's judgment. A copy of the decision shall be provided to the principal and the district representative. The aforementioned timelines may be extended by mutual agreement if the selected hearing officer's decision is not immediately available, but will be completed in a timely and expeditious manner in accordance with Education Law 3012-c.

- L. This appeal procedure shall constitute the means for initiating, reviewing and resolving challenges to a principal performance review or improvement plan. A principal may not resort to any other contractual grievance procedures for the resolution of challenges and appeals related to a professional performance review and/or improvement plan.
- M. The costs of an appeal will be distributed per the following: if the principal's appeal is sustained, the District will pay for all of the costs associated with the appeals process and if the District is sustained in the appeal process, the costs will be shared between the District and the HASA unit. The associated costs of the hearing officer and the appeals process will not exceed \$500 in total.
- N. In addition to any further limitations agreed to within the APPR agreement, an evaluation shall not be placed in a principal's personnel file until either the expiration of the fifteen (15) business day period in which to file a notice of appeal without action being taken by the principal or the conclusion of the appeal process described herein, whichever is later.
- O. A principal who takes advantage of the appeals process described herein does not waive his/her right to submit a written rebuttal to the final evaluation. A principal who elects to submit a written rebuttal to his/her evaluation prior to the expiration of the fifteen (15) business days in which to file a notice of appeal does not waive her/his right to file an appeal.

VIII. Local Student Performance Measures

Local student performance measures are requested from the District to be considered in bargaining with the Association.

20 Point Allocations

For the elementary principal, NYS testing data will be used for determining the local 20% portion of the overall composite HEDI score. An average of the percentage of students increasing or decreasing, in relation to the scores obtained from the 2011-12 school year, at levels 3 and 4 will be calculated using the ELA 3-5, Math 3-5 scores. The overall average, the sum of the six (6) NYS Benchmark scores divided by 6, of increase or decrease will be scored per the following schedule:

>5% will be rated **Highly Effective** per the HEDI scoring band with 5.01% = 18, 5.02% = 19, 5.03% or higher = 20. Points between percentage values will be rounded up or down, whichever is more favorable to the principal with the correlating score applied to the overall composite score.

±5% will be rated **Effective** per the HEDI scoring band with -4% or -5% = to 9, -3% = to 10, -2% = to 11, -1% = to 12, 0% = to 13, 1% = to 14, 2% = to 15, 3% = to 16, and 4% or 5% = to 17. Points between percentage values will be rounded up or down, whichever is more favorable to the principal with the correlating score applied to the overall composite score.

<-5% will be rated **Developing** per the HEDI scoring band with -6% = to 8, -6.5% = to 7, -7% = to 6, -7.5% = to 5, -8% to -8.5% = to 4, and -9% to -9.99% = to 3. Points between percentage values will be rounded

up or down, whichever is more favorable to the principal with the correlating score applied to the overall composite score.

<-10% will be rated **Ineffective** per the HEDI scoring band with a score of 2, <-11% will = 1, and <-12% or more will be scored a 0. Points between percentage values will be rounded up or down, whichever is more favorable to the principal with the correlating score applied to the overall composite score.

For the secondary principal, NYS testing data will be used for determining the local 20% portion of the overall composite HEDI score. An average of the percentage of students increasing or decreasing, in relation to the scores obtained from the 2011-12 school year, at levels 3 and 4 will be calculated using the ELA 6-8, Math 6-8, the Living Environment Regents, Algebra I Regents, Global and Geography History Regents, English Regents, and US History Regents Exams at 65% or higher. The scores of the MS NYS Benchmarks and above named NYS Regents assessments will be added together and divided by 11, thus obtaining an average percentage increase or decrease that will be scored per the following schedule:

>5% will be rated **Highly Effective** per the HEDI scoring band with 5.01% = to 18, 5.02% = to 19, 5.03% or higher = to 20 points respectively. Points between percentage values will be rounded up or down, whichever is more favorable to the principal with the correlating score applied to the overall composite score.

±5% will be rated **Effective** per the HEDI scoring band with -4% or -5% = to 9, -3% = to 10, -2% = to 11, -1% = to 12, 0% = to 13, 1% = to 14, 2% = to 15, 3% = to 16, and 4% or 5% = to 17. Points between percentage values will be rounded up or down, whichever is more favorable to the principal with the correlating score applied to the overall composite score.

<-5% will be rated **Developing** per the HEDI scoring band with -6% = to 8, -6.5% = to 7, -7% = to 6, -7.5% = to 5, -8% to -8.5% = to 4, and -9% to -9.99% = to 3. Points between percentage values will be rounded up or down, whichever is more favorable to the principal with the correlating score applied to the overall composite score.

<-10% will be rated **Ineffective** per the HEDI scoring band with a score of 2, <-11% will = 1, and <-12% or more will be scored a 0. Points between percentage values will be rounded up or down, whichever is more favorable to the principal with the correlating score applied to the overall composite score.

15 Point Allocation as Part of a Value-Added Component

Highly Effective: >5% will be rated Highly Effective per the HEDI scoring band with 5.01% = 14, 5.02% or higher = 15 Points

Effective: ±5% will be rated Effective per the HEDI scoring band with - 4% or -5% = to 8, -3% or -2% = to 9, -1% or 0%= to 10, 1% = to 11, 2% or 3% = to 12, 4% or 5% = to 13. Points between percentage values will be rounded up or down, whichever is more favorable to the principal with the correlating score applied to the overall composite score.

Developing: <-5% will be rated Developing per the HEDI scoring band with -6% and -6.5% = to 7, -7% = to 6, -7.5% = to 5, -8% to -8.5% = to 4, and -9% to -9.99% = to 3. Points between percentage values will be rounded up or down, whichever is more favorable to the principal with the correlating score applied to the overall composite score.

Ineffective: <-10% will be rated Ineffective per the HEDI scoring band with -10% a score of 2, -11% will = 1, and <-12% or more will be scored a 0. Points between percentage values will be rounded up or down, whichever is more favorable to the principal with the correlating score applied to the overall composite score.

IX. Overall Evaluation Summary (20 Point Model)

HEDI	State	Local	Rubric	Composite Score
Highly Effective	18-20	18-20	59-60	91-100
Effective	9-17	9-17	57-58	75-90
Developing	3-8	3-8	50-56	65-74
Ineffective	0-2	0-2	0-49	0-64

Multidimensional Rubric Domain Scoring Bands

Domain	Total Possible	Ineffective	Developing	Effective	Highly Effective
1	10	0-6	7	8-9	10
2	15	0-8	9-10	11-13	14-15
3	15	0-8	9-10	11-13	14-15
4	5	0-2	3	4	5
5	10	0-6	7	8-9	10
6	5	0-2	3	4	5

Multidimensional Overall Principal Scoring Conversion Chart

Rubric Score	Composite	HEDI Rating	Rubric Score	Composite	HEDI Rating
0	0	Ineffective	31	54	Developing
1	2	Ineffective	32	54	Developing
2	4	Ineffective	33	55	Developing
3	7	Ineffective	34	55	Developing
4	10	Ineffective	35	55	Developing
5	13	Ineffective	36	55	Developing
6	16	Ineffective	37	56	Developing
7	19	Ineffective	38	56	Developing
8	22	Ineffective	39	56	Developing
9	25	Ineffective	40	56	Developing
10	28	Ineffective	41	57	Effective
11	31	Ineffective	42	57	Effective
12	34	Ineffective	43	57	Effective
13	37	Ineffective	44	57	Effective
14	40	Ineffective	45	57	Effective
15	43	Ineffective	46	57	Effective
16	46	Ineffective	47	58	Effective
17	49	Ineffective	48	58	Effective
18	50	Developing	49	58	Effective
19	50	Developing	50	58	Effective
20	51	Developing	51	58	Effective
21	51	Developing	52	58	Effective
22	52	Developing	53	58	Effective
23	52	Developing	54	59	Highly Effective
24	52	Developing	55	59	Highly Effective
25	53	Developing	56	59	Highly Effective
26	53	Developing	57	60	Highly Effective
27	53	Developing	58	60	Highly Effective
28	53	Developing	59	60	Highly Effective
29	54	Developing	60	60	Highly Effective
30	54	Developing			