PRINCIPAL AND ASSISTANT PRINCIPAL PROFESSIONAL GROWTH AND EFFECTIVENESS SYSTEM
Kentucky Professional Growth and Effectiveness System Model for Summative Evaluation of Assistant Principals and Principals

Sources of Evidence to Inform Professional Practice Rating
- Site visits
- 360 survey (principal only)
- Working Conditions
- Goal
- Professional Growth
- Plans and Self Reflection
- Optional: District-Determined

Standard Ratings
- Standard 1: Instructional Leadership
- Standard 2: School Climate
- Standard 3: Human Resources Management
- Standard 4: Organizational Management
- Standard 5: Communication and Community Relations
- Standard 6: Professionalism

Professional Judgement & State-Determined Decision Rules

Overall Performance Category

Sources of Evidence to Inform Student Growth Rating
- State Contribution - Next Generation Learners goals
  - State-Defined High/Expected/Low
  - 3 Years of Data (when available)
- Local Contribution - Student Growth Goals (5Gs)
  - District-Defined High/Expected/Low
  - 3 Years of Data (when available)

Professional Judgement & District-Determined Decision Rules

Overall Student Growth Rating (H/E/L)

See Criteria for Determining a Principal or Assistant Principal's Overall Performance Category
# Sources of Evidence/Framework for Principal/Asst Principal Alignment

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<th>Communication and Community Relations</th>
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<td>Instructional Leadership</td>
<td>School Climate</td>
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<td>Working Conditions Goal</td>
<td>Time; Professional Development; Instructional Practices &amp; Support; School Leadership</td>
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<td>To inform Professional Practice</td>
<td>Superintendent &amp; Teacher Feedback</td>
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<td>High Standards for Student Learning; Rigorous Curriculum; Quality Instruction</td>
<td>Culture of Learning &amp; Professional Behavior</td>
<td>Quality Instruction; Performance Accountability</td>
<td>Quality Instruction</td>
<td>Culture of Learning &amp; Professional Behavior; Connections to External Communities</td>
<td>Culture of Learning &amp; Professional Behavior</td>
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</tbody>
</table>
Professional Growth and Effectiveness System – Principal and Assistant Principal

The vision for the Professional Growth and Effectiveness System (PGES) is to have every school led by an effective principal. The goal is to create a fair and equitable system to measure principal effectiveness and act as a catalyst for professional growth. All administrators will receive summative evaluations annually.

Roles and Definitions

1. **ASSIST**: The Adaptive System of School Improvement Support Tools is a web-based platform designed to broaden and sharpen thinking about continuous improvement, performance and accreditation.

2. **Administrator**: means an EPSB certified administrator who devotes the majority of employed time in the role of principal, for which administrative certification is required by the Education Professional Standards Board pursuant to 16 KAR 3:050

3. **Evaluator**: the immediate supervisor of certified personnel, who has satisfactorily completed all required evaluation training and, if evaluating teachers, observation certification training.

4. **Evaluatee**: District/School personnel is being evaluated

5. **Interim Trajectory Goal(s)**: The annual delivery target score needed to obtain the Trajectory Target Goal.

6. **Professional Growth Plan**: An individualized plan that is focused on improving professional practice, using a variety of evidences that reflect student, educator, and school/district data, produced in consultation with the evaluator.

7. **Self-Reflection**: means the process by which certified personnel assess the effectiveness and adequacy of their knowledge and performance for the purpose of identifying areas for professional learning and growth

8. **Val-Ed 360°**: An assessment that provides feedback of a principal’s learning-centered behaviors by using input from the principal, his/her supervisor, and teachers.

9. **TELL Kentucky**: A working conditions survey of all school staff conducted every two years to provide feedback on specific aspects of the school’s work environment. Results may be used to assist in goal setting for improving the learning environment and principal practice.

10. **Trajectory Goal(s)**: A goal that is obtained from the School Report Card Delivery Target Tab.

11. **Working Conditions Goal**: A goal set by administrators every two years, using data from the state approved working conditions survey, for the purpose of school improvement.

12. **For Additional Definitions and Roles, please see 704KAR 3:370 Professional Growth and Effectiveness System**
Principal Professional Growth and Effectiveness System Components – Overview and Summative Model

The following graphic outlines the summative model for the Principal Professional Growth and Effectiveness System.

Evaluators will look for trends and patterns in practice across multiple types of evidence and apply their professional judgment based on this evidence when evaluating a principal. The role of evidence and professional judgment in the determination of ratings on standards and an overall rating is paramount in this process. However, professional judgment must be grounded in the common framework identified: The Principal Performance Standards.
Principal Performance Standards

The Principal Performance Standards are designed to support student achievement and professional best-practice through the standards of Instructional Leadership; School Climate; Human Resource Management; Organizational Management; Communication & Community Relations; and Professionalism. Included in the Performance Standards are Performance Indicators that provide examples of observable, tangible behaviors that provide evidence of each standard. The Performance Standards provide the structure for feedback for continuous improvement through individual goals that target professional growth, thus supporting overall student achievement and school improvement. Evidence supporting a principal’s professional practice will be situated within one or more of the 6 standards. Performance will be rated for each standard according to the four performance levels: Ineffective, Developing, Accomplished, and Exemplary. It is projected that most principals will maintain an Accomplished rating, but will occasionally have exemplary performance on standards at any given time. The summative rating will be a holistic representation of performance, combining data from multiple sources of evidence across each standard.

The use of professional judgment based on multiple sources of evidence promotes a more holistic and comprehensive analysis of practice, rather than over-reliance on one individual data point or rote calculation of practice based on predetermined formulas. Evaluators will also take into account how principals respond to or apply additional supports and resources designed to promote student learning, as well as their own professional growth and development. Finally, professional judgment gives evaluators the flexibility to account for a wide variety of factors related to individual principal performance. These factors may include school-specific priorities that may drive practice in one standard, an educator’s number of goals, experience level and/or leadership opportunities. Contextual variables may also impact the learning environment, such as unanticipated outside events or traumas.

Evaluators must use the following categories of evidence in determining overall ratings:

Required Sources of Evidence
- Professional Growth Planning and Self-Reflection
- Site-Visits
- Val-Ed 360°
- Working Conditions Goal (TELL Survey)
- State and Local Student Growth Goal data

Evaluators may use the following categories of evidence in determining overall ratings:
- Other Measures of Student Learning
- Products of Practice
- Other Sources such as CSIP, PD Plans, Budgets, additional surveys, PBIS/discipline data, Program Reviews etc.
Professional Practice

The following sections provide a detailed overview of the various sources of evidence used to inform Professional Practice Ratings.

Professional Growth Planning and Self-Reflection – completed by principals & assistant principals

The Professional Growth Plan will address realistic, focused, and measurable professional goals. The plan will connect data from multiple sources including site-visit conferences, data on student growth and achievement, and professional growth needs identified through self-assessment and reflection. Self-reflection improves principal practice through ongoing, careful consideration of the impact of leadership practice on student growth and achievement.

- All principals and assistant principals will participate in self-reflection by September 15. For principals hired after the start of the school year, the self-reflection must be completed within 30 working days.
- All professional growth plans will be submitted no later than 30 working days after state testing data becomes available. Since principals must utilize current state testing data in order to identify growth areas, the growth plan cannot be fully developed until the state data is available. For principals hired after the release of state testing data, the principal must submit a professional growth plan within 30 working days.
- Considerations will be given for administrators of alternative settings (Day Treatment, Alternative School, etc.) as detailed in the KDE Guidance for PGES in Alternative Settings. If state level data is not provided for the alternative setting, administrator will include of two local growth goals. Other examples include using other non-academic factors for goals, using other survey data if TELL Data is not available, etc. as determined appropriate by superintendent.

Timeline for submission of PGP for principals/assistant principals.

<table>
<thead>
<tr>
<th>Principal/Assistant Principal PGP Timeline</th>
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<tr>
<td>Will be completed by:</td>
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<tr>
<td>Within 30 calendar days of reporting for employment</td>
</tr>
<tr>
<td>September 15</td>
</tr>
<tr>
<td>30 days after state testing data is released</td>
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<tr>
<td>December 31</td>
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<tr>
<td>March/April</td>
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<td>April 1</td>
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<td>May 1</td>
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Site-Visits – completed by supervisor of principal – formal site visits are not required for assistant principals

Site visits are a method by which the superintendent/designee may gain insight into the principal’s practice in relation to the standards. During a site visit, the superintendent/designee will discuss various aspects of the job with the principal, and will use the principal’s responses to determine issues to further explore with the faculty and staff. Additionally, the principal may explain the successes and trials the school community has experienced in relation to school improvement.
• Conducted at least twice each year. (Formal site-visits are not required for the assistant principal.)
• First site visit will be conducted before December 31st of the school year. The second site visit will be conducted by April 1st of the school year.
• Conferences following a site visit will occur within 5 working days of the visit.
• Each site visit will include the completion of the district approved site visit form which includes connectivity to the Principal Performance Standards, comments, and next steps for principals. This will be summarized during the post-conference.
• Assistant principals will receive at least one formative conference each year with their principal using the district-approved Principal PGES Site Visit Form for the purpose of reflecting on current practice and making next-step goals.

Conference Expectations:

Following First Site Visit (prior to December 31):
• Discuss purpose of meeting
• Discuss reflection of data
• Discuss and come to agreement on Student Growth Goal and Action Plan
• Discuss reflections of the Principal Performance Standards
• Discuss and come to agreement on the Professional Growth Goal and Action Plan
• Questions/Concerns/Comments

Following Second Site Visit (by April 1)
• Discuss purpose of meeting
• Discuss site visit and provide feedback
• Share progress toward Student Growth Goal and Professional Growth Goal
• Discuss progress of each standard and determine if any other documentation is needed
• Discuss overall rating based on Professional Practice and Student Growth
• Questions/Concerns/Comments

Late Hires:
Late Hires will have a minimum of two site visits conducted by the Superintendent if hired after sixty (60) days following the first day that students report to school. Additional conferences may be held as deemed necessary to monitor progress.

Val-Ed 360° - completed for principals – not completed for assistant principals
The VAL-ED 360° is an assessment that provides feedback on a principal’s learning-centered behaviors by using input from the principal, his/her supervisor, and teachers. All teachers will participate in the Val-Ed 360°. The results of the survey will be included as a source of data to inform each principal’s professional practice rating.

• Conducted at least once every two years in the school year that TELL Kentucky is not administered.
• Survey will occur during the district approved window.

Late hires hired after the survey is administered will not participate.
VAL-ED ROLE GROUPS

District Administrator – The Director of Instruction will oversee and monitor the implementation of VAL-ED 360 and coordinate the survey at all schools. The role of the district administrator is to oversee and monitor the implementation of the VAL-ED 360 process, including the distribution of teacher “letters” in hard copy to each principal and the superintendent/designee and the school teacher letters to each school. This letter will contain an anonymous code for access to the online survey. Participants will be surveyed at three levels . . . supervisor(s), principal, certified teachers. The district administrator will establish and communicate the VAL-ED window of administration and individual school will choose a teacher to organize the method for teachers to complete the survey. Anyone absent during the survey will be required to complete the survey as soon as possible to meet the deadline.

School VAL-Ed Coordinator- The school Val-Ed Coordinator serves as a liaison between district and school administrator to train, identify how the school will organize for the teacher survey and the distribution of teacher codes. Each school will develop and publish the process for taking the VAL-ED that accommodates teacher schedules and assures all teachers participate in the survey.

Superintendent - The superintendent will receive an access code to be able to monitor the survey process and reports. Individuals completing the survey remain anonymous through an access code process but the superintendent, as well as the District Administrator, will be able to see the response rates and reports. The reports are not final until the survey window is closed. For this reason, it is imperative that the superintendent wait until this time before printing/using the report data. The individual principal data/report is personnel sensitive and should not be shared with anyone not designated as the primary supervisor.

Supervisors – The district may elect to have up to three district staff complete the survey for an individual principal. This will include the primary supervisor, who makes final decisions regarding employment and recommendations for growth. One to two additional supervisors (district office staff who also work closely with the principal, such as assistant superintendents, instructional supervisors, Title I coordinators, special education directors, etc.) may also complete a survey for individual principals. This is a district level decision made by the primary supervisor.

Principals – Each principal will also complete a survey specifically designed for principals. The District Administrator will distribute a letter containing an access code to each principal. The principal will also receive an email with access information to the final report.

Certified Teachers – All certified teachers assigned to a specific school should complete the online survey designed specifically for teacher input. Teacher’s surveys are anonymous and the district/principal does not have access to individual teacher responses. This is supported by the use of individual access codes distributed in a random manner by district personnel and the school VAL –Ed coordinator not the school principal.

VAL-Ed Survey results will be treated as confidential and only the principal and the immediate supervisor will receive the survey results.
Working Conditions Goal (Goal inherited by Assistant Principal)

Principals are responsible for setting a two-year Working Conditions Growth Goal based on the most recent TELL Kentucky Survey. The principal’s effort to accomplish the Working Conditions Growth Goal is a powerful way to enhance professional performance and, in turn, positively impact school culture and student success.

- Developed following the completion of the TELL Kentucky Survey.
- Each principal in collaboration with the superintendent/designee will develop at least ONE working conditions goal based on the most current TELL Kentucky Survey data.
- If a principal does not have TELL data, due to lack of participation by staff, the principal will use district TELL data to create a working conditions goal OR complete a similar survey with staff to determine an area of need.
- Once a principal identifies a working condition goal based on the TELL survey, he/she will connect the survey item to one or more of the Principal Performance Standards, write a goal and create an action plan to implement over a two-year period. The goal will be written on district template or approved technology format. Evidence will be maintained by the principal and shared with evaluator.
- When creating the Working Conditions Goal rubric, the principal will include the target percentage in the “Accomplished” range of the rubric. Other ranges in the rubric shall be established in collaboration with the superintendent.
- A mid-point review of the Working Conditions Goal may include one or more of the following: physical evidence to show that strategies and actions in the plan have been completed and/or started, a follow-up survey with staff members to indicate an increase in agreement with the targeted TELL statement, or conversations with the supervisor documented on the mid-year conference form.
- A Working Conditions Goals Rubric will be used to identify performance level. The rubric will be a collaborative effort using the categories of Ineffective, Developing, Accomplished, and Exemplary. Rating scale for the rubric will reflect growth in + or – 10% scale.

**Exemplary:** above accomplished level  
**Accomplished:** +/- 10% of goal  
**Developing:** below accomplished level  
**Ineffective:** below baseline

**Example follows:** A principal has identified a WCG area and has set a goal to increase from 21% to 50% agreement on the identified question(s). The rubric rating for this goal with a built in range of + or – 10% for this particular goal will be 5% (10% of 50%):

- **Exemplary:** Above 55% agreement  
- **Accomplished:** 45-55% agreement  
- **Developing:** 22-44% agreement  
- **Ineffective:** 21% or below agreement

Products of Practice/Other Sources of Evidence

Principals/Assistant Principals may provide additional evidences to support assessment of their own professional practice. These evidences should yield information related to the principal’s/assistant principal’s practice within the domains.

- SBDM minutes  
- Faculty Meeting agendas and minutes  
- Department/Grade Level agendas and minutes  
- PLC agendas and minutes  
- Leadership Team agendas and minutes  
- Instructional Round/Walk-through documentation
Letters and Memos
In addition to the sources of evidence listed above, letters and memos may be used to document both outstanding performance and performance which needs improvement. The correspondence should be dated and signed by both parties.

Student Growth
The following sections provide a detailed overview of the various sources of evidence used to inform Student Growth Ratings. At least one of the Student Growth Goals set by the principal must address gap populations. Assistant principals will inherit the SGG (both state and local contributions) of the Principal.

State Contribution – ASSIST/Next Generation Learners (NGL) Goal Based on Trajectory (Goal inherited by Assistant Principal)
Principals are responsible for setting at least one student growth goal that is tied directly to the Comprehensive School Improvement Plan located in ASSIST. The superintendent and the principal will meet to discuss the trajectory for the goal and to establish the year’s goal that will help reach the long-term trajectory target. New goals are identified each year based on the ASSIST goals. The goal should be customized for the school year with the intent of helping improve student achievement and reaching the long term goals through on-going improvement.

- Selection based on ASSIST/NGL trajectory.
- Based on Gap population unless local goal is based on Gap population.
- Goal begins in fall and ends in fall of the following school year. All Student Growth Goals must be submitted to superintendent within 30 days after testing data is released. Late hires will develop the student growth goal within 30 days based on available data.
- If the school does not receive state level data, the principal will construct two local student growth goals.
- Interim trajectory goals come from ASSIST/KDE School Report Card. However, they can be modified to increase the percentage goal. All goals must include a percentage in order to be measurable.
- The following rules will apply when determining high, expected or low growth for a state growth goal:
  - + or – 10% of the goal= Expected
  - Above 10% of the goal= High
  - Below 10% of the goal= Low

Example follows: A principal has set a goal to increase the percent proficient/distinguished of combined reading & math performance from 50% to 60% for 2016. The rubric rating for this goal with a built in range of + or – 10% for this particular goal will be 6% (10% of 60%):
  - High: Above 66% proficient/distinguished
  - Expected: 54-66% agreement
  - Low: Below 54%

If goal is less than 10%, Principal will revise goal and consult with Superintendent for approval.
Local Contribution – Based on School Need (Goal inherited by Assistant Principal)

The local goal for student growth should be based on school need. It may be developed to parallel the State Contribution or it may be developed with a different focus.

**Required:**

- Based on gap population unless State goal is based on gap population.
- Each principal shall have ONE local student growth goal.
- Goal will be developed in collaboration with superintendent/designee. Goal can be taken from ASSIST and address achievement, gap, growth, College/Career Readiness, or another aspect of school improvement. All local goals will include a percentage in order to be measurable.
- Goal will begin in fall and end April 1st of the calendar year. Local goals can be measured for success using formative data from the school and/or district level (since state data is not available until the following school year).
- The following rules will apply when determining high, expected or low growth for a local growth goal:
  - + or – 10% of the goal= **Expected**
  - Above 10% of the goal= **High**
  - Below 10% of the goal= **Low**

**Example follows:** A principal has set a goal to increase the percent proficient/distinguished for her non-duplicated gap group from 30% to 50% for 2017. The rubric rating for this goal with a built in range of + or – 10% for this particular goal will be 5% (10% of 50%):

  **High:** Above 55% proficient/distinguished  
  **Expected:** 45-55% agreement  
  **Low:** Below 45%

If goal is less than 10%, Principal will revise goal and consult with Superintendent for approval.
Determining the Overall Performance Category

The superintendent or designee is responsible for determining an Overall Performance Category for each principal at the conclusion of their summative evaluation year. The Overall Performance Category is informed by the principal’s ratings on professional practice and student growth.

Rating Overall Professional Practice

Use decision rules to determine an overall rating. Record ratings on district developed forms AND in APPROVED TECHNOLOGY PLATFORM following the summative conference by May 1st of each year.

A principal’s/assistant principal’s Overall Performance Category is determined by the evaluator based on the principal’s ratings on each standard. Using the sources of evidence for principals/assistant principals, evaluators will use professional judgment to determine a rating for each standard. Next, the evaluator will use the following decision rules for determining the Professional Practice Category:

- **Professional Growth Plans and Self-Reflection**
- **Site-Visit**
- **Val-Ed 360°/Working Conditions**

**Optional**
- **Other: District-Determined** – Must be identified in the CEP

**STANDARDS RATINGS**

- **STANDARD 1: [I,D,A,E]**
- **STANDARD 2: [I,D,A,E]**
- **STANDARD 3: [I,D,A,E]**
- **STANDARD 4: [I,D,A,E]**
- **STANDARD 5: [I,D,A,E]**
- **STANDARD 6: [I,D,A,E]**
Professional Practice Decision Rules

### Rating Overall Student Growth

Overall Student Growth Rating results from a combination of professional judgment and the district-developed instrument. The instrument is designed to aid the evaluator in applying professional judgment to multiple evidences of student growth over time. Student growth ratings must include data from both the local and state contributions.

**Determining the rating for both state and local growth.**

- Supervisors will include data from both the local and state contributions to determine overall Student Growth Rating.

- The following rules will apply when determining high, expected or low growth for a state and local growth goals:
  - $+ \text{ or } -10\%$ of the goal = Expected
  - Above 10% of the goal = High
  - Below 10% of the goal = Low
Criteria for Determining Overall Student Growth Rating

Please see below to outline the processes for each principal/assistant principal to follow.

The matrix below will be used to assign the overall rating of the growth goal for each year.

(H = High; E = Expected and L = Low)

### Overall Decision Matrix

<table>
<thead>
<tr>
<th>State Growth</th>
<th>State and Local</th>
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<tr>
<td>H</td>
<td>H</td>
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<tr>
<td>E</td>
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<td>L</td>
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<td>E</td>
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Local Growth

<table>
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<tr>
<th>L</th>
<th>E</th>
<th>H</th>
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</table>
When available, three years of data will be used. Superintendents can consider ratings for the principal’s goals from other placements within the district (ex. Principal served at the high school for 2 years and this year at the middle school. Superintendent would utilize the rating from the middle school for years 1 and 2). Each year’s rating will be given a numerical weighting:

- LOW = 1
- EXPECTED = 2
- HIGH = 3

To find the weighted average for the local goal the following formula will be used:

| Principals with 3 years of data: | \( \frac{(Y3A) + (Y2A) + (Y1A)}{3} \) | = GT (Growth Total) |
| Principals with 2 years of data: | \( \frac{(Y2A) + (Y1A)}{2} \) | = GT (Growth Total) |
| Principals with 1 year of data: | \( (Y1A) \) | = GT (Growth Total) |

Apply your Growth Total to the chart below to find overall rating

<table>
<thead>
<tr>
<th>RANKING</th>
<th>AVERAGE SCORE</th>
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<tbody>
<tr>
<td>LOW</td>
<td>1.0 – 1.49</td>
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<tr>
<td>Expected</td>
<td>1.50-2.49</td>
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<tr>
<td>High</td>
<td>2.50-3</td>
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Determining the Overall Performance Category

A principal’s/assistant principal’s Overall Performance Category is determined by the evaluator based on the principal’s ratings on Professional Practice and Student Growth. Next, the evaluator will use the following decision rules for determining the Overall Performance Category.

- This is also known as the Summative Rating.
- Apply State Overall Decision Rules for determining a principal’s/assistant principal’s Overall Performance Category.
- All summative ratings must be recorded on district approved forms and submitted to the Kentucky Department of Education through the approved technology platform.
- An opportunity for written response shall be included in the official personnel record.
- A copy of the evaluation will be provided to the evaluatee.

CRITERIA FOR DETERMINING A PRINCIPAL’S OVERALL PERFORMANCE CATEGORY

<table>
<thead>
<tr>
<th>PROFESSIONAL PRACTICE RATING</th>
<th>STUDENT GROWTH RATING</th>
<th>OVERALL PERFORMANCE CATEGORY</th>
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<tr>
<td><strong>Exemplary</strong></td>
<td>High OR Expected</td>
<td>Exemplary</td>
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<tr>
<td></td>
<td>Low</td>
<td>Developing</td>
</tr>
<tr>
<td><strong>Accomplished</strong></td>
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<td>Low OR Expected</td>
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</tr>
<tr>
<td><strong>Ineffective</strong></td>
<td>Low, Expected OR High</td>
<td>Ineffective</td>
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**Professional Growth Plan and Summative Cycle**

Based on the overall Professional Practice rating and Student Growth rating, supervisors will determine the type of Professional Growth Plan required of the principal.