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PRINCIPAL PERFORMANCE EVALUATION GUIDEBOOK

*THE SCHOOL LEADERSHIP
DISTRICT COHORT*

*NOVEMBER
2018*

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Introduction

This guidebook is the first in a series created by the George W. Bush Institute as part of its School Leadership District Cohort, an initiative designed to support districts seeking to improve how they attract, support, and retain effective school leaders. This guidebook focuses on **principal performance evaluation**, which is one of several components of Principal Talent Management (PTM) that districts can leverage to support effective school leadership. Other components of the Bush Institute's [PTM Framework](#) include: Preparation; Recruitment and Selection; Professional Learning; Performance Evaluation; Compensation and Incentives; and Working Environment. Future guidebooks in this series will address other areas of the framework.

Why focus on principal performance evaluation? Principal performance evaluation can be an effective lever for improving and supporting principal talent because — when done well — it establishes a districtwide definition of effective leadership that grounds and focuses all other principal talent management work in the district. Feedback provided through the evaluation process can support individual principals in improving their practice, and results of the evaluation can inform district policies and decisions, such as how to strategically target professional learning supports or to determine qualifications for incentives. Figure 1 below demonstrates the multiple purposes of using evaluation to improve school-level leadership talent.

Figure 1. Purpose of evaluation

Clarifying Purpose
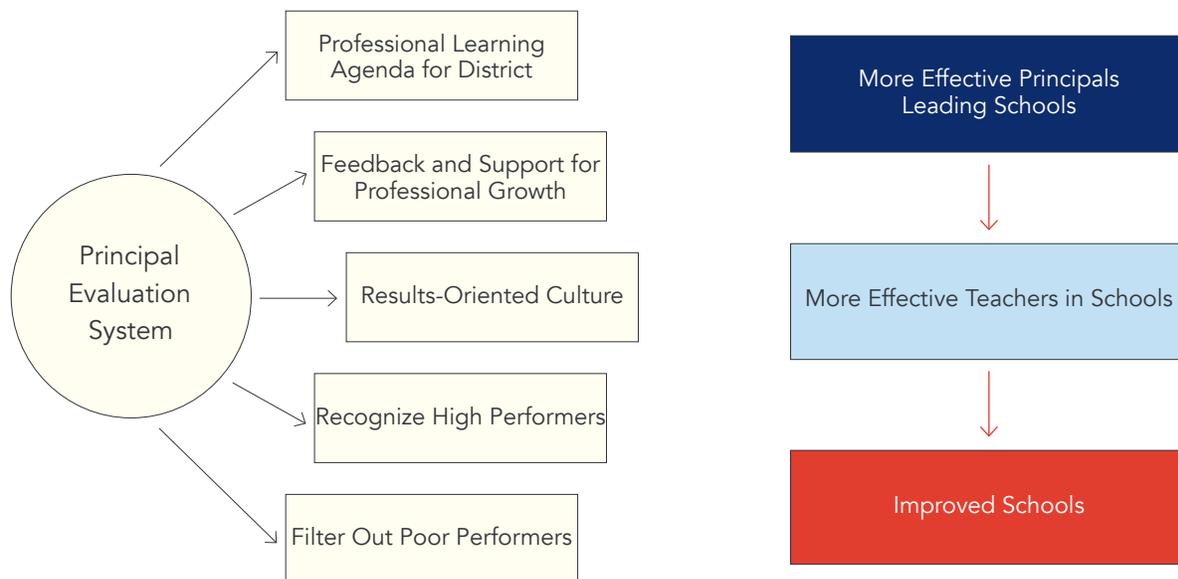
Hallinger, Heck, & Murphy (2014); NAESP & NASSP (2012); Condon & Clifford (2012)

Above all, the Bush Institute believes that evaluation systems are a way to help professionals — in this case principals — grow so that they are better able to serve their teachers and students. It is not a chance to "catch" principals doing something wrong, or a tool to punish. This guidebook identifies key best practices that can help ensure the appropriate intent is realized during the principal evaluation process.

What are best practices in principal performance evaluation?
The area of principal performance evaluation has limited research that empirically proves which approaches are most effective.[1] In fact, there are many debates in the field regarding key evaluation design decisions, such as: how to align evaluation focuses to the most recent national standards; what measures should be used to address each focus; and whether evaluation results should be linked to compensation. That said, principal performance evaluation is not new terrain. The majority of states require performance evaluation, which is typically carried out by districts. Many states and districts have deliberately focused on improving their evaluation systems and have lessons learned to offer others.[2]

The Bush Institute has distilled this prior evidence into four key components:
1. An aligned **leadership framework** that clearly defines skills and knowledge of effective principals;
2. A variety of **measures** triangulated to assess principals;
3. Well-designed **processes** for conducting and ensuring fairness and usefulness of evaluations;
4. Mechanisms for making **connections to principals' professional growth.**

How is this guidebook designed to support districts?
This guidebook will help district leaders build common understanding of best practices and identify strategies for improvement. It is organized into the following three sections:

1. *Key Components* — For each of the four key components listed above, this guidebook:
   - Provides a **definition**;
   - Describes **problematic (yet common) practice**;
   - Describes **best practices**;
   - Offers **next steps** for moving from problematic to best practice.
2. *Districts to Watch* — examples of districts implementing the key best practices; and
3. *Learn More* — links to appendices with additional resources.

What process did the Bush Institute use to identify findings and make recommendations?
Evaluation is one component of the Bush Institute's Principal Talent Management Framework, built, in part, through a rigorous research review conducted in partnership with the American Institutes for Research (AIR).[3] This review used What Works Clearinghouse standards as the criteria for identifying studies with rigorous research designs and evidence of causal relationships, focusing on two key outcomes of PTM: the extent to which certain policies and practices lead to improved student achievement, and principal retention. The Bush Institute team then gathered research-based examples from published descriptive studies and by collecting artifacts from districts which had been the subject of empirical study. The team also conducted interviews of experts to gather their tools and recommendations for implementation. The full report was vetted by expert external reviewers.

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1   See Appendix C for an annotated bibliography.
2   Davis (2011).
3   See this report (https://gwbcenter.imgix.net/Resources/gwbi-principal-talent-management-lit-review.pdf) for a detailed description of how the Bush Institute gathered evidence and vetted findings through an iterative review process.

Key Component #1: Leadership Frameworks

This section:
- Provides a **definition** of leadership frameworks;
- Describes **problematic (yet common) practice** related to leadership framework;
- Describes **best practices** related to leadership frameworks;
- Offers **next steps** for moving from problematic to best practice related to leadership frameworks.

Definition of Leadership Frameworks

A school leadership framework **identifies and organizes the skills and dispositions of strong school leaders**. In doing so, it provides a common definition of a highly effective school principal and serves as a guide that all staff in a district can use to understand and support effective leadership. It allows a district to build consistency across principal preparation, selection, ongoing development, and evaluation.

For clarity, this report will consistently use the following terms and definitions:[1]
- **Competencies:** Buckets or categories of types of skills (e.g., instructional leadership) or dispositions. Some districts refer to these as "domains" or "standards."
- **Indicators:** Specific skills or dispositions within each competency (e.g., provides effective feedback to teachers based on observations; demonstrates commitment to equity).
- **Performance Rubrics:** Documents defining performance levels (e.g., approaching, proficient, advanced) and containing aligned definitions, illustrations, and/or examples for each indicator at each performance level.

Figure 1 is an excerpt of the Hillsborough County Public Schools (HCPS) Performance Rubric and provides examples of: a *competency* (e.g., "Managing and Developing People"); an *indicator* (e.g., "provides clear expectations for staff performance and communicates success and needed improvements regularly"); and two of the *performance levels* (e.g., "progressing"). The *leadership framework* encompasses all of these elements and organizes them.

Figure 2. Hillsborough County Public Schools Performance Rubric Example

Note: This is a snapshot of a section of the rubric, which includes many more competencies, indicators and performance levels.

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1   Note that states and districts often use different terms for these elements.

Leadership frameworks are often **aligned with national, state, or other sets of standards**, such as the Professional Standards for Educational Leaders (PSEL).[1] The PSEL standards are a set of national standards that define effective school leadership. These differ from the previous set of national standards — known as the Interstate School Leaders Licensure Consortium (ISLLC) standards — in several important ways. The American Institutes for Research has created a useful crosswalk[2] of the old and new standards, which identifies the following key differences:

- **Equity:** ISLLC mentions "responding to the cultural context" as well as other political and social contexts, while PSEL goes further by specifically calling out the importance of creating a school context focused on equity and cultural responsiveness.
- **Talent Development:** ISLLC calls for the leader to create a culture that is "conducive to professional growth" and the retention of effective teachers. However, PSEL Standard 6 is a specific call to leaders to act to develop the professional capacity and practice of school personnel.
- **Leadership Capacity:** ISLLC references the importance of developing, articulating, implementing, and stewarding a vision of learning across the system, but PSEL specifically addresses the concepts of continuous improvement — gathering, organizing, implementing, adjusting, and engaging stakeholders — in Standard 10.
- **Academic Systems:** The instructional program in PSEL, including curriculum, instruction, and assessment, is articulated in greater depth than it was in ISLLC and more specifically refers to intellectual rigor and coherence as foundational elements.[2]

Problematic (Yet Common) Practice on Leadership Frameworks

Limited Buy-In: District teams often create or adopt leadership frameworks with little input, buy-in, or feedback from key stakeholders. For example, a district might task a small team or workgroup to create the leadership framework. Sometimes the group simply adopts the state's leadership standards. More often, they create a framework with competencies and indicators that align to the state standards. If feedback is solicited, it is done in a perfunctory and compliance-driven way. Sometimes input and feedback are solicited from others during the development process, but in the end, the work mostly happens in isolation without effective efforts to communicate and establish buy-in across the district. Here is an example of a process description from Anonymous School District:

> *A small working group of five central office staff members met during the school year to develop a draft for feedback. Principals and assistant principals provided [perfunctory] feedback and then the draft was submitted to senior leadership. Based on all feedback, adjustments were made. Additional feedback was solicited on the new draft in the Fall. The final system was sent to the Board of Trustees for approval in April for full implementation in the following school year.*

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1 Many states have created their own leadership frameworks and provided districts with some high-level guidance on principal performance evaluation design and process. In many cases, this work was spurred by federal requirements — for example, via Race to the Top grants. As a result, many of these frameworks were developed in the 2010-2016 era, and were aligned with the national Interstate School Leaders Licensure Consortium (ISLLC) standards, which were developed by the Council of Chief State School Officers in partnership with the National Policy Board on Educational Administration. The standards were first written in 1996, then updated in 2008, and updated again — and renamed the Professional Standards for Educational Leaders (PSEL) in 2015. Changes over time have reflected the changing role of principals, which have become more focused on instructional leadership, addressing students' individual needs, and on supporting the whole child. The new standards more explicitly call out a focus on equity. The Center on Great Teachers and Leaders at American Institutes for Research (AIR) has created a crosswalk of the differences between the 2008 and 2015 versions of the standards. AIR developed an interactive map that provides details for each state regarding when their leadership standards were last updated as well as the version of ISLLC standards they use. Most states continue to use 2008 ISLLC standards, if they are aligned to national standards at all.

2 American Institutes for Research (2016).

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Lack of Specificity: Another common problem is that rubric language to define levels of performance often insufficient for differentiating between levels. For example, a proficient level of data use might be defined as, "The leader uses data to make decisions related to school improvement" on the rubric. Since almost all school leaders are likely to use school data in some way, they are all likely to score "proficient" under this definition. Rubric definitions that concretely specify the quality or consistency of practice would help further differentiate performance. Refining that indicator to, "Uses data to differentiate and prioritize instructional supports and interventions and supports teachers in using data to differentiate instruction" could be more useful in pinpointing specific effective practices that are, or are not, happening.[1]

Lack of Alignment: Once the framework is developed, efforts to ensure that it is being used in an authentic way tend to be insufficient. Districts distribute the framework widely and might even give several presentations of the final framework, yet it continues to live in isolation from the day-to-day work of principals and from other components of principal talent management. That is, it is used only in context of the performance evaluation process. Principal supervisors do not use the competencies (and the language embedded in rubrics) to organize their thinking and communication with principals to frame principals' individual or collective strengths and areas for growth.

Similarly, principal selection processes fail to use the competencies as a framework for assessing candidates and principal pre-service. In-service development opportunities also do not leverage the framework — prioritize and organize their services to be aligned with the district's definition of effective leadership — as articulated by the competencies. Since the framework is not used on a day-to-day basis, it does not drive practice.

Best Practice: Aligned Leadership Frameworks

School districts with strong evaluation practices have carefully designed clear framework documents and invested in professional development and communications to ensure the framework is well understood and is continually referenced for leadership discussions.

Stakeholder Involvement: These districts actively engage stakeholders in the process in developing their leadership framework. Their approach involves:
- Involving a wide range of stakeholders including principals, their supervisors, and representatives from Human Resources. They consider perspectives from different types of contexts, such as school level (e.g., elementary, middle, and high schools) and school type (e.g., magnet or alternative schools). They also engage individuals or organizations responsible for leadership preparation and development.
- Facilitating conversations that encourage all stakeholders to put their ideas on the table and build consensus regarding terminology, organization, and prioritization.

As a result, all stakeholders can list and describe the competencies at a moment's notice. All principal supervisors and principals understand and agree on what constitutes proficient practice for each competency. (See the description of Dallas ISD's development process in the "districts to watch" section below.)

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1   See Figure 2: Hillsborough County Public Schools Performance Rubric example.

Alignment to Standards: The frameworks are tightly aligned with research, national standards, and state standards. Districts prioritize competencies that are important for their local context. For example, a report from the Council of Chief State School Officers describes the following process used by Charlotte-Mecklenburg Schools (CMS):

> *...the district began with a state mandated principal evaluation instrument, which was informed by the seven standards of executive leadership from McREL and grounded in ISLLC. CMS spent their time examining the purpose of standards and competencies and how they translated into a CMS leadership framework. With a cross-functional team focused on school leadership, including principals and assistant principals, they explored the competencies that were essential to being a successful leader in CMS. These competencies were then aligned to the executive leadership standards. These competencies were used to inform selection and hiring practices, principal preparation program selection and recruiting, and professional development for school leaders. Additionally, CMS developed indicators that provided guidance on the behaviors that principal supervisors would look for as demonstration of the leadership standards. Importantly, these indicators help provide clarity and consistency to school leaders and their managers during the evaluation process.[1]*

In many cases, districts align their competencies with state standards that have already been aligned with national standards. If the state has not yet updated their standards to align with the new PSEL national standards, strong districts take action to improve alignment at the local level. This alignment work is particularly important to address if newly emphasized themes of the PSEL standards (e.g., equity, talent development, leadership capacity, and academic systems) are not fully addressed or explained in standards currently used by the district.

Alignment with Other Components of PTM: Districts with strong evaluation systems consider how the leadership framework aligns to other components of their principal talent management system when creating and/or revising it.[2] They strategically consider how to use the framework to:

- Inform *principal selection* criteria, including what constitutes sufficient evidence against the criteria to be qualified to become a principal;
- *Evaluate other leaders*, including deciding whether to create a different framework for others (e.g., assistant principals, district administrators, teacher leaders) and/or whether to use the same framework for other leaders with different levels of expectations;
- Inform selection, assessment, and scope and sequence of *principal preparation programs*;
- Strengthen external partnerships for *preparing and recruiting* talent;
- Inform *professional learning opportunities* and outcomes for principals;
- Align *compensation and incentives* offered to principals with the framework;
- Track talent throughout the district (e.g., by creating a system that enables a district to identify which individuals have strengths in particular competency areas).

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1   Casserly, Lewis, Simon, Uzell, & Palacios (2013).
2   Hamilton & Engberg (2012).

Clear Organization and Language: Strong leadership frameworks can be organized in several ways (see Figure 3 for some contrasting examples of how competencies and indicators are organized). The frameworks use language that clearly and transparently defines competencies and indicators against which school leadership performance is assessed.[1] Most importantly, they honor the language of the local context. Instead of simply adopting language from national or state standards, strong frameworks use local terms and institutionalized ways of organizing ideas (so long as they reflect research-based practice). Strong frameworks contain a limited number of competency areas. More than seven competencies can be difficult to remember or use effectively to organize other PTM work.

Figure 3. Examples of different approaches to addressing PSEL's increased focus on equity

PSEL	Denver Public Schools	Prince George's County Public Schools
Standard 3: Effective educational leaders strive for equity of educational opportunity and culturally responsive practices to promote each student's academic success and well-being.	**Culture and Equity Leadership 2:** Leads for culture of empowerment, continuous improvement and celebration.	**Standard V:** Demonstrates a commitment to excellence, equity and innovation.

• Ensure that each student is treated fairly, respectfully, and with an understanding of each student's culture and context.
• Recognize, respect, and employ each student's strengths, diversity, and culture as assets for teaching and learning.
• Ensure that each student has equitable access to effective teachers, learning opportunities, academic and social support, and other resources necessary for success.
• Develop student policies and address student misconduct in a positive, fair, and unbiased manner.
• Confront and alter institutional biases of student marginalization, deficit-based schooling, and low expectations associated with race, class, culture and language, gender and sexual orientation, and disability or special status.
• Promote the preparation of students to live productively in and contribute to the diverse cultural contexts of a global society.
• Act with cultural competence and responsiveness in their interactions, decision-making, and practice.
• Address matters of equity and cultural responsiveness in all aspects of leadership.
	• School leader knows student and staff names and greets them regularly.
	• Staff members respect the school leader as a learner.
	• Staff members can articulate the school leader's strengths and areas of growth.
	• Students from diverse backgrounds feel that their opinions are welcomed, heard, and included in the decision-making process.
	  • Classroom activities provide opportunities for students to become critical of content being presented.
	  • Staff models behavior they expect of students and one another using a variety of techniques.
	  • School rules are explicit, leaving minimal opportunities for misinterpretations or misunderstandings.
	  • A system of positive and negative consequences is consistent with school values.
	  • Routines and procedures are discussed and implemented.
	  • Classroom objectives and activities show respect for and inclusion of the histories, experiences, and cultures of diverse groups.
		• **Intentional and Collaborative School Culture:** The principal involves all staff in creating a climate that fosters excellence, equity, and innovation. The principal builds relationships that create a trusting, respectful, and supportive school culture where students and staff are supported in achieving individualized learning goals.
		• **Equity:** The principal ensures an inclusive and celebratory school culture that promotes cultural competency and values diversity. The principal assumes responsibility and is accountable for a safe, orderly, supportive, and healthy learning environment. The principal ensures a school culture in which students' individual backgrounds are valued as a resource, and instruction and behavioral supports build on student strengths.
		• **Culture of Continuous Improvement:** The principal fosters a school culture that values innovation, risk-taking, and creativity. The principal engages staff in courageous conversations that encourage further development of effective instructional practices.

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1   Clifford (2015).

Districts with strong evaluation systems carefully consider the number of performance levels and how they are defined to ensure internal consistency within the rubric.[1] Figure 4 provides recommendations from two national organizations regarding the number of levels and how they are defined. Regardless, the descriptors within strong rubrics are written to differentiate practice and minimize the chance of a principal who is only doing part of a practice receiving full credit. When that happens, a professional growth opportunity is missed for that principal.

Figure 4. Level definitions recommended by national organizations

Marzano Center[2]	New Leaders[3]
• A score of 0 (Not Using) indicates that the school leader *does not attempt* to use the strategy or demonstrate the behavior. • A score of 1 (Beginning) indicates that the school leader attempts to use the strategy or tries to demonstrate the behavior but *does so only partially or with errors.* • A score of 2 (Developing) indicates that the school leader accurately displays all the behaviors called for in the [competency]…This score indicates that the leader is in the compliance stage, consciously completing all the constructs required in the [competency] but stopping there and not moving beyond. • A score of 3 (Applying) indicates that the school leader has reached the target or proficiency level. This is the most critical level of the scale profession. A school leader at Applying incorporates all of the behaviors of the Developing level, with an important addition. At Applying, the school leader begins the process of analyzing whether the strategy is achieving the [competency's] desired effect. • A score of 4 (Innovating) indicates that the school leader not only achieves the desired effect with those impacted by the element, but additionally, in order to achieve a score of Innovating, the school leader may need to change, modify, or adapt the current strategy.	• Unsatisfactory ratings indicate performance that is unacceptably low on one or more areas of leadership practice and makes little or no progress on most student outcome targets. Ratings of Unsatisfactory are always cause for concern. • Basic ratings mean that performance is meeting proficiency in some components but not others. Improvement is necessary and expected, and two consecutive years at the Basic level is, for an experienced principal, a cause for concern. On the other hand, for principals in their first year, performance rated Basic is expected. If, by the end of 3 years, performance is still Basic, there is cause for concern. • Proficient ratings represent fully satisfactory performance. It is the rigorous standard expected for most experienced principals and the goal for new principals or principals performing at the basic level. Proficient principals demonstrate acceptable leadership practice and meet or make progress on all student outcome targets. • Exemplary ratings are reserved for performance that significantly exceeds proficiency and could serve as a model for leaders district-wide or even statewide. Few principals are expected to demonstrate Exemplary performance on more than a small number of practice and student outcome targets.

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1   Burling (2012).
2   From the "2018 Update: The Marzano Focused School Leader Evaluation Model" accessed on March 12, 2018 from http://www.marzanocenter.com/evaluation-systems/focused-school-leader-evaluation-model
3   New Leaders (2012).

Next Steps on Leadership Frameworks: Moving from Problematic to Best Practice

Appendix F offers a protocol districts can use to reflect on their current evaluation system and identify improvements across all four components of the evaluation system. Districts can take the following steps to strengthen their leadership frameworks in particular:

- **Assess** your current leadership frameworks to determine whether and what revisions are necessary. Review your framework and examples of frameworks included in the appendices of this guidebook.

To what extent do you agree...	Strongly Disagree	Disagree	Agree	Strongly Agree
My district's leadership framework aligns with the most current national and state standards.				
My district's leadership framework aligns with local needs and language.				
My district's leadership framework aligns with other components of the principal talent management system (e.g., preparation, recruitment, selection, professional learning, compensation, incentives, working environment).				
My district's leadership framework uses a rubric with performance definitions that effectively differentiate quality of principal practice.				
Principals and principal supervisors use framing and language from our district leadership framework on a regular basis to discuss school leadership practice.				

- Consider tradeoffs and **make design choices** for the leadership framework.
  - How many competency areas will you allow?
  - How many performance levels will you have and what are your guidelines for differentiating definitions across levels? Do the performance levels need to be consistent with those used in the teacher evaluation system?
  - Will you assess at the competency or indicator level?
  - How will you arrive at an overall score?
- If revisions are necessary, **engage stakeholders** early in the process to provide input and later solicit their feedback on language choices.
- **Field test rubrics** and **norm principal supervisors** by having them discuss how they would apply rubric ratings to a common set of evidence. See Appendix B for examples of facilitation activities used by Chesterfield County Public Schools to calibrate principal supervisors.

Key Component #2: Measures

This section:
- Provides a **definition** of measures;
- Describes **problematic (yet common) practice** related to measures;
- Describes **best practices** related to measures;
- Offers **next steps** for moving from problematic to best practice related to measures.

Definition of Measures

Measures are the data sources and methodologies used in evaluating principals. Some examples include:
- Supervisor observations;
- Professional growth goals set by both the principal and his or her supervisor;
- Achievement of School Improvement Plan goals;
- Perception surveys (e.g., of parents, teachers, and/or students);
- School data (e.g., enrollment, staff vacancies);
- Student data (e.g., test results, attendance rates, grade completion rates).

Problematic (Yet Common) Practice with Measures

Limited Number of Measures: Many districts rely on only two types of measures:
- A **professional practice assessment component** in which principal supervisors use a rubric to score principals on the leadership framework, and
- A **student achievement component** in which districts use state test scores (including proficiency and/or growth) on math and reading as a measure of principals' effectiveness in impacting student outcomes.

The approach of using only two or fewer measures to evaluate principals is problematic because these measures are limited in both scope and often in validity and/or reliability.

Failure to Norm Supervisors: Leadership practice assessment scores can be problematic when principal supervisors are not consistent with each other in how they apply rubrics to evidence. While districts might provide supervisors with training on the evaluation process (e.g., logistics or how to use technology to input evidence and scores), the training often does not include norming exercises to ensure that principal supervisors are consistent in how they rate principals.

Lack of Validity of Scores: Results of performance assessments often are not a true reflection of the quality of principal practice (i.e., they lack validity). Results often suggest that nearly all principals are proficient even though principal supervisors (and rigorous quantitative research) acknowledge there is a lot of variability in performance among principals.

There may be many reasons why this happens. One challenge is that principal supervisors understand the principalship is a tough role and therefore are reluctant to criticize when they know principals are facing challenging circumstances. Another challenge is that principal supervisors need to maintain positive relationships with principals and do not want the negative evaluation rating to impact the work ahead. Principals supervisors might also be hesitant in some cases where high stakes (such as job security or pay) are attributed to those ratings. Unfortunately, this lack of transparency often creates a dynamic in which principals have little awareness of their growth areas and face confusion when they are not considered for promotions.

The Bush Institute strongly believes in the use of student achievement as one measure of principal evaluation; however, we are also cognizant of the limitations of such a measure. Use of student achievement measures for principal evaluation has been controversial, and studies have documented difficulties involved in isolating principal effects from such measures[1]. These studies point out the importance of truly considering the complexity of these measures in deciding how to weight student achievement.[2] For example, Georgia recently decreased student achievement weighting from 70 percent to 40 percent.

Best Practice: Measures

The Bush Institute is agnostic to the type of measurement tool used to evaluate principals, though we acknowledge that some tools are better than others. We do, however, strongly believe that research and best practice should guide what measures are used during the evaluation process.

Variety of Measures: Strong evaluation systems utilize multiple measures and are designed to optimize conditions that enable validity of each measure, as described in Figure 5.

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1   Grissom, Kalogrides, & Loeb (2015).
2   National Research Council and National Academy of Education (2010): http://www.aera.net/Education-Research/Research-and-the-Public-Good/Public-Briefings/ AERA-NAED-Hold-Successful-Briefing-on-Teacher-Eval

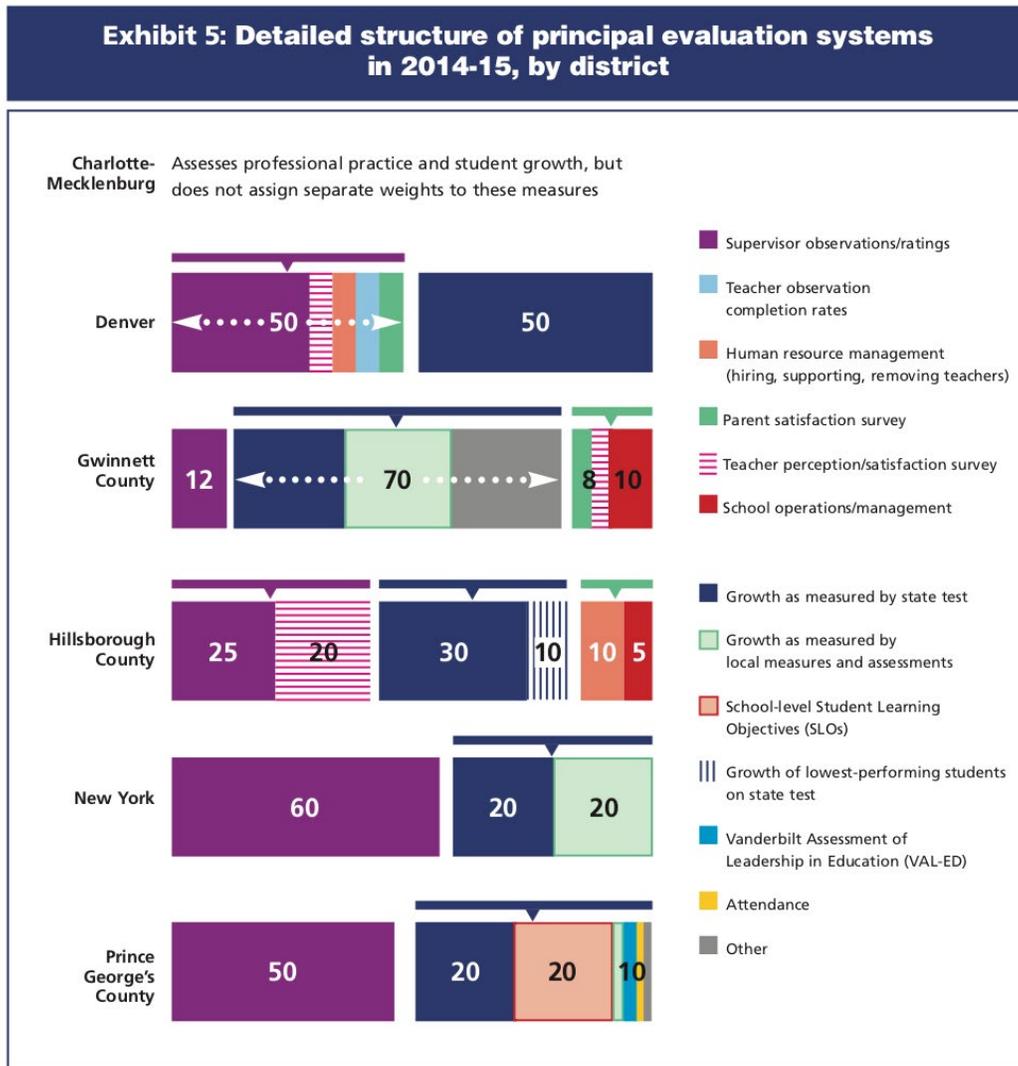*Figure 5. Measures and conditions that influence their validity*

Measures	Conditions
Principal supervisor observation ratings	Supervisors have time to observe and collect evidence of principals' practice; opportunities to norm with other supervisors; and knowledge and skills to effectively interpret evidence relative to a rubric.
Perception surveys of teachers, parents, students and/or community members, such as: • 360 surveys, like the Vanderbilt Assessment of Leadership in Education (VAL-ED), that measure perceptions of principal practice. • Climate surveys that measure perceptions of school environment and school-level constructs.	Ideally, surveys are validated to improve confidence that survey items are measuring the constructs they are intended to measure. Surveys are administered to maximize response rates and maintain respondent confidentiality.
Human resource indicators, such as: • Retention of effective teachers • Hiring, vacancies, etc. (in cases where principals have autonomy to influence these indicators)	District has strong and validated measures (via the teacher evaluation process) of effective teachers. District also considers overall or long-term retention versus short-term retention.

Goal attainment
• Extent to which goals are met for:
  • Principal performance
  • School performance (typically identified in school improvement plan)
  • Principal professional learning
	Principals and their supervisors are skilled in setting good goals that are SMART[1] with a good balance of rigor and feasibility.

Student achievement measures[1], such as: • Growth on state tests • Decrease in achievement gaps on state tests • Growth on local student achievement measures • Student learning objectives	District uses equitable methodologies that appropriately credit principals for student growth, even if overall proficiency is low.
Other student outcome measures, such as: • Attendance • Graduation	District uses research-based definitions of these measures, such as a clear definition of what counts as an absence.

Strong evaluation systems can combine these multiple measures in different ways, as evidenced by Figure 6. Fundamentally, these districts understand that single measures can have validity limitations. Since the devil is in the details, they look to **triangulate** several measures (not just two or three). Importantly, how each of these measures is calculated is of upmost significance to make sure that some principals are not favored by the system simply because of which students are in their buildings. Since principal evaluation experts disagree about the extent to which each of categories of measures should be weighted, district teams look at their own context, beliefs, and priorities in order to make weighting decisions.

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1   The Bush Institute discourages using ONLY straight student proficiency scores that do not take growth into account because they do not fully capture principal performance, which may take years to impact overall student proficiency.

1   A "SMART" goal is: Specific, Measurable, Attainable, Relevant, and Timely.

Figure 6. Detailed structure of principal evaluation systems in 2014-15, by district[1]

Exhibit 5: Detailed structure of principal evaluation systems in 2014-15, by district

Charlotte-Mecklenburg: Assesses professional practice and student growth, but does not assign separate weights to these measures

Denver: 50 | 50

Gwinnett County: 12 | 70 | 8 | 10

Hillsborough County: 25 | 20 | 30 | 10 | 10 | 5

New York: 60 | 20 | 20

Prince George's County: 50 | 20 | 20 | 10

Legend:
- Supervisor observations/ratings
- Teacher observation completion rates
- Human resource management (hiring, supporting, removing teachers)
- Parent satisfaction survey
- Teacher perception/satisfaction survey
- School operations/management
- Growth as measured by state test
- Growth as measured by local measures and assessments
- School-level Student Learning Objectives (SLOs)
- Growth of lowest-performing students on state test
- Vanderbilt Assessment of Leadership in Education (VAL-ED)
- Attendance
- Other

Model districts also work to ensure that their **measures are valid, reliable, and respected by principals**. Some validity and reliability work requires expert assistance, but there are things districts can do to improve validity and reliability without external support.

- **Valid:** They use validated assessments (such as VAL-ED) for surveys, and they consider the extent to which they are confident that the assessments are truly measuring what they are intended to measure when deciding how to weight the measures. In addition to using already validated instruments, districts can increase face validity of instruments by having panels of stakeholders, including principals, review the measures to see that "on their face" the measures seem accurate and fair.
- **Reliable:** They build interrater reliability among evaluator observation ratings to ensure evaluators are calibrated, free of bias, and accurate (see the "evaluation process" section for more detail on how they build interrater reliability — this is a process districts can enact without external expertise).

1   Policy Studies Associates (2016). Evaluating and Supporting Principals. (https://www.wallacefoundation.org/knowledge-center/Documents/Building-a-Stronger-Principalship-Vol-4-Evaluating-and-Supporting-Principals.pdf)

- **Respected:** They demonstrate validity and reliability of measures to principals so they perceive the scores as fair. They work to continually get feedback on the evaluation system to ensure this continues to be the case. In addition, the district leadership team continually demonstrates to principals the importance of the evaluation system in preparation, selection, professional learning, and other talent management areas. Simply put, districts value principal buy-in.

Next Steps: Moving from Problematic to Best Practice with Multiple Measures

Districts can take the following steps to strengthen measures in their principal evaluation system:

- **Assess** your measures to determine whether and what revisions are necessary. Review recommendations from New Leaders in their report, Principal Evaluation Toolkit: Resources for Building Strong Principal Evaluation Systems[1] and descriptions used by six districts described in the Policy Studies Associates report, Evaluating and Supporting Principals[2].

To what extent do you agree…	Strongly Disagree	Disagree	Agree	Strongly Agree
Our evaluation system uses measures aligned with our leadership framework.				
Our evaluation system uses measures aligned with state guidelines.				
Our evaluation system makes use of relevant data we already (or could easily) collect.				
Our evaluation system uses multiple measures (three or more).				
Our evaluation system appropriately weights measures.				
Our evaluation system uses measures that are valid and fair.				

- **Assess alignment of measures to the leadership framework** to identify gaps and ensure strong measures for all aspects of the framework.
- **Examine state guidelines** and determine opportunities to add additional measures within those guidelines.
- **Consider existing data sources.** Does the district already conduct climate surveys? Even if not districtwide, are some schools using certain survey tools? Does the district already have other measures of student outcomes, such as attendance or suspension rates, that you expect principals to be affecting? Does the district calculate additional measures of student achievement? What is the validity and reliability of existing tools and measures?
- **Improve quality of measures** by testing them and/or providing training.
- **Arm yourself with knowledge** by understanding the current rigorous research that details the strengths and weaknesses of different types of measures. See Appendix B for recommended resources.

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1   New Leaders (2012).
2   Policy Studies Associates (2016).

Key Component #3: Evaluation Processes

This section:
- Provides a **definition** of evaluation processes;
- Describes **problematic (yet common) practice** related to evaluation processes;
- Describes **best practices** related to evaluation processes;
- Offers **next steps** for moving from problematic to best practice related to evaluation processes.

Definition of Evaluation Processes

There are several processes in an evaluation system that influence the fairness and usefulness of the system, including:

1. **Performance review cycles** define steps through which principal supervisors assess principal practice and identify areas of strength and growth.
2. **Evidence collection process** defines the evidence collected and reviewed as part of the evaluation — including clarity on principal versus principal supervisor responsibilities for collecting evidence.
3. **Feedback process** defines expectations and norms for frequency and nature of feedback, including verbal and written feedback.
4. **Evaluator training and calibration process** defines the steps and activities undertaken to establish initial interrater reliability among principal supervisors. The evaluator training and calibration process also defines steps taken to ensure principal supervisors are normed over time and are aligning their ratings with any established targets for performance bands.
5. **Decision rules for scoring and using scores** define how evidence will be scored and combined to determine an overall summative score. These processes also specify how scores can be appealed as well as policies for how the results can be used, particularly for high-stakes decisions such as compensation and placement.
6. **Revision process** clarifies expectations for frequency, ownership, and steps for continuously refining and improving the principal evaluation process — who will get feedback on the process, when will that feedback cycle happen, and who is ultimately responsible for it.

Problematic (Yet Common) Practice vs. Best Practice in the Evaluation Process

The following figure compares and contrasts problematic and best practices for each of the elements of the evaluation process.

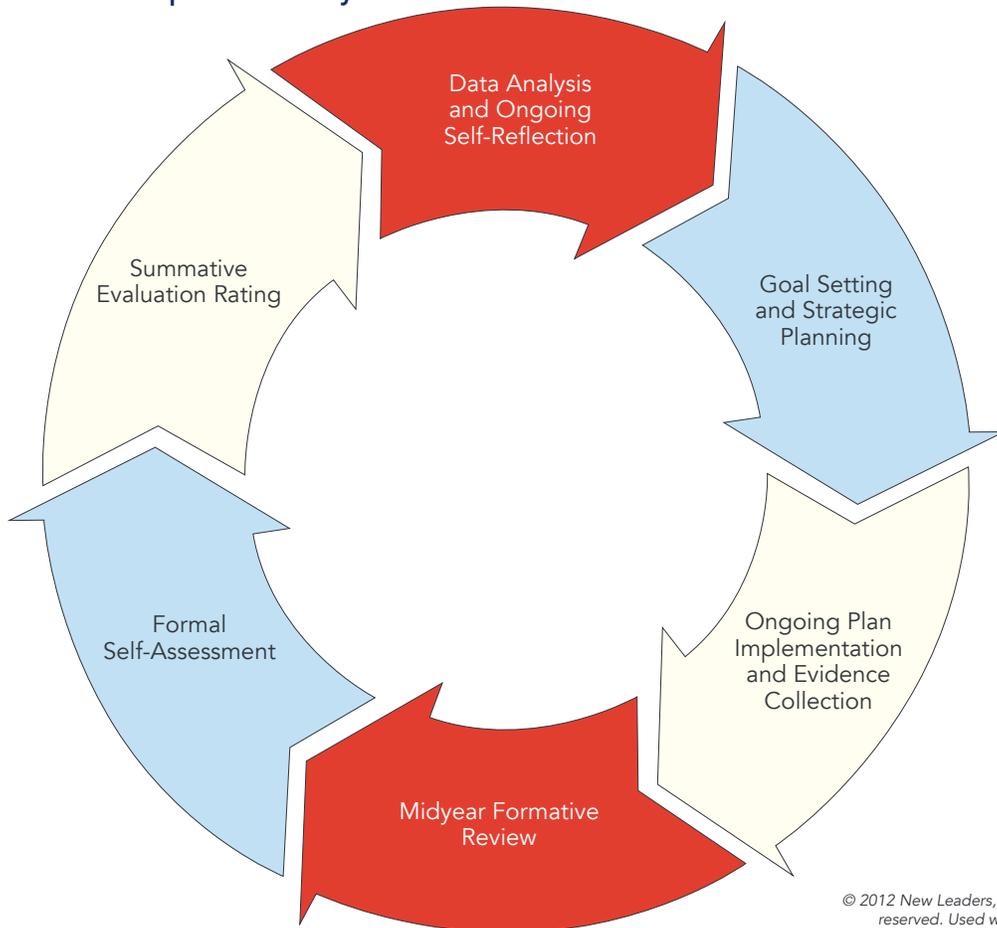*Figure 7. Problematic vs. best evaluation process practices*

Process	Problematic Practice	Best Practice
Performance review cycle	Review cycles are incomplete because they only consist of no more than three steps, such as: 1) An initial meeting in the fall to set goals with the supervisor (these goals may or may not be connected to a district leadership framework, strategic plan, or campus plan); 2) Sometimes there is a midyear conversation where the supervisor shares perspectives to date, including highlighting any areas that need improvement or additional evidence; and 3) A final assessment at the end of the year when the supervisor provides an overall formal assessment. Results typically sit on a shelf and are only discussed during the formal two or three conversations. As a result, the evaluation process and results do not have meaningful impact on practice.	Performance review cycles are an iterative and transparent process. They begin with a goal-setting process in which the supervisor and principal discuss expectations for the year, referencing the leadership framework and also establishing clarity of what that practice looks like in the context of a particular school. Principal supervisors are clear about what they will be looking for each principal to accomplish in his/her school, and what leadership practices will need to be leveraged and improved to accomplish those goals. The supervisors identify supports they will provide and are transparent about when and how they will collect evidence to determine whether expectations have been met. The process continues to be frequent and iterative. For example, the principal supervisor makes regular connections to the evaluation when deciding and/or discussing how to focus supervisor time on school visits. The process includes useful tools for capturing evidence, self- and supervisor assessments, and tracking progress over time. See Figure 7 for recommendations from New Leaders on evaluation process.
Evidence collection	No guidelines are given regarding the type and amount of evidence that should be collected. Principals and principal supervisors lack clarity on who is responsible for collecting and documenting the evidence. As a result, principal supervisors have insufficient evidence to inform ratings.	The district provides clear guidelines regarding the type and amount of evidence that should be collected and considered for each competency or indicator in the leadership framework. The guidelines clearly specify whether principals are responsible for "burden of proof" by collecting a portfolio of evidence or whether principal supervisors are expected to collect and document the evidence.
Feedback Process	Feedback provided by the supervisor is not aligned to the leadership framework. The frequency and nature of feedback varies across principal supervisors with no clear guidelines for "good" feedback. The feedback — and principals' actions in response to feedback — are not tracked.	Feedback is aligned to the leadership framework. There are consistent norms across principal supervisors for the frequency and nature of verbal and written feedback provided to principals. For example, it is expected to be actionable, bite-sized, and measurable. The feedback is tracked throughout the year. Supervisors use a feedback tracker, which also serves as documentation that feedback is frequent, the principal is responsive to feedback, and that support is being provided in alignment to principal's professional learning needs.
Evaluator training and norming	Evaluator training may be detailed and/or long, but simply covers logistics such as deadlines, guidelines, and instructions on navigating technology systems that support evaluation data capture and scoring. The training might review the rubric but does not engage principal supervisors in exercises to establish interrater reliability.	Evaluator training covers logistics simply and clearly. Majority of training time is spent engaging principal supervisors in norming conversations. For example, the training might entail having principal supervisors present low-inference evidence for 1-3 principals, separately rate the principals based on that evidence, and then discuss until they build consensus. (See the "districts to watch" section for an example from Cleveland of the principal supervisor norming process.) The norming conversations occur at the beginning of the year and then again before final scoring decisions are made. The district sets distribution targets that indicate the percentage of principals who should be scored at each performance level.

Figure 7. Problematic vs. best evaluation process practices (continued)

Process	Problematic Practice	Best Practice
Decision rules for scoring and using scores	There is not a clear or consistent process for determining a final summative score. Principals lack transparency on how their evaluation scores will be used to inform other decisions.	Districts clearly and transparently define how evidence will be scored and combined to determine an overall summative score. These processes also specify how scores can be appealed as well as policies for how the results can be used, particularly for high-stakes decisions such as compensation and placement.
Revision Process	There is no revision process. The district does not anticipate needs for revision and expects the evaluation system will remain static for several years.	Districts clarify expectations for frequency, ownership and steps for continuously refining and improving the principal evaluation process. The revision process is planned, transparent, informed by data collected from principals, and intentionally provides a thoughtful cadence that allows for enough time for users to appropriately acclimate to existing competencies while transitioning to revised competencies. While revisions happen, the district works to ensure consistency over time so that principals are not needing to reacclimate to a new system every few years.

Figure 8. New Leaders recommendations for the evaluation process[1]

The Continuous Improvement Cycle

Data Analysis and Ongoing Self-Reflection

Goal Setting and Strategic Planning

Ongoing Plan Implementation and Evidence Collection

Midyear Formative Review

Formal Self-Assessment

Summative Evaluation Rating

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1   New Leaders (2012).

Next Steps: Moving from Problematic to Best Practice in the Evaluation Process

Districts can take the following steps to strengthen processes in their principal evaluation system:

- **Assess** your processes to determine whether and what revisions are necessary.

To what extent do you agree...	Strongly Disagree	Disagree	Agree	Strongly Agree
Our performance review cycle is iterative and consists of more than 2 or 3 compliance-based check-ins.				
Our evaluators are normed.				
Our district provides clear guidelines regarding the evidence to be collected, and everyone knows who should be collecting that evidence.				
Our district has a process for revising the evaluation system.				
Principal supervisors are expected to tie feedback conversations to the leadership framework, and they have ample opportunities to give feedback.				
There is a common understanding of what "good" feedback between a principal supervisor and a principal looks like in the district.				
Our district has a clear and transparent definition of how the evidence will be scored and combined for an overall summative rating for principals.				

- **Create a performance review cycle** that is tightly aligned with the cadence of principal supervisor interactions with their principals and the professional learning plans.
- **Incorporate suggested evidence sources** for each indicator into leadership framework rubrics.
- Ensure that **evaluator training** establishes interrater reliability and provides opportunities for ongoing refinement to increase consistency.
- **Anticipate needs for revising** the evaluation system and establish clarity on ownership, timing and process for addressing those needs.

We believe that one high-impact activity that could be immediately implemented to improve the evaluation process is to norm the evaluators. See the Cleveland case study below for more information.

Key Component #4: Connections to Professional Growth

This section:
- Provides a **definition** of connections to professional growth;
- Describes **problematic (yet common) practice** related to connections to professional growth;
- Describes **best practices** related to connections to professional growth;
- Offers **next steps** for moving from problematic to best practice related to connections to professional growth

Definition of Connections to Professional Growth

Districts can provide several different types of opportunities for principals' professional growth, such as:
- Structures to set individual, annual development goals;
- Individualized coaching and feedback on leadership practice;
- Peer learning communities;
- Mentoring and advisement from an assigned peer or retired principal;
- Group professional development sessions;
- Financial support to attend workshops and conferences.

Problematic (Yet Common) Practice in Making Connections to Professional Growth

Lack of Alignment Between Goals and Evaluation Results: When districts have principals set personal goals, they are often not explicitly linked to growth areas identified in the performance evaluation. Some districts have principals set goals as part of the performance evaluation process that are actually school goals (e.g., student outcome targets), not professional practice goals (e.g., improve principal skills related to teacher coaching). The most important professional growth opportunities for principals can often be provided by their principal supervisor.

Unmanageable Case Loads: Principal supervisors often have insufficient bandwidth or expertise to provide individualized coaching and support to principals. One challenge is that principal supervisors have large caseloads (24 on average according to a Council of Great City Schools report).[1] In these cases, principal supervisors may only have time for the two-three formal observations required by the evaluation process (if that). Another challenge for principal supervisor coaching is that supervisors are often reluctant to provide negative feedback (even if constructive) because the district culture discourages such feedback.

Disconnected Group Professional Development: Finally, structured opportunities to provide group professional development for principals — such as during monthly principal meetings — are usually not informed by individual learning needs. Too often, these group meetings are focused on information that district leaders need to distribute (e.g., new logistical processes and technology systems for managing special education referrals) rather than on the leadership practices their principals need to improve.

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1   Council of Great City Schools (2013). Principal Evaluations and the Principal Supervisor: Survey Results from the Great City Schools.

Best Practice in Making Connections to Professional Growth

Strong performance evaluation systems use evaluation results to inform professional growth.[1]

Manageable Case Loads: They lower principal supervisor caseloads so that they have bandwidth to regularly observe and provide feedback to principals on their practice. Experts suggest 8-12 is an optimal caseload. In addition, districts with strong performance evaluation systems ensure that those in the principal supervisor role have the skills and talents to really coach the principals who work for them. During school visits, supervisors collect evidence that informs the evaluation and provide feedback that explicitly addresses leadership practice. In other words, it goes beyond feedback on instruction or school processes and explicitly specifies the leadership "moves" that a principal should make to support improvement in instructional and leadership practices.

Clear Linkages Between Goals and Evaluation Results: Summative evaluation ratings give principals a clear sense of their relative strengths and areas for growth. Each principal uses the results to identify — in partnership with their supervisor — at least one to three areas of growth. For each area, they also identify a leadership practice SMART goal the principal will work toward to demonstrate proficiency in the competency area. These goals are separate and additional to school improvement goals because they explicitly name leadership competencies from the district's leadership framework they will seek to improve. Figure 8 provides examples of professional practice SMART goals from Denver, which specify the results expected from a focus on particular leadership competencies. Districts that have strong connections between evaluation and professional development also provide various and numerous learning opportunities, including structured opportunities (e.g., attending a specific workshop) as well as social and job-embedded opportunities (e.g., focused feedback from a supervisor).

Figure 9. Examples of professional growth goals from Denver Public Schools

Competency Area of Growth	Indicator	Professional Practice SMART Goal
Instructional Expertise: Builds, develops and empowers the school's Instructional Leadership Team to ensure all students engage in joyful, rigorous and personalized learning and demonstrate high academic achievement.	**Use of Student Data:** Ensures selection and implementation of a school-wide assessment strategy that leads to teacher data analyses and action plans that improve student outcomes.	By DATE, #% of teachers will obtain a proficient implementation rating on both data-driven instruction practices in [their performance rubric].
Personal and Values: Inspires others through values-driven, reflective and resilient leadership.	**Communication + Influence:** Communicates in a compelling and adaptive manner that builds trust and buy-in of all stakeholders.	Of staff members who respond to my CollaboRATE Survey, at least #% will respond with a favorable rating (agree or strongly agree) on the indicators "values me" (#% in 2016) and "motivates me" (#% in 2016).

The process encourages principals to pursue professional development opportunities that align with their professional practice goals (as opposed to their interests). The professional learning plan also influences day-to-day decisions and focus of the principal supervisor, such as:
- When to visit a particular school, to maximize opportunities to observe and provide feedback on individual principal's growth areas;

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1   Anderson & Turnbull (2016).

- How to focus a feedback conversation, so that it provides explicit feedback on growth areas;
- Whether and how to deploy other district staff, so that the principal has support from other district staff related to their areas of growth;
- How to set up professional learning communities of principals, to enable principals with similar areas of growth to work together;
- How to focus group meeting time (e.g., monthly principal meetings), to address common areas of growth;
- Which external experts to invite into the district to provide training, coaching, and consulting for principals.

District leaders also use professional learning goals of all principals in their district to inform decisions regarding how to focus group professional development time.

Next Steps: Moving from Problematic to Best Practice in Making Connections to Professional Growth

Districts can take the following steps to strengthen their principal evaluation system:

- **Assess** connections with professional development to determine whether and what revisions to your principal evaluation system are necessary.

To what extent do you agree...	Strongly Disagree	Disagree	Agree	Strongly Agree
Our evaluation process helps principals identify targeted professional learning goals tied to the leadership framework and other district priorities, and helps measure progress towards those goals.				
Our principal supervisor caseload is small enough that they can provide feedback on principal practice.				
Our principal supervisors have the knowledge and skills — as well as prior experience — to effectively support principal growth and school improvement.				
Our district provides learning opportunities in support of principals' individual learning goals. Most of these are job-embedded.				

- Ensure the performance evaluation process will **clearly identify areas of growth** that should be the focus of professional learning.
- **Align professional learning growth plans** and offerings with the evaluation process.
- Adjust **principal supervisor caseloads** to an optimal number (8-12) in order to allow them the bandwidth to consistently support principals.
- Ensure that **principal supervisors have the skills, and knowledge** to use the evaluation tool to improve principal professional growth.

Districts to Watch

The following districts are illustrative examples of the best practices in action. They include:

- Dallas Independent School District
- Cleveland Metropolitan School District

Dallas Independent School District (ISD)

Dallas ISD revised its principal evaluation system in 2013-14 as part of a larger initiative to revamp evaluation systems for all staff, including teachers and other staff throughout the district. The district was motivated to focus on this work based on best practices coming out of the Gates Foundation-funded Measures of Effective Teaching (MET) study.

The district revised the teacher evaluation system in 2014-15, and strategically decided to revise the principal evaluation system a year ahead of revising the teacher system. According to one person who led this work, "When they [principals] have lived and walked it for a year, it makes it easier to move to the teacher system."

The district worked simultaneously to revise the leadership framework and to determine the measures and processes that would be used to determine principals' overall performance ratings. The framework revision process was supported by an external consulting group that helped the district organize meetings with various stakeholder groups, such as employee associations, principals, and principal supervisors.[1] The district created draft rubrics and solicited feedback on those rubrics, using a survey to gather feedback from a large group. The district then field-tested the rubrics, which led to further tweaking of the language. As illustrated in Figure 9, the rubric describes key actions for each indicator and defines performance at four levels: exemplary, proficient, progressing, and unsatisfactory.

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[1] See the Dallas Independent School District website to learn more about the Principal Excellence Initiative and the overall evaluation model: https://www.dallasisd.org/Page/41972.

Figure 10. Excerpt of Dallas ISD Principal Performance Rubric[1]

PEI Performance Rubric   1

Performance Domain

Domain 1: Executive Leadership
The principal establishes and implements a shared vision and culture of collective responsibility with high expectations for staff and students.

Indicator

Indicator 1.1: Vision: Establishes and maintains a shared vision of success

Performance level

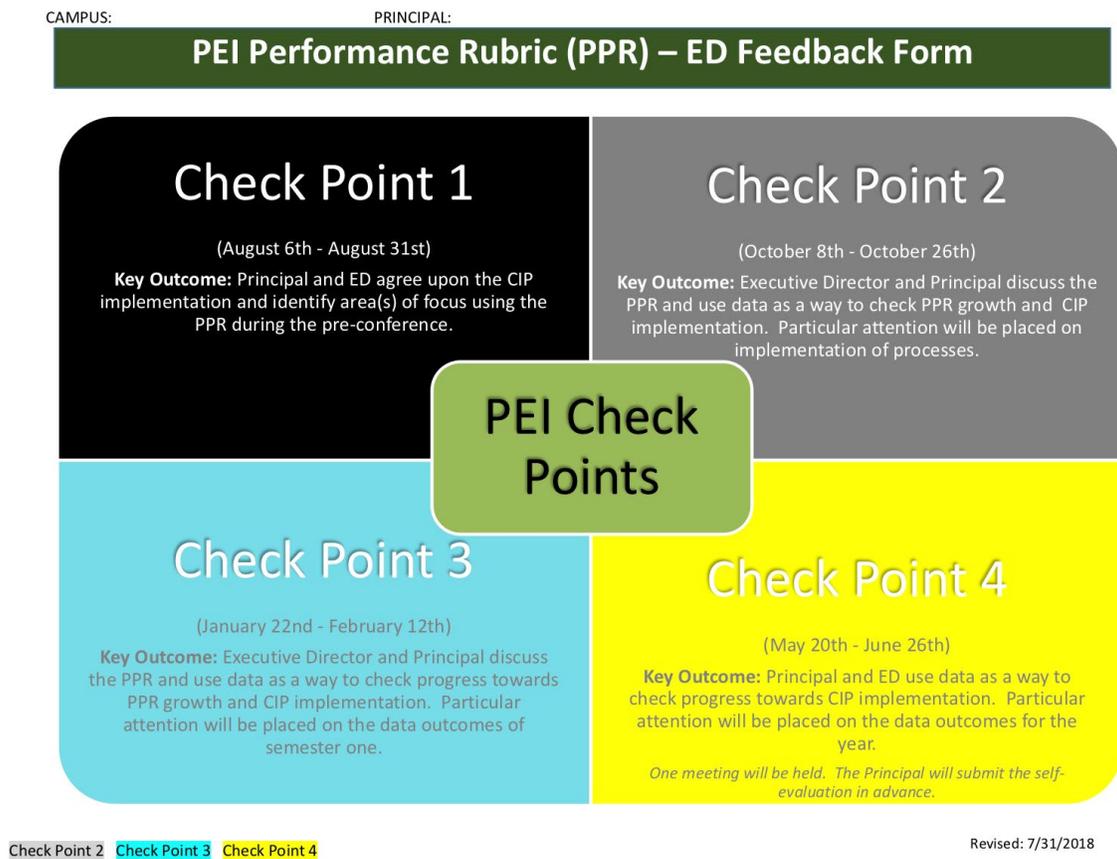| CORE ACTIONS	EXEMPLARY	PROFICIENT	PROGRESSING	UNSATISFACTORY
Performance Descriptors • Inspires and gains the commitment of stakeholders (students, parents, community, teachers and staff) towards the vision, mission, values and organization's goals • Develops an *"actionable picture of success"* and staff members understand what success looks like. • Makes decisions that are aligned to and support the school vision.	Engages the staff in creating a shared vision of what the school is about and where it is going. Maintains and proactively inspires students and adults to embrace a culture of equity, inclusivity, and high expectations for all Collaboratively develops a strategic plan and school practices that demonstrate an ethical responsibility for student opportunity, access and improved outcomes beyond the present year. Ensures all decisions are aligned to and support the school vision.	The principal has a vision of what the school is about and where it is going. Maintains a culture of equity, inclusivity and high expectations for all Strategic plan and school practices produce continual improvement in student achievement Makes decisions aligned to and in support of the school vision	The principal has a vision, but that vision is not translated into student achievement for the school. Provides some opportunities that support a culture of equity, inclusivity, and high expectations Strategic plan and school practices lack purpose for some staff members. May consider the school vision when making decisions	The principal cannot articulate a vision for the school. Rarely attempts to establish a culture of equity, inclusivity and high expectations Strategic plan and school practices lack purpose and do not lead to school improvement; staff members lack direction. Makes decisions without considering alignment with the school vision

Last Revision: 7/31/2018

The district finalized the rubric by May so that principal supervisors (called Executive Directors or EDs in Dallas) could be trained over the summer. "The rubric and evaluation process has to be locked down before the [training] process begins in the summer. You don't want to make unnecessary changes during the year. It's not fair to principals if you change language in the middle of the year." In Dallas ISD's experience — across rubric development for all groups — November to April is the ideal time to create and finalize the framework.

Dallas ISD continues to refine the principal evaluation process to make it as useful and meaningful as possible. For example, the number of checkpoints between principals and their supervisor was increased from three to four for the 2017-18 school year. (See Figure 10 for a description of the four checkpoints.) This change came at the request of the supervisors who wanted the evaluation process to more closely align with other systems and timelines they were using to structure their work with principals and their schools.

CAMPUS: PRINCIPAL:

PEI Performance Rubric (PPR) – ED Feedback Form

Check Point 1

(August 6th - August 31st)

Key Outcome: Principal and ED agree upon the CIP implementation and identify area(s) of focus using the PPR during the pre-conference.

Check Point 2

(October 8th - October 26th)

Key Outcome: Executive Director and Principal discuss the PPR and use data as a way to check PPR growth and CIP implementation. Particular attention will be placed on implementation of processes.

PEI Check Points

Check Point 3

(January 22nd - February 12th)

Key Outcome: Executive Director and Principal discuss the PPR and use data as a way to check progress towards PPR growth and CIP implementation. Particular attention will be placed on the data outcomes of semester one.

Check Point 4

(May 20th - June 26th)

Key Outcome: Principal and ED use data as a way to check progress towards CIP implementation. Particular attention will be placed on the data outcomes for the year.

One meeting will be held. The Principal will submit the self-evaluation in advance.

Check Point 2 Check Point 3 Check Point 4

Revised: 7/31/2018

In general, the revised principal evaluation system was implemented with buy-in from all the relevant stakeholders. Leaders of the work credit the messaging, which focused on what the district would be able to do with improved evaluation measures — such as how it would help the district provide more targeted professional development and enable efforts to improve recruitment, retention, promotion, and ability to address equity across the district — rather than talking about evaluation in and of itself.

Cleveland Metropolitan School District (CMSD)

Over the past six years, the Cleveland Metropolitan School District has been working to redefine the principal supervisor role to be more focused on providing principals with support. They have become increasingly focused on providing principals with job-embedded, ongoing professional development to strengthen their instructional leadership skills and keep current with evolving student standards and best practices for teaching and learning.

In 2013-14, the district decreased supervisors' span of control from 25-30 principals to 15-20 by increasing the number of supervisors from four to six. Two of the original four supervisors remained in the role and the district hired four new supervisors (two of whom were brought on midyear). CMSD also hired an Executive Director of Network Leadership Development to provide training and support to the principal supervisors.

The training began in summer 2014 and focused on building a common vision of effective instruction, a common vision of effective leadership, and a common approach to leadership coaching. The training started with a focus on evaluation and the leadership framework as a lens for defining and building common understanding of high-quality instruction.

The team used the evaluation tools to conduct learning walks together and define effective practice. They observed videos of teacher and principal practices and reviewed fictional case studies together. Then they used the rubric to identify principals' areas of growth and identify recommendations for improvement.

In the middle of 2015-16, each principal supervisor was asked to discuss principal ratings at a principal supervisor meeting. They each brought evidence for a principal they were going to rate at each level of the rubric. They presented each principal, including how they planned to rate the principal on each line of the rubric and the evidence they were using to justify the rating. These conversations were particularly powerful for building common understanding of "what good practice looks like" and for enabling interrater reliability among principal supervisors in how they interpreted and applied the rubric.

These discussions were described as "powerful" because they surfaced how differently each supervisor was interpreting common data, which provided motivation to work toward a more uniform understanding. Through this exercise, district leaders also realized that the overall scores — which tended to rate principals as proficient or accomplished — were inflated compared to actual practice. Since the scores were high and lacked variability, the district was not able to use the scores to recognize areas of relative strength or to provide effective support for areas of growth.

As a result of the conversations and a commitment to more accurately reflect the variability of principals' skills, 20 principals who were rated "accomplished" going into the meetings were no longer rated "accomplished" after the conversations. Rather than meaningless ratings that suggested every principal was accomplished, the final ratings reflected the true variation in principal performance.

Principal supervisors also received training on coaching leaders and practiced providing feedback to principals:

> *Part of the challenge was a midwestern culture of "nice" in which people did not give each other critical feedback. And, there was not trust. So, supervisors would say, "You were really good." … By the end of the first year, instead of saying the leader looked "good," we were using descriptive language and using low-inference data to support claims.[1]*

The training helped principal supervisors to understand the value in taking low-inference notes so they could ground feedback conversations in objective data.

1   Ikemoto & Waite (2018).

The training also served to broaden the lens and look-fors that principal supervisors used when they observed instruction. The group identified common indicators of rigor that they would focus on during their instruction, such as alignment to student standards:

> *In the beginning, there were some people who would go into every classroom and they would look for lesson plans and that was their go-to. There were other people who would say, "I am looking for 'I Can statements' on the board." What was broken is that … we had people talking about classroom management and pedagogy but not about quality and content of instruction. It could be a great lesson, but if it's not aligned to standards, that's a problem. We spent a lot of time [looking for and discussing] "was that task aligned to the standard?"*

Principal supervisors continued to be responsible for evaluating principals and supporting principals' professional growth plans aligned with the evaluations. At the beginning of the year, principals completed a self-assessment and reviewed school-level data to identify two goals in their professional growth plan (one goal focused on student achievement and another goal focused on their leadership practice). Each principal supervisor met with their principals to agree upon the goals and support principals in creating an action plan and identifying milestones against which to monitor progress. Principal supervisors provided their principals with informal feedback related to their goals on an ongoing basis during their regular school visions. They also provided a formal rating during the mid-year review conference and end-of-year conference, but the overall evaluation experience was more supportive of growth. In the words of one principal,

> *Before the shift, I had one supervisor...I saw once in five years. And my evaluations were quite perfunctory. Once we shifted over to this model and reduced the number of schools, [I saw my supervisor] monthly at least and possibly slightly more. We had conversations on a pretty regular basis. It shifted from perfunctory evaluations to actual evaluation conversations around how I can improve my actual needs and where did I want to get better. It was more of a coaching model instead of check boxes and making sure we are sending information to the state so that we're in compliance. It was a huge shift in terms of personal support.[1]*

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1   Ikemoto & Waite (2018).

Learn More

This guidebook on principal performance evaluation is designed to be a resource for district leaders who want to improve their own evaluation systems. Districts teams will need to focus on all four elements of a strong system: a leadership framework that clearly defines skills and knowledge of effective principals; multiple measures triangulated to assess principals; well-designed and fair processes for conducting evaluations; and mechanisms for making connections to principals' professional growth. In addition, principal performance evaluation systems should be linked to other principal talent management areas, such as: Preparation, Recruitment and Selection, Professional Learning, Compensation and Incentives, and Working Environment.

In addition to what we have highlighted in this guidebook, we have also included several appendices for your reference. These include:

- Appendix A: Summary of Best Practices — one-page summary of best practices for each of the four components of principal performance evaluation.
- Appendix B: Additional Resources — recommended resources designed specifically to support district leaders working to improve principal performance evaluation, as well as an annotated bibliography.
- Appendix C: Crosswalk of Principal Evaluation Systems — chart summarizing various approaches to evaluation system components, including systems designed by districts, states and national organizations.
- Appendix D: Examples of Competencies and Indicators — examples of how districts, states and national organizations have organized competencies and indicators in their school leadership frameworks.
- Appendix E: Chesterfield County Public Schools Principal Evaluation Calibration Exercises — description of exercises that Chesterfield County Public Schools has used to norm principal supervisors on expectations for principals.
- Appendix F: Identifying Strategies for Improving Principal Evaluation Systems — reflection tool to guide district leaders in reflecting on their current system and identifying strategies for improvement.

Appendix A: Summary of Best Practices in Principal Performance Evaluation

The Bush Institute has distilled prior learning from research and practice into four key components of principal performance evaluation.

1. An **aligned leadership framework** that clearly defines skills and knowledge of effective principals;
2. A **variety of measures** triangulated to assess principals;
3. Well-designed **evaluation processes** for conducting and ensuring quality of evaluations;
4. Mechanisms for making **connections to principals' professional growth**.

This appendix summarizes the best practices for each component.

Aligned Leadership Framework: The district has a high-quality school leadership framework that defines competencies and indicators against which school leadership performance is assessed. This framework was developed with active stakeholder involvement and is tightly aligned with research as well as with other components of principal talent management (e.g., selection processes, development).

Variety of Measures: Evaluations are based on a variety of measures that are valid, reliable, and respected by principals. These measures might include: principal supervisor observation ratings; perception surveys of teachers, parents, students or community members; human resource indicators; goal attainment; student achievement measures; or other student outcome measures. Districts work to optimize conditions that enable validity of their chosen measures.

Evaluation Processes: Performance review cycles are regular, iterative, and transparent with clear guidelines regarding the evidence that should be considered and the frequency and nature of feedback supervisors should provide. Evaluation is conducted by supervisors who are well-trained and calibrated. The district clearly and transparently defines the decision rules for scoring and using scores. Finally, the district has a revision process for continuously improving the principal evaluation process over time.

Connections to Professional Growth: Principal supervisors have caseloads that provide enough bandwidth for them to regularly observe and provide feedback to principals on their practice. The summative evaluation ratings give principals a clear sense of their relative strengths and areas of growth. Districts use this information to inform the professional learning support they provide to principals.

Appendix B: Additional Resources for Principal Evaluation

This appendix contains resources that provide additional explanations, examples, and tools that your district may find useful as it develops a common definition of effective performance evaluation and works to create and implement strategies that improve performance evaluation for your principals. The four documents listed under *Key Resources* are recommended reading for everyone doing this work. The *Annotated Bibliography* offers additional resources, many of which greatly informed the ideas presented in the guidebook.

Key Resources

These resources are only a sample; each district cohort team has an advisor who can help you identify additional resources depending on your needs.

Title: Evaluating and Supporting Principals
Link: https://www.wallacefoundation.org/knowledge-center/Documents/Building-a-Stronger-Principalship-Vol-4-Evaluating-and-Supporting-Principals.pdf
Source: Policy Studies Associates
Publication Year: 2016
Description: The report describes a number of facets of how districts in the Wallace-funded Principal Pipeline Initiative sought to refine principal evaluation and support, including:

- Using evaluation to help principals improve rather than to penalizing them for shortcomings;
- Emphasizing both student achievement and sound principal work practices in the performance assessments;
- Encouraging regular conversations between principals and their supervisors;
- Shifting the focus of the principal supervisor job from overseeing compliance with regulations to helping principals succeed as "instructional leaders."

Title: Enhancing Capacity for Standards-Based Leadership Evaluation: State and District Roles
Link: https://drive.google.com/file/d/1XQgI4yr3QMi5PJP5k3cRrsQkxFE1xusa/view
Source: Council of Chief State School Officers
Publication Year: 2013
Description: This report addresses important dimensions of the educational leadership career pipeline that ensure effective evaluation. Based on a review of the standards and evaluation work of large urban and metropolitan districts across the country, the report shares six key lessons: 1) Develop a common understanding of the role of school leader; 2) Design standards to address leadership needs of individual district contexts; 3) Follow a well-conceived and collaborative process to develop/adapt standards and keep them relevant; 4) Ensure leadership standards drive each component of the leadership pipeline; 5) Individualize evaluation and support for school leader professional growth and development; and 6) Focus the work of principal supervisors on development and evaluation.

Title: Principal Evaluation Toolkit: Resources for Building Strong Principal Evaluation Systems
Link: https://newleaders.org/research-policy/principal-evaluation-toolkit/
Source: New Leaders
Publication Year: 2012
Description: This toolkit describes a model principal evaluation system that districts can easily adapt to their local context, so they can prioritize the difficult and critical work of implementing a principal evaluation system that supports continuous development and meaningful school improvement. This toolkit also provides a model principal evaluation rubric, as well as implementation training modules to help districts develop a system that improves principal practice and elevates school and student performance.

Title: Principal Evaluation Practical Guide: Interactive Online Version
Link: https://gtlcenter.org/tools-publications/online-tools/principal-evaluation
Source: Center on Great Teachers & Leaders at American Institutes for Research
Publication Year: 2014
Description: This tool guides principal evaluation system designers through a set of questions they should consider related to: evaluation system goals; stakeholder investment and communication plan; selecting measures; system structure; evaluators; data integrity; using results; and system evaluation.

Annotated Bibliography

American Institutes for Research (2016). The Professional Standards for Educational Leaders (PSEL). 2015 and the Interstate Leaders Licensure Consortium (ISLLC) Standards 2008: A Crosswalk. Washington, DC. Retrieved from https://gtlcenter.org/sites/default/files/PSEL_ISLLC_Crosswalk.pdf
This document provides a side-by-side comparison of the 2015 PSEL standards with the 2008 ISLLC standards, including a discussion of the overall thematic differences between the standards (Table 1). In addition, a detailed comparison of the 31 functions (i.e., the individual items under each standard) that are part of the 2008 ISLLC standards and the 83 elements of the 2015 PSEL is provided.

Anderson, L.M. & B.J. Turnbull (2016). Evaluating and Supporting Principals. Washington, DC: Policy Studies Associates. Retrieved from https://www.wallacefoundation.org/knowledge-center/Documents/Building-a-Stronger-Principalship-Vol-4-Evaluating-and-Supporting-Principals.pdf
The report describes a number of facets of how districts in the Wallace-funded Principal Pipeline Initiative sought to refine principal evaluation and support, including:
- Using evaluation to help principals improve rather than to penalize them for shortcomings;
- Emphasizing both student achievement and sound principal work practices in the performance assessments;
- Encouraging regular conversations between principals and their supervisors;
- Shifting the focus of the principal supervisor job from overseeing compliance with regulations to helping principals succeed as "instructional leaders."

Branch, G., Hanushek, E., & Rivkin, S. (2009). Estimating Principal Effectiveness. Working Paper 32. *National Center for Analysis of Longitudinal Data in Education Research.* Retrieved from https://pdfs.semanticscholar.org/686b/9a95134f5d2045de44202859d93ebe83f53c.pdf
Much has been written about the importance of school leadership, but there is surprisingly little

systematic evidence on this topic. This paper presents preliminary estimates of key elements of the market for school principals, employing rich panel data on principals from Texas State. The consideration of teacher movements across schools suggests that principals follow patterns quite similar to those of teachers — preferring schools that have less demands as indicated by higher-income students, higher-achieving students, and fewer minority students. Looking at the impact of principals on student achievement, the authors find some small but significant effects of the tenure of a principal in a school. More significant, however, are the estimates of variations in principal effectiveness. The variation in principal effectiveness tends to be largest in high-poverty schools, consistent with the hypothesis that principal ability is most important in schools serving the most disadvantaged students. Finally, considering principal mobility, the authors find that principals who stay in a school tend to be more effective than those who move to other schools. (Contains 9 tables and 8 footnotes.)

Branch, G. F., Hanuschek, E.A., & Rivkin, S.G. (2013). School leaders matter: measuring the impact of effective principals. *Education Next, 13*(1). **Retrieved from http://hanushek.stanford.edu/sites/default/files/publications/Branch%2BHanushek%2BRivkin%202013%20EdNext%2013%281%29.pdf**

It is widely believed that a good principal is the key to a successful school. No Child Left Behind encouraged the replacement of the principal in persistently low-performing schools, and the Obama administration made this a requirement for schools undergoing federally funded turnarounds. Foundations have invested millions over the past decade in New Leaders for New Schools, an organization that recruits nontraditional principal candidates and prepares them for the challenges of school leadership. And the recently launched George W. Bush Institute is making the principalship a focus of its activities. Yet until very recently there was little rigorous research demonstrating the importance of principal quality for student outcomes, much less the specific practices that cause some principals to be more successful than others. As is often the case in education policy discussions, we have relied on anecdotes instead.

This study provides new evidence on the importance of school leadership by estimating individual principals' contributions to growth in student achievement. Our approach is quite similar to studies that measure teachers' "value added" to student achievement, except that the calculation is applied to the entire school. Specifically, we measure how average gains in achievement, adjusted for individual student and school characteristics, differ across principals — both in different schools and in the same school at different points in time. From this, we are able to determine to what extent effectiveness varies from one principal to the next.

Our results indicate that highly effective principals raise the achievement of a typical student in their schools by between two and seven months of learning in a single school year; ineffective principals lower achievement by the same amount. These impacts are somewhat smaller than those associated with having a highly effective teacher.

Branch, G. F., Hanushek, E. A., & Rivkin, S. G. (2012). *Estimating the effect of leaders on public sector productivity: The case of school principals* **(No. w17803). National Bureau of Economic Research. Retrieved from https://www.nber.org/papers/w17803.pdf**

Although much has been written about the importance of leadership in the determination of organizational success, there is little quantitative evidence due to the difficulty of separating the impact of leaders from other organizational components — particularly in the public sector. Schools provide

an especially rich environment for studying the impact of public sector management, not only because of the hypothesized importance of leadership but also because of the plentiful achievement data that provide information on institutional outcomes. Outcome-based estimates of principal value-added to student achievement reveal significant variation in principal quality that appears to be larger for high-poverty schools. Alternate lower-bound estimates based on direct estimation of the variance yield smaller estimates of the variation in principal productivity but ones that are still important, particularly for high-poverty schools. Patterns of teacher exits by principal quality validate the notion that a primary channel for principal influence is the management of the teacher force. Finally, looking at principal transitions by quality reveals little systematic evidence that more-effective leaders have a higher probability of exiting high-poverty schools.

Brown, C., Partelow, L., & Konoske-Graf, A. (2016). Educator Evaluation: A Case Study of Massachusetts' Approach. *Center for American Progress.* **Retrieved from https://files.eric.ed.gov/fulltext/ED568078.pdf**

There has been a sea change in teacher evaluation over the past eight years. Inspired in part by President Barack Obama's policies, schools have instituted teacher evaluation systems that include multiple measures of teacher impact. Model systems are aligned to systems of continuous improvement, helping teachers identify areas of weakness in their practice and linking them with related support. This shift toward more formal systems of evaluation is essential to ensure high-quality teaching and learning. Evaluation systems are not the only lever for improving teacher quality, but when they are well-designed, they can be a critical part of teacher development and support because they provide a framework from which teachers can improve their practice. In recent years, teacher evaluation systems have come under fire in some communities. Teachers and advocates have argued that student test scores are not an accurate or fair way to assess teacher performance. Though only a small fraction of the teacher workforce has standardized testing connected to their performance evaluation, this argument has taken hold. Nevertheless, many teachers and system leaders have embraced the need to improve teacher evaluation systems so that they become tools for improving practice and ensuring teachers are receiving appropriate supports. As federal policies shift to provide states and districts greater flexibility to craft their own evaluation systems, Massachusetts offers an interesting model. It has been less controversial because test scores serve as merely a check on the system rather than a driver of it. In addition, instead of using an algorithm to determine teacher effectiveness, Massachusetts empowers school leaders to use their judgment to make these decisions. By empowering evaluators and educators — who are able to determine their own growth plans if they are high-performing — and embedding the evaluation system within a broader system of feedback and professional development, the Massachusetts model supports continuous improvement of educators.

Brown-Sims, M. (2010). Evaluating School Principals. Tips & Tools. *National Comprehensive Center for Teacher Quality.* **Retrieved from https://files.eric.ed.gov/fulltext/ED543770.pdf**

With the need to meet a set of higher accountability standards such as Interstate School Leaders Licensure Consortium (ISLLC) Standards and the AYP benchmarks of the NCLB Act, for example, school principals are faced with the knowledge that they play a vital role in school effectiveness as well as teacher retention, parent participation, and student behavior. As a result, it is important for principals to find ways to continually stay abreast of the best strategies for tackling day-to-day and long-term school issues such as acquiring and allocating resources, maintaining a clearly articulated vision that is focused on student learning, establishing trust and open lines of communication among faculty and staff, and, perhaps most importantly, providing instructional leadership. Two valuable strategies that can be used

to identify areas of improvement for individual administrators are through the use of formative and summative assessments. Formative and summative assessments for administrators serve a multitude of purposes. These assessments should be used by school districts to evaluate and assess potential areas for improvement for individual school principals in order to target professional developmental needs, and they should be adaptable enough to take into account a principal's workplace contexts (e.g., urbanicity or poverty level). This paper presents a list of important points that both the district and the building-level principals should remember before embarking on the use of formative and summative assessment to improve leadership practices.

Burkhauser, S. (2017). How Much Do School Principals Matter When It Comes to Teacher Working Conditions? *Educational Evaluation and Policy Analysis, 39*(1), 126-145. Retrieved from https://journals.sagepub.com/doi/pdf/10.3102/0162373716668028
Teacher turnover is a challenge for U.S. public schools. Research suggests that teachers' perceptions of their school working conditions influence their leaving decisions. Related research suggests that principals may be in the best position to influence school working conditions. Using 4 years of panel data constructed from the North Carolina Teacher Working Condition Survey, this study uses value-added modeling approaches to explore the relationship between teachers' perceptions of four measures of their working conditions and their principal. It finds that teacher ratings of the school environment depend on which principal is leading the school, independent of other school and district contextual factors, suggesting districts struggling with teacher turnover should assess climate and use that information to advise and support principals.

Burkhauser, S., Gates, S. M., Hamilton, L. S., Li, J., & Pierson, A. (2013). Laying the foundation for successful school leadership. 1 online resource (12 pages). Retrieved from https://www.rand.org/content/dam/rand/pubs/research_reports/RR400/RR419/RAND_RR419.pdf
Principals can influence student achievement in a number of ways — monitoring instruction; evaluating teachers; hiring, developing, and retaining school staff; maintaining student discipline; managing the school budget; establishing a school culture; and engaging with the community. While principals' skills in these areas are important, skills alone are not enough to ensure that they will be effective school leaders. This is because school and district contexts — which include school and district characteristics, practices, and policies — set the stage for principals' performance and strongly influence their effectiveness. In this report, RAND researchers provide guidance to state and district decision-makers and others who manage school systems, focusing on four areas that research has identified as particularly influential in supporting principal effectiveness: placement in the school, evaluation, autonomy, and resources. We highlight how actions in these areas can create conditions in the school and district that foster principal success.

Burkhauser, S., Pierson, A., Gates, S. M., & Hamilton, L. S. (2012). *Addressing Challenges in Evaluating School Principal Improvement Efforts.* **In (pp. 1 online resource (41 p). Retrieved from https://www.rand.org/content/dam/rand/pubs/occasional_papers/2012/RAND_OP392.pdf**
State and district policymakers, as well as other organizations, such as foundations and nonprofits, are emphasizing efforts targeting school leadership as a way to improve student outcomes. Given the focus on accountability in education, policymakers and funders are interested in evaluating whether efforts aimed at improving school leadership show results; the key criteria are gains in student achievement. The use of multiple performance measures, including student achievement outcomes, is becoming standard practice in evaluation of efforts targeting both teachers and school leaders. This report

describes the challenges that states, districts, and other entities can expect to encounter as they evaluate these efforts and offers suggestions for dealing with those challenges. RAND Education, a unit of the RAND Corporation, is engaged in a multiyear evaluation of the New Leaders program. New Leaders is an organization that recruits, selects, prepares, and supports school leaders to serve in urban schools. Through this project, the researchers have gained practical experience in the issues involved in evaluating efforts that are designed to improve school leadership. The lessons highlighted in this report derive from this experience. The challenges identified in this report can be mitigated through efforts to improve the availability and quality of data, by choosing suitable evaluation methods, and by appropriately interpreting the results of the evaluation.

Burling, K. (2012). Evaluating teachers and principals: Developing fair, valid and reliable systems. *Pearson Center for Educator Effectiveness.* **Retrieved September 10, 2012. Retrieved from https://www.state.nj.us/education/archive/EE4NJ/resources/roadmap.pdf**
This document is designed to guide stakeholders in developing educator effectiveness systems. We offer six considerations for establishing a fair and valid system:
1. Define the construct: what is an effective educator?
2. Deploy multiple indicators: what evidence characterizes good teaching and school leadership?
3. Develop a clear composite rating: what weights should each indicator have and who should be involved in the decision?
4. Clarify differentiated performance levels: what distinguishes varying levels of educator effectiveness?
5. Build strong data analysis and reporting tools: what does the information reveal about student, educator, and school performance?
6. Improve instructional and leadership practice: how can the information target professional development to boost educator practice, student learning outcomes, and school efficacy.

Carbaugh, B.G. & Marzano, R.J. (2018). *School Leadership for Results: A focused model (2nd Edition).* **West Palm Beach, FL: Learning Sciences International**
In 2015, *School Leadership for Results: Shifting the Focus of Leader Evaluation* provided a thorough exploration of the Marzano School Leader Evaluation Model and a practical guide to meeting the challenges of fair and accurate evaluation of instructional leaders. It encouraged schools all over the world to change their approach to leader evaluation, shifting the focus from simple measurement to real, effective evaluation based on growth.

Research into school leader evaluation has continued to evolve, and so has the Marzano School Leader Evaluation Model. Here in *School Leadership for Results: A Focused Model*, Beverly G. Carbaugh and Robert J. Marzano update their seminal work to reflect the most up-to-date literature and understanding of leadership roles and responsibilities, translating the research into six domains of action every school can take:
- Keeping a Data-Driven Focus on School Improvement
- Teaching a Visible and Guaranteed Curriculum
- Fostering Continuous Development of Teachers and Staff
- Creating a Community of Care and Collaboration
- Maintaining Core Values
- Managing Resources Effectively

Casserly, M., Lewis, S., Simon, C., Uzzell, R., & Palacios, M. (2013). Principal Evaluations and the Principal Supervisor: Survey Results from the Great City Schools. *Council of the Great City Schools.* **Retrieved from https://files.eric.ed.gov/fulltext/ED543309.pdf**
Principals serve as both instructional and administrative leaders in their schools. Their roles and responsibilities vary from managing school compliance issues to facilitating and assisting teachers with their instructional duties. In order to support principals in public schools, district leaders and others are working to build the kinds of professional development, organizational structures, and supports principals need. Moreover, big-city school systems and others continue to debate how to evaluate and hold principals accountable for achieving results. In the fall of 2012, the Council of the Great City Schools received a grant from the Wallace Foundation to investigate the ways principals are supported and evaluated in large urban school districts and districts that participate in the Wallace leadership initiative. This involves taking a closer look at the roles and responsibilities of principal supervisors — defined here as individuals who directly oversee and/or evaluate the performance of principals. This interim report summarizes the results of a survey administered to district staff in these positions in the fall of 2012. These results will be followed up with a second report detailing the findings of extensive site visits to the six districts participating in the Wallace Principal Pipeline project. This report does not provide recommendations or identify best practices, but seeks to present an overview of the ways districts support the critical work performed by principals and their supervisors. Districts where surveys were received from are appended. (Contains 16 figures, 10 tables, and 2 footnotes.)

Chiang, H., Lipscomb, S., & Gill, B. (2016). Is School Value Added Indicative of Principal Quality?. *Education Finance and Policy.*
States across the country are developing systems for evaluating school principals on the basis of student achievement growth. A common approach is to hold principals accountable for the value-added of their schools — that is, schools' contributions to student achievement growth. In theory, school value-added can reflect not only principals' effectiveness but also other school-specific influences on student achievement growth that are outside of principals' control. In this paper, we isolate principals' effects on student achievement growth and examine the extent to which school value-added captures the effects that principals persistently demonstrate. Using longitudinal data on the math and reading outcomes of fourth- through eighth-grade students in Pennsylvania, our findings indicate that school value-added provides very poor information for revealing principals' persistent levels of effectiveness.

Clifford, M. (2015). Building Leadership Talent through Performance Evaluation. *American Institutes for Research.* **Retrieved from https://files.eric.ed.gov/fulltext/ED553401.pdf**
Most states and districts scramble to provide professional development to support principals, but "principal evaluation" is often lost amid competing priorities. Evaluation is an important method for supporting principal growth, communicating performance expectations to principals, and improving leadership practice. It provides leaders with evidence for reflection — a critical first step for professional learning and development. To help school leaders achieve their goals, American Institutes for Research (AIR) has engaged with educators at the state level to design the "Five Essential Practices of School Leadership" framework. Frameworks are the backbone of any performance evaluation system, identifying levels of performance and the professional practices that matter most. Unlike state or national standards (e.g., the Interstate School Leaders Licensure Consortium standards) that broadly describe what principals should do, frameworks describe levels of performance in observable and measurable terms. AIR and its clients are using this framework for principal coaching, self-reflection, and performance evaluation to facilitate principal growth with accountability. With input from more than 200

educators and more than 100 research studies on principals' approaches to school improvement, AIR designed the Five Essential Practices of School Leadership framework. These practices are as follows: (1) Build shared purpose. The leader develops a compelling, shared organizational vision and assures that the vision is "lived" in the daily work of educators. (2) Focus on learning. The leader engages in instructional leadership to develop and maintain student access to appropriate, ambitious, and strong instructional programs focused on academic excellence and social-emotional development. (3) Manage organizational resources. The leader acts strategically and systematically to create safe and supportive conditions for better teaching and learning by aligning financial assets, human resources, data, and other resources. (4) Collaborate with community. The leader assures that parents and community organizations are engaged with the school. (5) Lead with integrity. The leader models professionalism by acting with integrity and making his or her learning visible. The framework is designed to support principals in developing their own professional goals and to provide them with an approach for reflection on their practices, but other stakeholders and professionals in the field can take full advantage of this tool.

Clifford, M., Behrstock-Sherratt, E., & Fetters, J. (2012). The Ripple Effect: A Synthesis of Research on Principal Influence to Inform Performance Evaluation Design. A Quality School Leadership Issue Brief. *American Institutes for Research.* **Retrieved from https://www.air.org/sites/default/files/downloads/report/1707_The_Ripple_Effect_d8_Online_0.pdf**

Public education is a cornerstone of democracy, a prerequisite for economic recovery, and a key lever in achieving national commitment to equal opportunity for all. Although the nearly 90,000 public school principals constitute a relatively small percentage of the public education sector, their work can have a "ripple effect" on the 3.4 million teachers and 55 million PK-12 students in the United States. Principals affect school direction through policy interpretation, resource allocation, and community relations. They manage the pragmatic day-to-day school activities, from the football field to the classroom, and balance competing priorities to provide high-quality educational services to students. Although many factors in student learning have not been fully explained, leadership is the second-most influential school-level factor on student achievement, after teaching quality (Hallinger & Heck, 1998; Leithwood, Louis, Anderson, & Wahlstrom, 2004; Waters, Marzano, & McNulty, 2003). Individuals know, intuitively, that an effective principal can influence school performance, but what makes for an effective principal? Nationally, policymakers and practitioners are taking up this question when designing principal evaluation systems. An explicit definition of principal effectiveness drives all aspects of evaluation system design (Clifford et al., 2012). Principal effectiveness is defined as the intended or expected effects of principals' work. Ensuring that new evaluation systems are valid, fair, and useful requires them to reflect an accurate definition of principal effectiveness. Policymakers and practitioners must create systems that provide a holistic depiction of performance and are feasible to implement in diverse school contexts. To develop definitions of principal effectiveness, policymakers must reference policy, seek principals' perspectives on their work, and review available research on principal effectiveness to create new performance evaluation designs. Principals' voices, at times, have been lost in efforts to create better performance evaluation systems. In many ways, principals are best positioned to construct a realistic and nuanced definition of effective leadership that accurately reflects the context of schooling. Research also should play a role in defining principal effectiveness because empirical studies can identify how principals influence schools, teaching, and learning — and how they do not. This brief provides a synopsis of the growing body of scholarly educational research literature on principal effectiveness. After providing a short historical overview of the changing role of school principals, the brief presents two policy perspectives on principal effectiveness and, finally, introduces a research-based framework for defining principal effectiveness.

Clifford, M., Chambers, D., & Layland, A. (2015). US Virgin Islands Assistant Principal Evaluation Guidebook. Retrieved from http://www.vide.vi/documents/vide-employee-effectiveness-system/601-ap-portfolio-guidebook/file.html

The procedures outlined in the U.S. Virgin Islands Assistant Principal Evaluation Guidebook foster collaboration, trust, and conversation about the practices of assistant principals and their principals, while maintaining a sense of accountability in assistant principals to exhibit great leadership, and in principals to support assistant principals' growth. The guidebook answers the following questions:

- How will assistant principals' practice be evaluated?
- When will the evaluation take place?
- What are my responsibilities in the evaluation process?
- What standards will be used to evaluate practice?
- What measures will be used?
- What happens after the evaluation process has been completed?

Clifford, M., Condon, C., Greenberg, A., Williams, R., Gerdeman, R. D., Fetters, J., & Baker, B. (2012). A Descriptive Analysis of the Principal Workforce in Wisconsin. Issues & Answers. REL 2012-No. 135. *Regional Educational Laboratory Midwest.* Retrieved from https://files.eric.ed.gov/fulltext/ED530569.pdf

This study responds to a request from the Wisconsin Department of Public Instruction for information on Wisconsin's school principal workforce population. Descriptive analyses addressed two research questions: (1) How do the demographic characteristics of Wisconsin school principals compare? (2) How do these characteristics change over 1999-2009? (3) How does the eight-year retention rate for a cohort of new Wisconsin principals from 2000 to 2002 compare with the retention rate of returning Wisconsin principals? Data were gathered for the 11 academic years from 1999 to 2009 from the Wisconsin public school personnel and certification databases. The sample consisted of 1,703 principals and 59,803 teachers in 1999. A cross-sectional analysis was used to describe principal and teacher demographic characteristics. The following are key findings: (1) The majority of Wisconsin principals in 2009 were male, but the percentage of female principals increased 7.1 percentage points, from 35.5 percent in 1999 to 42.6 percent in 2009; (2) The majority of Wisconsin teachers in 2009 were female, and the percentage of female teachers increased 4.1 percentage points, from 69.5 percent in 1999 to 73.6 percent in 2009; (3) The majority of Wisconsin principals and teachers in 2009 were White, but the percentage of racial/ethnic minority principals increased 0.7 percentage point, from 6.6 percent in 1999 to 7.3 percent in 2009, and the percentage of racial/ethnic minority teachers increased 0.4 percentage point, from 3.9 percent in 1999 to 4.3 percent in 2009; (4) The average age of the Wisconsin principal workforce fell 0.5 year, from 48.6 years in 1999 to 48.1 years in 2009, and the average age of teachers did not change, remaining at 43.0 years; (5) The majority of Wisconsin principals in 2009 held a master's degree, and the percentage of principals and teachers who held a master's degree increased from 1999 to 2009. The percentage of principals holding a master's degree increased 2.8 percentage points, from 84.2 percent in 1999 to 87.0 percent in 2009, and the percentage of teachers holding a master's degree increased 13.4 percentage points, from 36.3 percent in 1999 to 49.7 percent in 2009; and (6) After eight years, 43.7 percent of the new principal cohort and 46.1 percent of the comparison cohort remained principals. Annual attrition rates for new principals ranged from 9.0 percentage points to 13.4 across the eight years, while annual attrition rates for comparison principals ranged from 8.8 percentage points to 12.0. Appended are: (1) Background literature on principal demographic characteristics and retention; (2) Data sources and analysis; and (3) Supplemental tables on the demographics of Wisconsin principals and teachers.

Clifford, M., Hansen, U. J., & Wraight, S. (2014). Practical Guide to Designing Comprehensive Principal Evaluation Systems: A Tool to Assist in the Development of Principal Evaluation Systems. *Center on Great Teachers and Leaders.* **Retrieved from https://gtlcenter.org/sites/default/files/ PracticalGuidePrincipalEval.pdf**
Across the country, states and districts are designing principal evaluation systems as a means of improving leadership, learning, and school performance. Principal evaluation systems hold potential for supporting leaders' learning and sense of accountability for instructional excellence and student performance. Principal evaluation is also an important component of state and district systems of leadership support efforts, especially when newly designed evaluation systems work in conjunction with principal certification, hiring, and professional development systems. This "Practical Guide to Designing Comprehensive Principal Evaluation Systems" is intended to assist states and districts in developing systems of principal evaluation and support. The guide is organized into three sections: (1) Research and Policy Context; (2) State Accountability and District Responsibility in Principal Evaluation Systems; and (3) Development and Implementation of Comprehensive Principal Evaluation Systems. The document should be used as a facilitation tool for conversation among designers. State and district policymakers should address all components of the guide, but also should capitalize on local capacity and processes when doing so. The authors provide recommendations and the appendices: (1) Glossary of Terms; and (2) Some Principal Evaluation Measures.

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. A Quality School Leadership Issue Brief. *American Institutes for Research.* **Retrieved from https://www.air.org/sites/default/files/downloads/report/school_climate2_0.pdf**
This policy brief provides principal evaluation system designers information about the technical soundness and cost (i.e., time requirements) of publicly available school climate surveys. The authors focus on the technical soundness of school climate surveys because they believe that using validated and reliable surveys as an outcomes measure can contribute to an evaluation's fairness, accuracy, and utility for a state or a school district. However, none of the climate surveys that they reviewed were expressly validated for principal evaluation purposes. They advise states and school districts to carefully study principal evaluation systems that are performing well and then select climate surveys that are useful measures of performance. In addition, policymakers tell them that they need technical soundness and cost information to initially screen possible measures for inclusion in principal evaluation systems. Designers can use the information presented in this brief to identify technically sound school climate surveys and then critically review those surveys to determine how well they fit into principal evaluation system designs. This brief begins with an overview of school climate surveys and their potential uses for principal evaluation. Next it outlines the procedure for reviewing school climate surveys, which is followed by brief synopses of each survey that meets the minimum criteria for inclusion in the review. The brief ends with a discussion of the surveys reviewed.

Clifford, M., & Ross, S. (2011). Designing principal evaluation systems: Research to guide decision-making. *Washington, DC: American Institutes for Research and National Association of Elementary School Principals.* **Retrieved from https://www.naesp.org/sites/default/files/PrincipalEvaluation_ ExecutiveSummary.pdf**
In preparation for the RTTT competition and other related initiatives, many states and districts have changed, or will soon change, principal evaluation policies and have begun reforming evaluation systems. Research from the field of human resources and educational human capital management can

provide states and districts with guidance on evaluation design, and the Joint Committee on Standards for Educational Evaluation's Personnel Evaluation Standards (2010) also may be informative. While the list of evaluation systems features below is by no means comprehensive, it may provide a starting point for policymakers, evaluation designers, and others. Our review suggests that principal evaluation systems should:

- Be designed with the direct involvement of principals and other constituents.
- Be educative.
- Be connected to district- and state-level systems.
- Be rigorous, fair, and equitable.
- Include multiple rating categories to differentiate performance.
- Gather evidence of performance through multiple measures of practice.
- Communicate results to principals consistently and with transparency.
- Include training, support, and evaluation of principal evaluators.

Clifford, M., & Ross, S. (2012). Rethinking principal evaluation: A new paradigm informed by research and practice. *National Association of Elementary School Principals and the National Association of Secondary School Principals.* **Retrieved from https://www.naesp.org/sites/default/files/PrincipalEvaluationReport.pdf**

Rethinking Principal Evaluation is a set of policy recommendations and practical guidelines designed to help states and districts to adopt a new paradigm including the institution of multiple and meaningful measurement systems of principal and assistant principal effectiveness.

Developed by practicing principals, the report reflects the best of their expertise and knowledge about principal evaluation and:

- Identifies six **key domains of school leadership.**
- Describes **essential features of comprehensive evaluation systems.**
- Offers a **roadmap for policymakers**, based on the latest research, to follow in the development of these systems.

Condon, C., & Clifford, M. (2012). Measuring Principal Performance: How Rigorous Are Commonly Used Principal Performance Assessment Instruments? A Quality School Leadership Issue Brief. Revised. *American Institutes for Research.* **Retrieved from https://www.air.org/sites/default/files/downloads/report/Measuring_Principal_Performance_0.pdf**

Assessing school principal performance is both necessary and challenging. During the past five years, many states have begun using validated measures in summative assessments of novice principal competency as a basis for certification decisions. Although standardized tests are used for certification purposes, other types of assessments are being used by school districts to ascertain principal performance and plan professional learning. This brief reports results of a scan of publicly available measures conducted by Learning Point Associates staff in 2009. The measures included in this review are expressly intended to evaluate principal performance and have varying degrees of publicly available evidence of psychometric testing. The review of this information is intended to inform decision makers' selection of job performance instruments used for hiring, performance assessment, and tenure decisions. This brief also addresses the importance of standards-based measures, the need for establishing reliability and validity, and the measures that are more widely accepted and psychometrically sound. A list of additional resources is included.

Davis, S., Kearney, K., Sanders, N., Thomas, C., & Leon, R. (2011). The policies and practices of principal evaluation: A review of the literature. *San Francisco, CA: WestEd.* **Retrieved from** <u>https://www.wested.org/online_pubs/resource1104.pdf</u>

This comprehensive literature review provides insights into how to best evaluate school principals derived from a set of primary and secondary sources from reputable publications. Researchers analyzed 68 documents, published from 1980 through 2010, to identify themes and perspectives that might be useful to practitioners and policymakers working to improve district principal evaluation systems.

While there is little empirical research on this topic, primary-source publications provide information on the following key areas of principal evaluation:
- System implementation
- Evaluation instrument
- Portfolio-based evaluations
- Specific evaluation components, such as surveys to identify stakeholder perceptions of principal performance

Secondary-source publications provide:
- Descriptions that target the status of principal evaluations in states and districts
- Commentaries about principal evaluations
- Descriptions of best practices
- Recommendations for improving principal evaluation policies and practices

Goldring, E., Cravens, X. C., Murphy, J., Porter, A. C., Elliott, S. N., & Carson, B. (2009). The evaluation of principals: What and how do states and urban districts assess leadership? *The Elementary School Journal, 110*(1), 19-39.

In this article we present results of a comprehensive review of principal leadership assessment practices in the United States. Our analyses of both the general content and the usage of 65 instruments, 56 at the district level and 9 at the state level, provided an in-depth look at what and how districts and states evaluate principals. Using the learning-centered leadership framework, we focused on identifying the congruence (or lack thereof) between documented assessment practices and the research-based criteria for effective leadership that are associated with improved school performance. Using an iterative and deductive process for instrument content analysis, we found that states and districts focused on a variety of performance areas (e.g., management, external environment, or personal traits) when evaluating their principals, with different formats at various levels of specificity. We also found very limited coverage of leadership behaviors that ensure rigorous curriculum and quality instruction, which are linked with schoolwide improvement for the ultimate purpose of enhanced student learning. In seeking information on how principals are evaluated, we found that in most cases, the practices of leadership assessment lacked justification and documentation in terms of the utility, psychometric properties, and accuracy of the instruments.

Goldring, E., Porter, A., Murphy, J., Elliott, S. N., & Cravens, X. (2009). Assessing learning-centered leadership: Connections to research, professional standards, and current practices. *Leadership and Policy in Schools, 8*(1), 1-36. **Retrieved from** <u>https://www.wallacefoundation.org/knowledge-center/Documents/Assessing-Learning-Centered-Leadership.pdf</u>

Effective school leadership is key to students' academic success. But the development of effective school leadership has been seriously hampered by the lack of technically sound tools to assess and monitor

leaders' performance. This article presents the research base and conceptual framework for a leadership assessment instrument under development.

Grissom, J. A., Kalogrides, D., & Loeb, S. (2015). Using student test scores to measure principal performance. *Educational Evaluation and Policy Analysis, 37*(1), 3-28. Retrieved from https://cepa.stanford.edu/sites/default/files/PrincipalPerformance.pdf
Expansion of the use of student test score data to measure teacher performance has fueled recent policy interest in using those data to measure the effects of school administrators as well. However, little research has considered the capacity of student performance data to uncover principal effects. Filling this gap, this article identifies multiple conceptual approaches for capturing the contributions of principals to student test score growth, develops empirical models to reflect these approaches, examines the properties of these models, and compares the results of the models empirically using data from a large urban school district. The article then assesses the degree to which the estimates from each model are consistent with measures of principal performance that come from sources other than student test scores, such as school district evaluations. The results show that choice of model is substantively important for assessment. While some models identify principal effects as large as 0.18 standard deviations in math and 0.12 in reading, others find effects as low as 0.0.05 (math) or 0.03 (reading) for the same principals. We also find that the most conceptually unappealing models, which over-attribute school effects to principals, align more closely with nontest measures than do approaches that more convincingly separate the effect of the principal from the effects of other school inputs.

Hamilton, L. S., Engberg, J., Steiner, E. D., Nelson, C. A., & Yuan, K. (2012). *Improving School Leadership through Support, Evaluation, and Incentives: The Pittsburgh Principal Incentive Program. Monograph.* RAND Corporation. PO Box 2138, Santa Monica, CA 90407-2138. Retrieved from https://www.rand.org/content/dam/rand/pubs/monographs/2012/RAND_MG1223.pdf
In 2007, the Pittsburgh Public Schools (PPS) received funding from the U.S. Department of Education's Teacher Incentive Fund (TIF) program to implement the Pittsburgh Urban Leadership System for Excellence (PULSE), a set of reforms designed to improve the quality of school leadership throughout the district. A major component of PULSE is the Pittsburgh Principal Incentive Program (PPIP), a system of support, performance-based evaluation, and compensation with two major components: (1) an annual opportunity for a permanent salary increase of up to $2,000 based primarily on principals' performance on a rubric that is administered by assistant superintendents and that measures practices in several areas and (2) an annual bonus of up to $10,000 based primarily on student achievement growth. The district also offered bonuses to principals who took positions in high-need schools. PPIP provided principals with several forms of support. This report examines implementation and outcomes from school years 2007-2008 through 2010-2011, with a focus on understanding how principals and other school staff have responded to the reforms, and on documenting the student achievement outcomes that accompanied program implementation. Individual chapters contain footnotes. (Contains 16 figures and 29 tables.) [This research was sponsored by the Pittsburgh Public Schools.]

Hamilton, L., & Engberg, J. (2012, August 15). School Principals Respond to Performance-Based Evaluation System [Blog post]. Retrieved from https://www.rand.org/blog/2012/08/school-principals-respond-to-performance-based-evaluation.html
Our findings point to several recommendations for other districts that are looking to implement principal evaluation and compensation programs:
    1. Align the elements of the performance-based compensation system with the district's approach to

improving teaching and learning. Districts should work to ensure that programs for principals are aligned with other key initiatives and support common goals.

2. Consider incorporating a range of measures into the evaluation system, including those that reflect input from a variety of stakeholders.
3. Devise a communication strategy that provides clear, timely, and ongoing information to help principals understand the evaluation measures and the steps the district took to ensure their validity.
4. Provide principals with concrete tools for accomplishing instructional leadership tasks (especially observing and providing feedback on instruction).
5. Help principals find the time needed to engage in the practices promoted by the initiative. Districts could encourage principals to spend more time on specific tasks and to delegate other tasks.

Herrmann, M., & Ross, C. (2016). Measuring Principals' Effectiveness: Results from New Jersey's First Year of Statewide Principal Evaluation. REL 2016-156. *Regional Educational Laboratory Mid-Atlantic.* **Retrieved from** https://ies.ed.gov/ncee/edlabs/regions/midatlantic/pdf/REL_2016156.pdf
States and districts across the country are implementing new principal evaluation systems that include measures of the quality of principals' school leadership practices and measures of student achievement growth. Because these evaluation systems will be used for high-stakes decisions, it is important that the component measures of the evaluation systems fairly and accurately differentiate between effective and ineffective principals. This requires the measures to be reliable (consistent across raters and observations) and valid (accurately measuring true principal performance). This study examined data from 2013/14, the first year of statewide implementation. It examined four statistical properties of the system's component measures: the variation in overall and component measure ratings across principals, the year-to-year stability of overall and component measure ratings, the correlations between component measure ratings and characteristics of students in the schools, and the correlations among component measure ratings. Information about these properties of the measures can inform efforts to improve the principal evaluation system and revise the guidance districts receive. Key findings include: (1) Nearly all principals received effective or highly effective overall ratings; (2) The percentage of principals who received highly effective overall ratings was lower for principals who were evaluated on school median student growth percentiles than for principals who were not evaluated on this measure; (3) Principal practice instrument ratings and school median student growth percentiles had moderate to high year-to-year stability; (4) Several component measure ratings — school median student growth percentile ratings, teachers' student growth objective ratings, and principal practice instrument ratings — as well as the overall rating, had low, negative correlations with student socioeconomic disadvantage; and (5) Principals' ratings on component measures had low-to-moderate positive correlations with each other.

Ikemoto, G. & Waite, A. (2018). *Shifting district culture to better support schools: Cleveland principal supervisor initiative report.* **Newburyport, MA: Education Research and Development.**
For school districts to substantially improve student learning across all their schools, district leaders will need to dramatically shift the organizational norms and mindsets at their central offices. Historically, central offices have operated as if schools exist to serve them. The Cleveland Metropolitan School District (CMSD), in contrast, is one of a growing number of systems that are attempting to shift central office mindsets toward supporting schools and the students they serve. This report details three strategies CMSD is using to accomplish this: 1. redefining the principal supervisor role; 2. creating networks of support; and 3. designing and delivering an aspiring principal supervisor program. The

report describes lessons learned from this work and recommendations for other districts attempting similar changes. The findings are based on interviews of district leaders, central office staff, and principals—as well as three days of observation of district meetings and extensive review of artifacts. The report's purpose is to help other districts consider the challenges they are likely to face and draw on lessons from CMSD to improve their implementation of similar strategies.

Jacques, C., Clifford, M., & Hornung, K. (2012). State policies on principal evaluation: Trends in a changing landscape. *Washington, DC: National Comprehensive Center for Teacher Quality.* **Retrieved from https://gtlcenter.org/sites/default/files/docs/StatePoliciesOnPrincipalEval.pdf**
The recent wave of education reform initiatives has resulted in new principal evaluation legislation in the past few years. This policy brief describes the trends in recently passed principal evaluation legislation, with a focus on implementation timelines and pilot programs.

Kimball, S. M. (2006). Case Study of the Initiation of Standards-based Principal Performance Evaluation in Washoe County School District. Retrieved from http://citeseerx.ist.psu.edu/viewdoc/download?doi=10.1.1.536.1636&rep=rep1&type=pdf
The new standards-based principal evaluation approach represents a promising model for developing and monitoring the quality of leadership in Washoe County School District. The design of the new system did not require a major financial commitment from the district, but did require a substantial time commitment of personnel. The study includes artifacts from the principal evaluation system, including protocols and rubrics.

Kimball, S. M., Milanowski, T., & McKinney, S. (2007, April). Implementation of standards-based principal evaluation in one school district: First year results from randomized trial. In *annual conference of the American Educational Research Association.* **Retrieved from http://cpre.wceruw.org/publications/KimballMilanowskiMcKinney.pdf**
This paper reports on the results of the pilot year of a new standards-based principal performance evaluation system in a large western school district. All district principals were randomly assigned to be evaluated using either the old evaluation system or the new system. Hypothesis that the new evaluation system would generate better performance feedback, clarify district expectations, and influence principals' priorities when compared to the old evaluation system were tested. Surveys and interviews were conducted to explore principal perceptions of performance feedback, district expectations, and utility of the evaluation process. Interviews were also conducted with principal supervisors to ascertain implementation fidelity and learn about their views on the utility of the new evaluation approach. Principals in both groups showed similarities in priorities emphasized, but principals and supervisors favored the new rubric-based system for improved evaluation dialog and clearer district expectations. Results provided important contextual information about the relevance of evaluation standards and procedures to principals' work, and issues to consider in implementing standards-based principal evaluation systems.

Liu, K., Stuit, D., Springer, J., Lindsay, J., & Wan, Y. (2014). The Utility of Teacher and Student Surveys in Principal Evaluations: An Empirical Investigation. REL 2015-047. *Regional Educational Laboratory Midwest.* **Retrieved from https://files.eric.ed.gov/fulltext/ED548024.pdf**
This study examined whether adding student and teacher survey measures to existing principal evaluation measures increases the overall power of the principal evaluation model to explain variation in student achievement across schools. The study was conducted using data from 2011-12 on 39

elementary and secondary schools within a midsize urban school district in the Midwest. The research team used the results of the district's Tripod student and teacher surveys to construct six school-level measures of school conditions that prior research has shown to associate with effective school leadership. The study finds that adding the full set of six survey measures as a group results in statistically significant increases in variance explained in mathematics and composite value-added outcomes, but not in reading. A stepwise regression procedure identified two measures — instructional leadership and classroom instructional environment — as an optimal subset of the six measures. This evidence indicates that student and teacher survey measures can have utility for principal performance evaluation. The following are appended: (1) Literature Review; (2) Data and Methodology; (3) Supplemental Analysis; (4) Descriptive Statistics and Regression Coefficients for the Principal Evaluation Measures; and (5) Tripod Student Perception Survey.

Mendels, P. (2017). Getting Intentional about Principal Evaluations. *Educational Leadership,* **74(8), 52-56. Retrieved from** https://www.wallacefoundation.org/knowledge-center/Documents/Getting-Intentional-About-Principal-Evaluations.pdf
As part of "The Wallace Foundation's Principal Pipeline" initiative, six districts have been working to reshape their school leadership evaluation systems to provide better and more-consistent feedback to principals — and ultimately to help them grow in their jobs. In this article, Pamela Mendels, a senior editor at Wallace, describes the components and impact of the new systems, with a particular focus on the changes in the Hillsborough County School District in Florida. Under the new frameworks, she says, the districts have better aligned their evaluations with their school-leadership standards and developed nuanced rubrics for evidence-collection and evaluation ratings. They have also altered the role of principal supervisors so that they spend more time in schools working with principals. The evaluations — which are focused on growth and support rather than job determinations — are seen as a continuous process of feedback as opposed to a one-time event. Thus far, according to independent research, the reception among principals in the six districts has been positive — a contrast from previous findings on principal evaluations.

New Leaders (2012). Principal Evaluation Toolkit: Resources for Building Strong Principal Evaluation Systems. *New York: Author.* **Retrieved from** https://newleaders.org/wp-content/uploads/2016/09/Principal-Evaluation-Complete-Toolkit.pdf
This toolkit describes a model principal evaluation system that districts can easily adapt to their local context, so they can prioritize the difficult and critical work of implementing a principal evaluation system that supports continuous development and meaningful school improvement. This toolkit also provides a model principal evaluation rubric, as well as implementation training modules to help districts develop a system that improves principal practice and elevates school and student performance.

New Schools Venture Fund (2008). Principal development: Selection, support & evaluation. *San Francisco: Author. Retrieved June 21,* 2010.
This case study was prepared by NewSchools Venture Fund to document "promising practices" in use by our portfolio ventures in a format that could be shared with others in the portfolio. To complete this tool, NewSchools conducted background research on Green Dot Public Schools, New Leaders for New Schools, and Achievement First, and interviewed management teams at each of these organizations. Additionally, practices from Aspire Public Schools were included. As a result, NewSchools compiled a variety of practices and approaches that nonprofit charter management organizations (CMOs) have put in place to select and develop their principals.

Porter, A. C., Murphy, J., Goldring, E., Elliott, S. N., Polikoff, M. S., & May, H. (2008). Vanderbilt assessment of leadership in education: Technical manual, Version 1.0. *Nashville, TN: Vanderbilt University.* **Retrieved from** https://www.wallacefoundation.org/knowledge-center/Documents/Vanderbilt-Assessment-of-Leadership-in-Education-Technical-Manual-1.pdf

The crucial task of developing good school leaders has been hampered by the lack of an effective tool to assess principals' work. The Vanderbilt Assessment of Leadership in Education, or VAL-ED, developed at Vanderbilt University with Wallace Foundation support, seeks to fill the need. This technical manual describes the tool and its results in national field tests.

Portin, B. S. (2009). Assessing the effectiveness of school leaders: New directions and new processes. *Washington, DC: The Wallace Foundation.* **Retrieved from** https://www.wallacefoundation.org/knowledge-center/Documents/Assessing-the-Effectiveness-of-School-Leaders.pdf

Research shows most principal assessments are ineffective in gauging whether principals are — or are not — promoting learning. Often assessments focus on general management skills and knowledge rather than on specific behaviors (such as data analysis and goal setting) that lead to school-wide improvements in teaching. This Wallace Perspective describes the need for principal assessments that are focused on instructional leadership, grounded in professional standards, reliable enough to produce fair evaluations and specific enough to provide feedback that can guide professional growth. One assessment that meets all of these criteria is the Vanderbilt Assessment of Leadership in Education, known as VAL-ED. Principals are evaluated by both supervisors and teachers, and then receive an outline of their strengths and weaknesses measured against professional standards.

The benefits of better leader assessments are many. Stronger assessments can pinpoint the kind of support and intervention principals need to improve teaching and raise student achievement. They can also help prevent a supervisor from overlooking substantial school improvements not yet reflected in test scores. And they can guide broader changes in policy and practice, such as by realigning principal preparation and licensure to focus on the competencies that matter most for productive student learning.

Portin, B. S., Feldman, S., & Knapp, M. S. (2006). Purposes, Uses, and Practices of Leadership Assessment in Education. *Center for the Study of Teaching and Policy.* **Retrieved from** https://www.education.uw.edu/ctp/sites/default/files/ctpmail/PDFs/LAssess-Oct25.pdf

This report, one of six state-of-the-field reports, explores the connection between learning-focused leadership and leadership assessment as it contributes to coherent leadership assessment systems. The report outlines the function and implication of leadership assessment in national, state and local contexts. The report clarifies the purposes and uses to which leadership assessment is — or can be — put and notes the implications for leadership assessment practices throughout educational systems. This goal is accomplished by drawing together literature that deals with personnel evaluations, professional learning, accountability, and the relation of leadership to learning. Special attention is paid to the relatively small number of actual studies of assessment in action and to related literatures that help to conceptualize or offer evidence of the ways that assessment fits into leadership practice. At the same time, this paper is not concerned with the technical details of assessment design, as these are being extensively dealt with by others engaged in the redesign of assessment instruments and systems. In the same vein, little time is spent reviewing the body of writing offering advice and tools for leadership assessment. Rather, the focus is on empirical literature that informs how leadership assessment is or

can be used in relation to learning improvement. (Contains 4 endnotes.) [Funding for this report was provided by the Wallace Foundation.]

Potamites, L., Chaplin, D., Isenberg, E., & Booker, K. (2009). Measuring School Effectiveness in Memphis--Year 2. Final Report. *Mathematica Policy Research, Inc.* **Retrieved from https://files.eric. ed.gov/fulltext/ED507472.pdf**

New Leaders for New Schools, a nonprofit organization committed to training school principals, heads the Effective Practices Incentive Community (EPIC), an initiative that offers financial awards to effective educators. New Leaders and its partner organizations have received tens of millions of dollars from the U.S. Department of Education in financial support for EPIC. Through this initiative, New Leaders offers financial awards to educators in two urban school districts and a consortium of charter schools. New Leaders contracted with Mathematica Policy Research to help design the methods for identifying effective schools and teachers. This report presents the method used to identify effective schools in the Memphis City Schools (MCS), one of the partner school districts, during the second year of this project. This year's model differs from last year's model in that the authors used a shrinkage estimator to help ensure that schools with small numbers of students in their model were not overrepresented at the top and bottom of the resulting performance measures. A shrinkage estimator is a statistical technique that "shrinks" the school effects toward the average, with greater shrinkage for schools whose results were less precisely estimated — typically smaller schools. Key aspects of the Mathematica model are outlined in this paper, along with a more detailed technical description, found in the appendix. (Contains 1 table, 3 figures and 12 footnotes.)

Reeves, D. B. (Ed.). (2008). *Assessing educational leaders: Evaluating performance for improved individual and organizational results.* **Corwin Press.**

As school systems search for ways to develop and retain effective leaders, a new vision for leadership assessment becomes increasingly vital. This revised edition of the bestseller by Douglas B. Reeves provides the information and tools necessary to successfully evaluate all types of educational leaders and improve both individual and organizational performance.

Incorporating the 10 Dimensions of Leadership, this field-tested resource is based on research, theory, and best practices in leadership, organizational effectiveness, and personnel evaluation. The author, a national expert on educational leadership and accountability, focuses on three critical concepts of leadership: the dramatic impact of leadership on student achievement, equity, and staff morale; the role of both personal predispositions and acquired knowledge skills on effectiveness; and how evaluation can be used to improve performance instead of merely rendering an assessment. Ideal for all school and district administrators and leaders, this updated edition includes new features such as:

- Sample hallmarks of performance excellence.
- Practical insights into the distinction between evaluating and assessing leaders.
- A new leadership assessment and coaching tool for providing confidential feedback to senior leaders.
- Examples of real-world applications.

By implementing this multidimensional leadership assessment system, school districts can improve teaching, learning, and leadership at every level!

Turnbull, B. J., Riley, D. L., & MacFarlane, J. R. (2015). Districts Taking Charge of the Principal Pipeline. Building a Stronger Principalship: Volume 3. *Policy Studies Associates, Inc.* **Retrieved from https://files.eric.ed.gov/fulltext/ED555869.pdf**

The third in a series of reports evaluating a multiyear Wallace initiative documents ways in which six districts are working to improve school leadership districtwide. It describes several new measures districts are implementing, including systematic support for assistant principals; the use of performance standards to hire and evaluate principals, as well as to inform training and support for them; and the establishment of data systems to promote more-effective hiring, identify principals in need of support and provide feedback to the programs that trained them. This report is not the last word on the Principal Pipeline Initiative. Future reports on implementation and on effects will assess the actions taken by districts and their partner institutions in this initiative. A special-focus implementation report in 2015 will analyze principal evaluation systems. A 2016 report will assess implementation of the initiative overall, identifying the structures and policies put in place, the results observed, and factors that have supported or impeded the sites' progress in carrying out their plans. The reports also contains the following appendices (1): Survey Weighting and Analyses; and (2): An Exploratory Comparative Analysis. [For Volume 1 in this series, see ED555867; for Volume 2, see ED555868.]

Wayne, A. J., Garet, M. S., Brown, S., Rickles, J., Song, M., Manzeske, D., & Ali, M. (2016). Early Implementation Findings From a Study of Teacher and Principal Performance Measurement and Feedback: Year 1 Report. Retrieved from https://ies.ed.gov/ncee/pubs/20174004/pdf/20174004. pdf

The purpose of this study is to describe teachers' and principals' experiences with the study's performance measures and feedback over two years, and to examine whether the information provided by the measures and feedback affected educator and student outcomes. The main findings in this report:
- Educator performance measures were implemented generally as planned, except that fewer than the intended number of educators accessed the student growth reports.
- Both classroom observation and student growth measures differentiated teacher performance, but observation scores were skewed toward the upper end of the scale.
- The principal leadership measure differentiated performance, but there was limited consistency in scores across survey respondent groups.
- Both teachers and principals in schools selected to implement the intervention reported receiving more feedback than those in schools in the same districts selected to continue with business as usual.

Appendix C: Additional Resources for Principal Evaluation

District	Denver Public Schools	Hillsborough County Public Schools	District of Columbia Public Schools
Year of	2017	2014-2015	2017-2018
Website for Evaluation Materials	LEAD in Denver http://thecommons.dpsk12.org/Page/1079	Leadership Development https://www.sdhc.k12.fl.us/doc/list/leadership-development/resources/142-634/	IMPACT for School Leaders https://dcps.dc.gov/page/impact-school-leaders
Evaluation Handbook	LEAD: School Leader Growth and Performance Handbook http://thecommons.dpsk12.org/cms/lib/CO01900837/Centricity/domain/110/lead%20in%20denver/LEAD_Growth%20Performance%20System%20Handbook.pdf	Principal and Assistant Principal Evaluation Handbook https://drive.google.com/file/d/1-vENl1WkgIcY-jjtZQG7eG--c_nGFt6O/view?pli=1	DCPS School Leader IMPACT Guidebook: Principals https://dcps.dc.gov/sites/default/files/dc/sites/dcps/publication/attachments/DCPS%20School%20Leader%20IMPACT%20Guidebook%20Principals.pdf
Leadership Framework Rubric	2017 Growth & Scoring Guidance https://drive.google.com/file/d/1i-i5A6oQKM7nrMkWNyqjfj8aHnnKiS1b/view	See Handbook	See Handbook
Evaluation Cycle: What are the timeline and process steps of the evaluation system?	1) Jan: Goal setting/planning 2) Feb-May: Ongoing observations, progress monitoring, feedback, support and check-ins 3) Mid-May to Mid-Aug: Midyear conversations 4) Sept-Dec: Ongoing observations, progress monitoring, feedback, support and check-ins 5) Jan: End-of-year conversations and goal setting/planning	1) June-Aug: Principal supervisors conduct goal-setting conferences with principals based on previous year evaluation data. 2) Aug-May: Principal supervisors observe principals in the field, review formative student data, and meet with principals for formative feedback reviews. 3) Feb: Teachers assess principals using competency-based rubric. 4) Apr-May: Principal supervisors review school data and input forms provided by instructional leadership directors. 5) May: Principal supervisors assess principals using competency-based rubric 6) June-Aug: Principal supervisors conduct goal-setting conferences with principals based on previous year evaluation data. 7) Oct: Value Added Measures (VAM) scores posted	1) Step 1: Goal Setting (August-October) 2) Step 2: Cycle 1 Leadership Framework Assessment & Cycle 1 Performance Conversation (November-January) 3) Step 3: Cycle 2A Leadership Framework Assessment & Cycle 2A Performance Conversation (April) 4) Step 4: Cycle 2B Leadership Framework Assessment & Cycle 2B Performance Conversation (May-June)

District	Denver Public Schools	Hillsborough County Public Schools	District of Columbia Public Schools
Year of	2017	2014-2015	2017-2018
Website for Evaluation Materials	LEAD in Denver http://thecommons.dpsk12.org/Page/1079	Leadership Development https://www.sdhc.k12.fl.us/doc/list/leadership-development/resources/142-634/	IMPACT for School Leaders https://dcps.dc.gov/page/impact-school-leaders
Evaluation Handbook	LEAD: School Leader Growth and Performance Handbook http://thecommons.dpsk12.org/cms/lib/CO01900837/Centricity/domain/110/lead%20in%20denver/LEAD_Growth%20Performance%20System%20Handbook.pdf	Principal and Assistant Principal Evaluation Handbook https://drive.google.com/file/d/1-vENl1WkgIcY-jjtZQG7eG--c_nGFt6O/view?pli=1	DCPS School Leader IMPACT Guidebook: Principals https://dcps.dc.gov/sites/default/files/dc/sites/dcps/publication/attachments/DCPS%20School%20Leader%20IMPACT%20Guidebook%20Principals.pdf
Components: What are the main components, what data are used to measure them, and how are the components weighted in the overall evaluation score?	1) Professional Practice Component (50%) 2) Student Growth Component (50%) Each of the 11 professional practice indicator scores will be averaged to produce the professional practice rating. The supervisor will then use the professional practice rating and student growth data to determine a final ratings to inform goal setting/planning.	1) Student Growth Measures (40%) 2) Principal Practice (45%) 3) Human Resources Management (10%) 4) School Operations Audit (5%)	Elementary Principals Student Outcome Goals 1) The Partnership for Assessment of Readiness for College and Careers (PARCC) Goals for Math and Literacy (30%) 2) School-Specific Goal(s) (20%) Leadership Framework (LF) A) Cycle 1 LF (20%) B) Cycle 2 LF (30%) Middle School Principals Student Outcome Goals 1) PARCC Goals for Math and Literacy (30%) 2) School Climate Goal(s) (10%) 3) School Specific Goal(s) (10%) Leadership Framework A) Cycle 1 LF (20%) B) Cycle 2 LF (30%) High School and Secondary Principals Student Outcome Goals 1) PARCC Goals for Math and Literacy (20%) 2) Adjusted Cohort Graduation Rate Goal (5%) 3) Promotion Rate Goal (5%) 4) School Climate Goal(s) (10%) 5) School-Specific Goal(s) (10%) Leadership Framework A) Cycle 1 LF (20%) B) Cycle 2 LF (30%)
Competencies: What are the buckets of indicators that principal practice is assessed against?	Principal supervisors assess principals on six competencies of the School Leadership Framework: 1) Instructional Expertise 2) Vision & Strategy 3) People & Culture 4) Community & Equity 5) Personal & Values 6) Operational & Organizational	1) Instructional Leadership A. Achievement Focus and Results Orientation B. Instructional Expertise 2) Human Capital Management A. Managing and Developing People 3) Organizational/Systems Leadership A. Culture and Relationship Building B. Problem-Solving and Strategic Change Management	The Leadership Framework (LF) delineates a set of standards and indicators that can be used as evidence to ensure a school leader is leading effectively. There are six broad standards that have their own set of indicators. The standards are: 1) Instruction (25%) 2) Talent (15%) 3) School Culture (15%) 4) Operations (15%) 5) Family & Community (15%) 6) Personal Leadership (15%)

District	Denver Public Schools	Hillsborough County Public Schools	District of Columbia Public Schools
Year of	2017	2014-2015	2017-2018
Website for Evaluation Materials	LEAD in Denver http://thecommons.dpsk12.org/Page/1079	Leadership Development https://www.sdhc.k12.fl.us/doc/list/leadership-development/resources/142-634/	IMPACT for School Leaders https://dcps.dc.gov/page/impact-school-leaders
Evaluation Handbook	LEAD: School Leader Growth and Performance Handbook http://thecommons.dpsk12.org/cms/lib/CO01900837/Centricity/domain/110/lead%20in%20denver/LEAD_Growth%20Performance%20System%20Handbook.pdf	Principal and Assistant Principal Evaluation Handbook https://drive.google.com/file/d/1-vENl1WkgIcY-jjtZQG7eG--c_nGFt6O/view?pli=1	DCPS School Leader IMPACT Guidebook: Principals https://dcps.dc.gov/sites/default/files/dc/sites/dcps/publication/attachments/DCPS%20School%20Leader%20IMPACT%20Guidebook%20Principals.pdf
Stakeholder Perception Measures: What, if any, stakeholder perceptions are used? How are they measured (e.g., validated surveys?)	Principal supervisors can draw on perception surveys to inform ratings on the school leadership framework, such as the CollaboRATE/Teacher perception surveys — gives teachers the opportunity to share their voices with school leaders.	360° Survey — Both principal supervisors and teachers contribute to the principal practice score via the 360 survey.	An Instructional Culture Insight survey is distributed twice a year for teachers to give feedback to principals. The survey gives leadership teams the opportunity to review their school's progress on teacher development and support. School leaders receive a school-specific roadmap highlighting specific topics of focus and actions to match best practices, as well as aligned tools that school leaders can use immediately to improve practices in their buildings.
Student Achievement Measure: If student achievement is one component, what measures of student achievement are used?	Principals are assessed on two types of professional growth goals: 1) Collective student growth (at least 30% of overall rating) 2) Individual goals for student growth, which are 2-3 leader-selected measures aligned with the school's Unified Improvement Plan and Strategic School Plan (at least 20% of overall rating)	1) School-wide Learning Gains, which are value-added score based on the results of all applicable student assessments in the school (30%) 2) Gains by Level 1 and 2 Students, which are value-added measures of growth on reading and math on the Florida Comprehensive Assessment Test (10%). Note: Level 1 and Level 2 pertains to the level of behavior issues students have. It is part of Hillsborough's Education, Prevention, and Intervening Centers (EPIC) program.	1) Increasing Student Proficiency and reducing the percentage of students scoring at the lowest levels on the annual Partnership for Assessment of Readiness for College and Careers (PARCC) exam 2) District Approved School-Specific Goal — school leaders will set annual goals that address high-need areas of your school's overall success. They can focus on measuring student achievement or improving a key aspect of the school culture that will help improve student learning
Overall Evaluation Score Levels: What are the categories for the overall evaluation score?	1) Not Meeting (1-2) 2) Approaching (3-4) 3) Effective (5-6) 4) Distinguished (7)	1) Exemplary 2) Accomplished 3) Progressing 4) Requires Action	Leadership Framework (LF) 1) Level 1 - Ineffective 2) Level 2 - Minimally Effective 3) Level 3 - Effective 4) Level 4 - Highly Effective
Target Distribution: Does the district set targets for certain percentages of principals that will fall into each overall evaluation score level?	no mention	no mention	no mention

District	Denver Public Schools	Hillsborough County Public Schools	District of Columbia Public Schools
Year of	2017	2014-2015	2017-2018
Website for Evaluation Materials	LEAD in Denver http://thecommons.dpsk12.org/Page/1079	Leadership Development https://www.sdhc.k12.fl.us/doc/list/leadership-development/resources/142-634/	IMPACT for School Leaders https://dcps.dc.gov/page/impact-school-leaders
Evaluation Handbook	LEAD: School Leader Growth and Performance Handbook http://thecommons.dpsk12.org/cms/lib/CO01900837/Centricity/domain/110/lead%20in%20denver/LEAD_Growth%20Performance%20System%20Handbook.pdf	Principal and Assistant Principal Evaluation Handbook https://drive.google.com/file/d/1-vENl1WkgIcY-jjtZQG7eG--c_nGFt6O/view?pli=1	DCPS School Leader IMPACT Guidebook: Principals https://dcps.dc.gov/sites/default/files/dc/sites/dcps/publication/attachments/DCPS%20School%20Leader%20IMPACT%20Guidebook%20Principals.pdf
Connection to Professional Learning: How (if at all) does the evaluation process inform professional learning? And/or how does professional learning inform the evaluation process?	All school leaders must set at least one professional practice goal, which should be aligned with the six competencies in the School Leadership Framework and are intended to identify key areas of focus for a school leader's leadership and career development.	1) Professional Learning Plan — a guide for leaders to assist them in their attainment of the leadership domains and competencies. Outlines specific actions to take and a timeline to meet goals; competencies addressed in all district leadership trainings	1) Includes feedback to help principals attain the goals they set
Training: How are evaluators trained on the process? Are evaluators of principal practice trained to apply observation rubrics consistently and fairly?	no mention	1) Goal setting planning at Summer Institutes 2) Rubric and assessment training at Principal and AP council meetings 3) Principal supervisor observation and assessment training using competency rubric and critical attributes 4) Rubric use in all pipeline program training 5) Competencies addressed in all district leadership trainings	no mention
Calibration: Are there processes in place after initial training to check interrater reliability of evaluators? For example, opportunities to norm on how to score particular evidence?	no mention	no mention	no mention
Compensation Implications: Do evaluation results inform compensation? If so, how?	no mention	no mention	1) To receive an annual bonus, principals must have an IMPACT rating of Highly Effective. These principals receive $20K, with a $5K add-on for leading a high-poverty school and another $5K for leading a targeted 40 school (for up to $30K).

District	Prince George's County Public Schools	Dallas Independent School District	The State of Georgia
Year of	2013-2014	2016	2017-2018
Website for Evaluation Materials	Office of Employee Performance & Evaluation https://www1.pgcps.org/employee performanceandevaluation/ index.aspx?id=220915	Principal Excellence Initiative https://www.dallasisd.org/ Page/41972	Leader Keys Effectiveness System http://www.gadoe.org/School-Improvement/Teacher-and-Leader-Effectiveness/Pages/Leader-Keys-Effectiveness-System.aspx
Evaluation Handbook		Defining Excellence in PEI https://drive.google.com/file/d/116H XCRI4SbSW4dZUZkRyGsrbNjlXSLtA/ view?pli=1	Georgia's Leader Keys Effectiveness System Implementation Handbook http://www.gadoe.org/School-Improvement/Teacher-and-Leader-Effectiveness/Documents/TKES%20 LKES%20Documents/LKES%20 Handbook%202017-18.pdf
Leadership Framework Rubric			See Handbook
Evaluation Cycle: What are the timeline and process steps of the evaluation system?	1) Prior to the Evaluation Period: set priorities based on end-of-year self-assessment 2) During The Evaluation Period: Collecting Evidence 3) Self-Assessment Rating/Midyear Protocol: based on principal's performance from the beginning of the current evaluation period through midyear 4) At the End of the Evaluation Period: Assigning Formal Rating	**Checkpoint 1: August 7-August 25** 1) Principal selects 3 indicators from Principal Performance Rubric (PPR) as areas of focus 2) In-person Conference: Principal and Executive Director (ED) agree upon Campus Improvement Planning (CIP) implementation and the 3 indicators selected from the PPR. Discussion will also include the components of Principal Evaluation Initiative (PEI) and evaluation calendar **Checkpoint 2: October 2-October 20** 1) In-person Conference: Principal and Executive Director (ED) will discuss PPR and use data as a way to check progress toward PPR growth and Campus Improvement Planning (CIP) implementation. Particular attention will be placed on the processes being implemented **Checkpoint 3: January 16-February 2** 1) Principal submits self-evaluation on the Principal Performance Rubric (PPR). 2) In Person Conference: Principal and Executive Director (ED) will discuss PPR and use data to check progress towards PPR growth and Campus Improvement Planning (CIP) implementation. Particular attention will be placed on the data outcomes of semester one. 3) Principal has the option to share artifacts during the checkpoint conference **Checkpoint 4: June 6-June 21** 1) Principal submits self-evaluation of Principal Performance Rubric (PPR). 2) ED submits evaluation of the Principal Performance Rubric (PPR). 3) In-person Conference: Principal and Executive Director (ED) discuss the evaluation. Only one meeting held. 4) Principal has the option to share artifacts during the checkpoint conference.	1) July-August: Orientation, Self-Assessment, Performance Goal Setting (optional), Pre-Evaluation Conference 2)Sept-April: Formative Assessment Process, Midyear Conference 3)April-May: Summative Performance Evaluation, Summative Conference

District	Prince George's County Public Schools	Dallas Independent School District	The State of Georgia
Year of	2013-2014	2016	2017-2018
Website for Evaluation Materials	Office of Employee Performance & Evaluation https://www1.pgcps.org/employee performanceandevaluation/ index.aspx?id=220915	Principal Excellence Initiative https://www.dallasisd.org/ Page/41972	Leader Keys Effectiveness System http://www.gadoe.org/School-Improvement/Teacher-and-Leader-Effectiveness/Pages/Leader-Keys-Effectiveness-System.aspx
Evaluation Handbook		Defining Excellence in PEI https://drive.google.com/file/d/116H XCRl4SbSW4dZUZkRyGsrbNjlXSLtA/ view?pli=1	Georgia's Leader Keys Effectiveness System Implementation Handbook http://www.gadoe.org/School-Improvement/Teacher-and-Leader-Effectiveness/Documents/TKES%20 LKES%20Documents/LKES%20 Handbook%202017-18.pdf
Components: What are the main components, what data are used to measure them, and how are the components weighted in the overall evaluation score?	1) Student Growth Indicators (50%) 2) Professional Practice (50%)	1) Performance, measured by: * Principal Performance Rubric ("summative score") * Systems Review * Improvement of Teacher Effectiveness * Congruence of Teacher's Performance and Achievement Scores * Student Attendance or Enrollment * Parent/Guardian Survey results 2) Achievement, measured by: * School STAAR results * School ACP results * School Achievement Gap * College Readiness * Career Readiness The performance component has a maximum score of 65 and the achievement component has a maximum score of 35. The sum of the component scores is the evaluation score, which has maximum value of 100.	1) Leader Assessment on Performance Standards (30%) 2) Student Growth (40%) 3) College and Career Ready Performance Index (CCRPI) School Climate Star Rating (10%) 4) Combination of Additional Data, such as achievement gap reduction, beating the odds, CCRPI data (20%)
Competencies: What are the buckets of indicators that principal practice is assessed against?	There are 8 competencies (called "Leadership Standards"): 1) Setting high expectations 2) Setting school-wide instructional achievement goals 3) Monitoring effective instructional practices 4) Building a shared vision and goals 5) Commitment to excellence, equity, and innovation 6) Human Resources and managerial leadership 7) Strong external leadership 8) Use of technology and data	1) Leadership 2) The Instructional Program 3) Staff Development 4) Effective Management 5) Professional Responsibilities	There are 8 competencies (called "Performance Standards") grouped into 4 domains. I. School Leadership 1) Instructional Leadership 2) School Climate II. Organizational Leadership 3) Planning and Assessment 4) Organizational Management III. Human Resources Leadership 5) Human Resources Management 6) Teacher/Staff Evaluation IV. Professionalism and Communication 7) Professionalism 8) Communication and Community Relations

District	Prince George's County Public Schools	Dallas Independent School District	The State of Georgia
Year of	2013-2014	2016	2017-2018
Website for Evaluation Materials	Office of Employee Performance & Evaluation https://www1.pgcps.org/employee performanceandevaluation/index.aspx?id=220915	Principal Excellence Initiative https://www.dallasisd.org/Page/41972	Leader Keys Effectiveness System http://www.gadoe.org/School-Improvement/Teacher-and-Leader-Effectiveness/Pages/Leader-Keys-Effectiveness-System.aspx
Evaluation Handbook		Defining Excellence in PEI https://drive.google.com/file/d/116H XCRI4SbSW4dZUZkRyGsrbNjlXSLtA/view?pli=1	Georgia's Leader Keys Effectiveness System Implementation Handbook http://www.gadoe.org/School-Improvement/Teacher-and-Leader-Effectiveness/Documents/TKES%20 LKES%20Documents/LKES%20 Handbook%202017-18.pdf
Stakeholder Perception Measures: What, if any, stakeholder perceptions are used? How are they measured (e.g., validated surveys?)	no mention	Parent/guardian survey results	Optional Teacher Surveys give teachers an opportunity to give principals feedback (this was a requirement in the previous principal evaluation process).
Student Achievement Measure: If student achievement is one component, what measures of student achievement are used?	K-8 Student Growth Measures 1) Student Learning Objectives (SLOs) 2) Student Attendance 3) State Assessments (when applicable) 4) College and Career 5) District Assessments 6) VAL-ED High School Student Growth Measures 1) Student Learning Objectives (SLOs) 2) Student Attendance 3) State Assessments (when applicable) 4) Retention 5) College and Career 6) District Assessments 7) VAL-ED 8) High School Assessment (HSA) SLO	1) School State of Texas Assessments for Academic Readiness (STAAR) results 2) School Assessments of Course Performance (ACP) results 3) School Achievement Gap 4) College Readiness 5) Career Readiness 6) Feeder Group State of Texas Assessments for Academic Readiness (STAAR) results (discontinued after 2014-2015)	Only Student Growth Percentile (SGP) grades and courses will be applied to the Student Growth component. It is based on state assessment data (Georgia Milestones End of Grades [EOGs] — grades 4-8 ELA/Reading and Math and End of Course [EOCs] ELA and Math). If schools do not have SGPs, the district will determine the student growth measure. Note: Students must attend 90% of the instructional days of the assessed course.

District	Prince George's County Public Schools	Dallas Independent School District	The State of Georgia
Year of	2013-2014	2016	2017-2018
Website for Evaluation Materials	Office of Employee Performance & Evaluation https://www1.pgcps.org/employee performanceandevaluation/index.aspx?id=220915	Principal Excellence Initiative https://www.dallasisd.org/Page/41972	Leader Keys Effectiveness System http://www.gadoe.org/School-Improvement/Teacher-and-Leader-Effectiveness/Pages/Leader-Keys-Effectiveness-System.aspx
Evaluation Handbook		Defining Excellence in PEI https://drive.google.com/file/d/116HXCRI4SbSW4dZUZkRyGsrbNjlXSLtA/view?pli=1	Georgia's Leader Keys Effectiveness System Implementation Handbook http://www.gadoe.org/School-Improvement/Teacher-and-Leader-Effectiveness/Documents/TKES%20LKES%20Documents/LKES%20Handbook%202017-18.pdf
Overall Evaluation Score Levels: What are the categories for the overall evaluation score?	1) Highly Effective = 42.5 or more (up to 50 points) 2) Effective = 32.5 to less than 42.5 3) Ineffective = 12.5 to less 32.5 points	1) Unsatisfactory (0-32) 2) Progressing I (33-47) 3) Progressing II (48-54) 4) Progressing III (55-62) 5) Proficient I (63-73) 6) Proficient II (74-78) 7) Proficient III (79-85) 8) Exemplary (86-100)	**Leader Assessment on Performance Standards (LAPS)** 1) Level I - Failure (0-5) 2) Level II - Inconsistent (6-13) 3) Level III - Consistent (14-21) 4) Level IV - Continuous(22-24) **College and Career Ready Performance Index (CCRPI) School Climate Star** 1) Level I - 1 star 2) Level II - 2 stars 3) Level III - 3 stars 4) Level IV - 4 or 5 stars **Student Growth** 1) Level I - MeanGP <35 2) Level II - MeanGP ≥35 and ≤45 3) Level III - MeanGP >45 and ≤60 4) Level IV - MeanGP >60 **Combination of Data** 1) Exemplary ≥ 3.5 2) Proficient ≥ 2.5 and < 3.5 3) Needs Development ≥ 1.5 and <2.5 4) Ineffective <1.5
Target Distribution: Does the district set targets for certain percentages of principals that will fall into each overall evaluation score level?	no mention	A set of percentages that defines how many values will fall into each group among a set of predetermined groups. For Principal Evaluation Initiative (PEI), the predetermined groups may be measure points or evaluation ratings.	no mention
Connection to Professional Learning: How (if at all) does the evaluation process inform professional learning? And/or how does professional learning inform the evaluation process?	1) Establishment of annual performance goals. 2) Throughout the evaluation period, the administrator will receive informal feedback and coaching from the evaluator.	no mention	1) Midyear conference — the evaluator will inform the leader about the results of the formative assessment. The formative assessment is directly tied to attainment of performance goals and performance standards. 2) Summative Conference (similar to midyear conference).

District	Prince George's County Public Schools	Dallas Independent School District	The State of Georgia
Year of	2013-2014	2016	2017-2018
Website for Evaluation Materials	Office of Employee Performance & Evaluation https://www1.pgcps.org/employee performanceandevaluation/index.aspx?id=220915	Principal Excellence Initiative https://www.dallasisd.org/Page/41972	Leader Keys Effectiveness System http://www.gadoe.org/School-Improvement/Teacher-and-Leader-Effectiveness/Pages/Leader-Keys-Effectiveness-System.aspx
Evaluation Handbook		Defining Excellence in PEI https://drive.google.com/file/d/116H XCRI4SbSW4dZUZkRyGsrbNjlXSLtA/view?pli=1	Georgia's Leader Keys Effectiveness System Implementation Handbook http://www.gadoe.org/School-Improvement/Teacher-and-Leader-Effectiveness/Documents/TKES%20 LKES%20Documents/LKES%20 Handbook%202017-18.pdf
Training: How are evaluators trained on the process? Are evaluators of principal practice trained to apply observation rubrics consistently and fairly?	no mention	no mention	1) Each evaluation is conducted by a credentialed evaluator.
Calibration: Are there processes in place after initial training to check interrater reliability of evaluators? For example, opportunities to norm on how to score particular evidence?	no mention	no mention	no mention
Compensation Implications: Do evaluation results inform compensation? If so, how?	no mention	The effectiveness level is based on the evaluation rating and exists to determine compensation for principals.	no mention

District	The State of Tennessee	The State of Connecticut	New Leaders
Year of	Updated in 2016	2015	2012
Website for Evaluation Materials	Tennessee Educator Acceleration Model (TEAM) https://team-tn.org/evaluation/administrator-evaluation/	Administrator Evaluations http://www.connecticutseed.org/?page_id=445	New Leaders: Principal Evaluation Toolkit https://newleaders.org/research-policy/principal-evaluation-toolkit/
Evaluation Handbook	TEAM Administrator Evaluation Evaluator Handbook https://team-tn.org/wp-content/uploads/2013/08/TEAM-Administrator-Evaluator-Handbook-2017-18.pdf	The Connecticut Leader Evaluation and Support Rubric https://portal.ct.gov/-/media/SDE/Evaluation-and-Support/LeaderEvalRubric2017.pdf?la=en.	New Leaders: Principal Evaluation Handbook https://drive.google.com/file/d/1LNTFyQeWmxu6IaXcx5HB8aLQn7MiWpjg/view
Leadership Framework Rubric	Administrator Evaluation Rubric		New Leaders Principal Evaluation Rubric https://newleaders.org/wp-content/uploads/2016/09/Principal-Evaluation-Rubric.pdf
Evaluation Cycle: What are the timeline and process steps of the evaluation system?	TEAM Evaluation Timeline https://team-tn.org/wp-content/uploads/2015/10/TEAM_Evaluation_Timeline_2017_18_Final_9.21.17_CR.pdf	July: Orientation and context setting August: Goal setting and plan development Sept-Dec: Plan implementation and evidence collection January: Midyear formative review April: Self-assessment May: Preliminary summative assessments (to be finalized in Aug)	The principal evaluation process should be a continuous cycle of improvement with principals playing a more active and engaged role in their professional growth and development. Continuous Improvement Cycle 1) Data Analysis and Ongoing Self-Reflection 2) Goal Setting and Strategic Planning 3) Ongoing Plan Implementation and Evidence Collection 4) Midyear Formative Review 5) Formal Self-Assessment 6) Summative Evaluation Rating
Components: What are the main components, what data are used to measure them, and how are the components weighted in the overall evaluation score?	1) Performance - 50% 2) Achievement - 50% The effectiveness rating is calculated using a formula that is 50 percent qualitative and 50 percent quantitative. The 50 percent qualitative portion includes a 35 percent growth measure (one-year schoolwide Tennessee Value-Added Assessment System (TVAAS)) and a 15 percent achievement measure. Further tools for administrator evaluation can be found in the 2017-18 TEAM Administrator Evaluator Handbook, which is also distributed during TEAM administrator evaluation trainings.	1) Leadership practice (40%) 2) Stakeholder feedback (10%) 3) Student learning (45%) 4) Teacher effectiveness (5%)	1) Leadership Practice 2) Student Outcomes
Competencies: What are the buckets of indicators that principal practice is assessed against?	There are 4 competencies (called "Standards"): 1) Instructional leadership for continuous improvement 2) Culture for teaching and learning 3) Professional learning & growth 4) Resource management	1) Instructional Leadership 2) Talent Management 3) Organizational Systems 4) Culture and Climate	Leadership Practice 1) Learning and Teaching 2) Shared Vision, School Culture and Family Engagement 3) Strategic Planning and Systems 4) Talent Management 5) Personal Leadership and Growth

District	The State of Tennessee	The State of Connecticut	New Leaders
Year of	Updated in 2016	2015	2012
Website for Evaluation Materials	Tennessee Educator Acceleration Model (TEAM) https://team-tn.org/evaluation/administrator-evaluation/	Administrator Evaluations http://www.connecticutseed.org/?page_id=445	New Leaders: Principal Evaluation Toolkit https://newleaders.org/research-policy/principal-evaluation-toolkit/
Evaluation Handbook	TEAM Administrator Evaluation Evaluator Handbook https://team-tn.org/wp-content/uploads/2013/08/TEAM-Administrator-Evaluator-Handbook-2017-18.pdf	The Connecticut Leader Evaluation and Support Rubric https://portal.ct.gov/-/media/SDE/Evaluation-and-Support/LeaderEvalRubric2017.pdf?la=en.	New Leaders: Principal Evaluation Handbook https://drive.google.com/file/d/1LNTFyQeWmxu6IaXcx5HB8aLQn7MiWpjg/view
Stakeholder Perception Measures: What, if any, stakeholder perceptions are used? How are they measured (e.g., validated surveys?)	Surveys are a required component of the administrator evaluation process; however, evaluators may utilize an instrument of choice. The state offer the following survey aligned to its leadership framework on its website.	The state has made the following surveys available to districts at no cost: 1) Parent survey 2) Teacher/staff survey 3) Student survey Copies of surveys available at: http://www.connecticutseed.org/?page_id=1158.	Districts need to provide feedback tools to schools and information collected from stakeholders must be used when evaluating principals.
Student Achievement Measure: If student achievement is one component, what measures of student achievement are used?		Student learning is assessed in equal weight by: (a) performance and progress on the academic learning measures in the state's accountability system for schools and (b) performance and growth on locally determined measures. Each of these measures will have a weight of 22.5% and together they will account for 45% of the administrator's evaluation.	1) Academics: Growth model results for core subjects 2) Academics: Results in core subjects for all students and for subgroups 3) Academics: Results for "non-tested" grades and subjects 4) College and Career Readiness Note: principals and evaluators must agree on what it means to "make progress" but not meet a target (page 14 speaks more about this).
Overall Evaluation Score Levels: What are the categories for the overall evaluation score?	Qualitative data, student growth data and student achievement data are all combined to create a scale score (score range) between 100 and 500. Due to legislative changes made during the 2013 legislative sessions, the calculations for overall levels of effectiveness depend on whether a teacher has an individual growth score or a school- or system-wide growth score. Significantly Below Expectations: < 200 Below Expectations: 200-274.99 At Expectations: 275-349.99 Above Expectations: 350-424.99 Significantly Above Expectations: 425-500	1) Below Standard 2) Developing 3) Proficient 4) Exemplary	1) Exemplary 2) Proficient 3) Basic 4) Unsatisfactory

District	The State of Tennessee	The State of Connecticut	New Leaders
Year of	Updated in 2016	2015	2012
Website for Evaluation Materials	Tennessee Educator Acceleration Model (TEAM) https://team-tn.org/evaluation/administrator-evaluation/	Administrator Evaluations http://www.connecticutseed.org/?page_id=445	New Leaders: Principal Evaluation Toolkit https://newleaders.org/research-policy/principal-evaluation-toolkit/
Evaluation Handbook	TEAM Administrator Evaluation Evaluator Handbook https://team-tn.org/wp-content/uploads/2013/08/TEAM-Administrator-Evaluator-Handbook-2017-18.pdf	The Connecticut Leader Evaluation and Support Rubric https://portal.ct.gov/-/media/SDE/Evaluation-and-Support/LeaderEvalRubric2017.pdf?la=en.	New Leaders: Principal Evaluation Handbook https://drive.google.com/file/d/1LNTFyQeWmxu6IaXcx5HB8aLQn7MiWpjg/view
Target Distribution: Does the district set targets for certain percentages of principals that will fall into each overall evaluation score level?	no mention	no mention	
Connection to Professional Learning: How (if at all) does the evaluation process inform professional learning? And/or how does professional learning inform the evaluation process?	no mention		Throughout the entire "continuous improvement cycle" the principal is receiving feedback and/or self-reflecting on their learning priorities which are closely aligned with their professional learning.
Training: How are evaluators trained on the process? Are evaluators of principal practice trained to apply observation rubrics consistently and fairly?	All designated observers must participate in required teacher evaluation certification training (2 days) and demonstrate proficiency in the Tennessee Educator Acceleration Model (TEAM) observation process by successfully completing an online, annual certification test to be certified.	Evaluators trained in conducting effective observations and providing high-quality feedback.	Demand a lot from evaluators. Good evaluation centers on powerful conversations between a principal and his/her manager about how to continually improve practice and how to get better results.

District	The State of Tennessee	The State of Connecticut	New Leaders
Year of	Updated in 2016	2015	2012
Website for Evaluation Materials	Tennessee Educator Acceleration Model (TEAM) https://team-tn.org/evaluation/administrator-evaluation/	Administrator Evaluations http://www.connecticutseed.org/?page_id=445	New Leaders: Principal Evaluation Toolkit https://newleaders.org/research-policy/principal-evaluation-toolkit/
Evaluation Handbook	TEAM Administrator Evaluation Evaluator Handbook https://team-tn.org/wp-content/uploads/2013/08/TEAM-Administrator-Evaluator-Handbook-2017-18.pdf	The Connecticut Leader Evaluation and Support Rubric https://portal.ct.gov/-/media/SDE/Evaluation-and-Support/LeaderEvalRubric2017.pdf?la=en.	New Leaders: Principal Evaluation Handbook https://drive.google.com/file/d/1LNTFyQeWmxu6IaXcx5HB8aLQn7MiWpjg/view
Calibration: Are there processes in place after initial training to check interrater reliability of evaluators? For example, opportunities to norm on how to score particular evidence?	no mention	Evaluators are encouraged to engage in ongoing calibration activities	
Compensation Implications: Do evaluation results inform compensation? If so, how?	Compensation decisions are made at the district level.	no mention	no mention

Appendix D: Examples of Competencies and Indicators

This appendix provides examples of how districts and states have organized competencies and indicators in their school leadership frameworks. The Bush Institute does not recommend any particular framework. The examples, with links to the full rubrics, include:

- [Denver](#)
- [New Leaders](#)
- [Georgia](#)
- [Marzano Center](#)

Denver

1. Instructional Expertise
   a. Equity in Instruction
   b. Instructional Excellence
   c. Rigorous and Relevant Curricula
   d. Use of Student Data
2. Vision and Strategy
   a. Vision
   b. Strategic Planning
   c. Change Leadership and School Improvement
   d. Innovative Practices
3. People and Culture
   a. Distributive Leadership
   b. Talent Management
   c. Staff Culture
4. Community and Equity
   a. Equity and Cultural Responsiveness
   b. Inclusive, Caring and Supportive School Community
   c. Community Engagement
5. Personal and Values
   a. Values
   b. Personal Development
   c. Communication and Influence
6. Operations and Organization
   a. Drive Results
   b. Resources
   c. School Systems and Operations

New Leaders

1. Shared Vision, School Culture & Family Engagement
   a. Develops a shared vision for high achievement and college readiness for all students.
   b. Holds adults and students accountable for demonstrating values and behaviors that

align with the school's vision.
c. Develops cultural competence and a commitment to equity in adults and students.
d. Engages families and communities as partners to enhance student achievement and success.

2. Learning and Teaching
   a. Implements rigorous curricula and assessments tied to both state and college-readiness standards.
   b. Implements high-quality, effective classroom instructional strategies that drive increases in student achievement.
   c. Monitors multiple forms of student-level data to inform instructional and intervention decisions.

3. Talent Management
   a. Recruits, hires, assigns and retains effective staff.
   b. Increases teacher effectiveness through professional learning structures.
   c. Completes rigorous evaluations of instructional staff for continuous improvement and accountability for results.
   d. Trains, develops and supports a high-performing instructional team.

4. Strategic Planning Systems
   a. Identifies school-wide priorities, sets ambitious student learning goals and implements an aligned strategic plan.
   b. Organizes school time to support all student learning and staff development priorities.
   c. Allocates resources to align with the strategic plan.

5. Personal Leadership and Growth
   a. Demonstrates self-awareness, reflection, ongoing learning, and resiliency in the service of school-wide continuous improvement.
   b. Constructively manages change with the ultimate goal of improving student achievement.
   c. Communicates openly and clearly based on the situation, audience, and needs.
   d. Develops cultural competence and a commitment to equity in adults and students.
   e. Engages families and communities as partners to enhance student achievement and success.

Georgia

1. **Instructional leadership:** The leader fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to school improvement. The leader:
   a. Articulates a vision and works collaboratively with staff, students, parents, and other stakeholders to develop a mission and programs consistent with the district's strategic plan.
   b. Analyzes current academic achievement data and instructional strategies to make appropriate educational decisions to improve classroom instruction, increase student achievement, and improve overall school effectiveness.
   c. Uses student achievement data to determine school effectiveness and directs school staff to actively analyze data for improving results.
   d. Monitors and evaluates the effectiveness of instructional programs to promote the

achievement of academic standards.

    e. Possesses knowledge of and directs school staff to implement research-based instructional best practices in the classroom.

    f. Provides leadership for the design and implementation of effective and efficient schedules that maximize instructional time.

    g. Works collaboratively with staff to identify needs and to design, revise, and monitor instruction to ensure effective delivery of the required curriculum.

    h. Provides the focus for continued learning of all members of the school community.

2. **School climate:** The leader promotes the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate for all stakeholders: The leader:

    a. Incorporates knowledge of the social, cultural, leadership, and political dynamics of the school community to cultivate a positive academic learning environment.

    b. Consistently models and collaboratively promotes high expectations, mutual respect, concern, and empathy for students, staff, parents, and community.

    c. Utilizes shared decision-making to build relationships with all stakeholders and maintain positive school morale.

    d. Maintains a collegial environment and supports the staff through the stages of the change process.

    e. Develops and/or implements a Safe School plan that manages crisis situations in an effective and timely manner.

    f. Involves students, staff, parents, and the community to create and sustain a positive, safe, and healthy learning environment, which reflects state, district, and local school rules, policies, and procedures.

    g. Develops and/or implements best practices in school-wide behavior management that are effective within the school community.

    h. Communicates behavior management expectations regarding behavior to students, teachers, and parents.

3. **Planning and assessment:** The leader effectively gathers, analyzes, and uses a variety of data to inform planning and decision-making consistent with established guidelines, policies, and procedures.

    a. Leads the collaborative development of a shared vision for educational improvement and of a plan to attain that vision.

    b. Implements strategies for the inclusion of staff and stakeholders in various planning processes.

    c. Supports the district's mission by identifying, articulating, and planning to meet the educational needs of students, staff, and other stakeholders.

    d. Works collaboratively to develop and monitor progress toward achieving long- and short-range goals and objectives consistent with the school district's strategic plan.

    e. Collaboratively develops, implements, and monitors a school improvement plan that results in increased student learning.

    f. Collaboratively plans, implements, supports, and assesses instructional programs that enhance teaching and student achievement, and lead to school improvement.

    g. Uses research-based techniques for gathering and analyzing data from multiple sources to use in making decisions related to the curriculum and school improvement.

    h. Monitors and evaluates the use of diagnostic, formative, and summative assessments

to provide timely and accurate feedback to students and parents, and to inform instructional practices.

   i. Uses assessment information in making recommendations or decisions that are in the best interest of the learner/school/district.

   j. Assesses, plans for, responds to, and interacts with the larger political, social, economic, legal, and cultural context that affects schooling based on relevant evidence.

4. **Organizational management:** The leader fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources. The leader:

   a. Demonstrates and communicates a working knowledge and understanding of Georgia public education rules, regulations, and laws, and school district policies and procedures.

   b. Establishes and enforces rules and policies to ensure a safe, secure, efficient, and orderly facility and grounds.

   c. Monitors and provides supervision efficiently for all physical plant and all related activities through an appropriately prioritized process.

   d. Identifies potential problems and deals with them in a timely, consistent, and effective manner.

   e. Establishes and uses accepted procedures to develop short- and long-term goals through effective allocation of resources.

   f. Reviews fiscal records regularly to ensure accountability for all funds.

   g. Plans and prepares a fiscally responsible budget to support the school's mission and goals.

   h. Follows federal, state, and local policies with regard to finances and school accountability and reporting.

   i. Shares in management decisions and delegates duties as applicable, resulting in a smoothly operating workplace.

5. **Human resources management:** The leader fosters effective human resources management through the selection, induction, support, and retention of quality instructional and support personnel. The leader:

   a. Screens, recommends, and assigns highly qualified staff in a fair and equitable manner based on school needs, assessment data, and local, state, and federal requirements.

   b. Supports formal building-level employee induction processes and informal procedures to support and assist all new personnel.

   c. Provides a mentoring process for all new and relevant instructional personnel and cultivates leadership potential through personal mentoring.

   d. Manages the supervision and evaluation of staff in accordance with local, state, and federal requirements.

   e. Supports professional development and instructional practices that incorporate the use of achievement data, and result in increased student progress.

   f. Effectively addresses barriers to teacher and staff performance and provides positive working conditions to encourage retention of highly qualified personnel.

   g. Makes appropriate recommendations relative to personnel transfer, retention, and dismissal in order to maintain a high performing faculty.

   h. Recognizes and supports the achievements of highly effective teachers and staff and provides them opportunities for increased responsibility.

6. **Teacher/staff evaluation:** The leader fairly and consistently evaluates school personnel in

accordance with state and district guidelines and provides them with timely and constructive feedback focused on improved student learning. The leader:

    a. Has a thorough understanding of the teacher and staff evaluation systems and understands the important role evaluation plays in teacher development.

    b. Provides support, resources, and remediation for teachers and staff to improve job performance.

    c. Documents deficiencies and proficiencies and provides timely formal and informal feedback on strengths and weaknesses.

    d. Evaluates performance of personnel using multiple sources consistent with district policies and maintains accurate evaluation records.

    e. Makes recommendations related to promotion and retention consistent with established policies and procedures and with student learning as a primary consideration.

    f. Involves teachers and staff in designing and implementing Professional Development Plans.

7. **Professionalism:** The leader fosters the success of students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession. The leader:

    a. Models respect, understanding, sensitivity, and appreciation.

    b. Works within professional and ethical guidelines to improve student learning and to meet school, district, state, and federal requirements.

    c. Maintains a professional appearance and demeanor.

    d. Models self-efficacy to staff.

    e. Maintains confidentiality and a positive and forthright attitude.

    f. Provides leadership in sharing ideas and information with staff and other professionals.

    g. Works in a collegial and collaborative manner with other leaders, school personnel, and other stakeholders to promote and support the vision, mission, and goals of the school district.

    h. Demonstrates the importance of professional development by providing adequate time and resources for teachers and staff to participate in professional learning (i.e., peer observation, mentoring, coaching, study groups, learning teams).

    i. Evaluates the impact professional development has on the staff/school/district improvement and student achievement.

    j. Assumes responsibility for own professional development by contributing to and supporting the development of the profession through service as an instructor, mentor, coach, presenter and/or researcher.

    k. Remains current with research related to educational issues, trends, and practices.

    l. Maintains a high level of technical and professional knowledge.

    m. Fulfills contractual obligations and assigned duties in a timely manner; participates in other meetings and activities in accordance with district policy.

8. **Communication and community relations:** The leader fosters the success of all students by communicating and collaborating effectively with stakeholders. The leader:

    a. Plans for and solicits staff, parent, and stakeholder input to promote effective decision-making and communication when appropriate.

    b. Disseminates information to staff, parents, and other stakeholders in a timely manner through multiple channels and sources.

    c. Involves students, parents, staff and other stakeholders in a collaborative effort to

establish positive relationships.

  d. Maintains visibility and accessibility to students, parents, staff, and other stakeholders.
  e. Speaks and writes in an explicit and professional manner to students, parents, staff, and other stakeholders.
  f. Provides a variety of opportunities for parent and family involvement in school activities.
  g. Collaborates and networks with colleagues and stakeholders to effectively utilize the resources and expertise available in the local community.

Marzano Center

1. **Data-Driven Focus on School Improvement**
   a. Element 1: The school leader ensures the appropriate use of data to develop critical goals focused on improving student achievement at the school.
   b. Element 2: The school leader ensures appropriate analysis and interpretation of data are used to monitor the progress of each student toward meeting achievement goals.
   c. Element 3: The school leader ensures the appropriate implementation of interventions and supportive practices to help each student meet achievement goals.
2. **Instruction of a Viable and Guaranteed Curriculum**
   a. Element 1: The school leader provides a clear vision for how instruction should be addressed in the school.
   b. Element 2: The school leader uses knowledge of predominant instructional practices in the school to improve teaching.
   c. Element 3: The school leader ensures that school curriculum and accompanying assessments align with state and district standards.
   d. Element 4: The school leader ensures that school curriculum is focused on essential standards so it can be taught in the time available to teachers.
   e. Element 5: The school leader ensures that each student has equal opportunity to learn the critical content of the curriculum.
3. **Continuous Development of Teachers and Staff**
   a. Element 1: The school leader effectively hires, supports and retains personnel who continually demonstrate growth through reflection and growth plans.
   b. Element 2: The school leader uses multiple sources of data to provide teachers with ongoing evaluations of their pedagogical strengths and weaknesses that are consistent with student achievement data.
   c. Element 3: The school leader ensures that teachers and staff are provided with job-embedded professional development to optimize professional capacity and support their growth goals.
4. **Community of Care and Collaboration**
   a. Element 1: The school leader ensures that teachers work in collaborative groups to plan and discuss effective instruction, curriculum, assessments, and the achievement of each student.
   b. Element 2: The school leader ensures a workplace where teachers have roles in the decision-making process regarding school planning, initiatives, and procedures to maximize the effectiveness of the school.
   c. Element 3: The school leader ensures equity in a child-centered school with input from staff, students, parents, and the community.

    d.   Element 4: The school leader acknowledges and celebrates the diversity and culture of each student.

5. Core Values
    a.   Element 1: The school leader is transparent, communicates effectively, and continues to demonstrate professional growth.
    b.   Element 2: The school leader has the trust of the staff and school community that all decisions are guided by what is best for each student.
    c.   Element 3: The school leader ensures that the school is perceived as safe and culturally responsive.

6. Resource Management
    a.   Element 1: The school leader ensures that management of the fiscal, technological, and physical resources of the school supports effective instruction and achievement of each student.
    b.   Element 2: The school leader utilizes systematic processes to engage district and external entities in support of school improvement.
    c.   Element 3: The school leader ensures compliance to district, state, and federal rules and regulations to support effective instruction and achievement of each student.

Appendix E: Chesterfield County Public Schools Principal Evaluation Calibration Exercises

As a first step to revising their principal evaluation system, district leaders in Chesterfield County Public Schools (CCPS) led their principal supervisors through a set of calibration exercises to norm on their expectations for principals. Dr. Michelle Beavers, a district leader who directs professional development for the district, provides a detailed description of these exercises in this 9-minute video (https://drive. google.com/file/d/1wjq6sGEe13XR6y7q6-oeg1cGLnWOni8n/view).

As Dr. Beavers notes, CCPS intends for calibration to be ongoing throughout the school year at each step of the principal evaluation process, including norming conversations related to: 1) what evidence constitutes evidence for individual indicators; 2) how to combine and weight indicator scores to determine overall ratings; 3) how to set performance goals; and 4) how to provide feedback.

In the video, Dr. Beavers describes two facilitation techniques. First, she used a Fibonacci exercise in which each supervisor was given a deck of cards and asked to use a card to indicate the number of indicators they expected principals to demonstrate in order to achieve an exemplary rating on one standard. This exercise revealed significant variation in expectations. In the next exercise, principal supervisors used Kahoot.it , an online game, to write evidence statements describing exemplary practice and anonymously rated their colleagues' evidence statements.

Taken together, these two activities surfaced inconsistent expectations of principal supervisors and built buy-in among them to continue conversations aimed at calibrating their expectations and feedback during the principal evaluation process.

Appendix F: Identifying Strategies for Improving Principal Evaluation Systems

Effective principal evaluation systems contain four key best practices:
- They are aligned to **leadership frameworks**.
- They have **a variety of measures** of effectiveness.
- They have well-designed **evaluation processes**.
- They are **connected to professional growth**.

Use this tool to reflect on your current evaluation system to identify where and how it can be improved.

Step 1: Describe current state

Is your system aligned to a school leadership framework? If so, how was it developed and to what extent does it align with standards and research?	
What measures are used in your current system?	Do you tie evaluation to professional growth? If so, how?

Describe processes used in your current system.

Step 2: Identify Improvements

Review the best practices described in the Guidebook and summarized in Appendix A. Identify two aspects of your evaluation system that need considerable attention and name two simple improvements that could be quick wins.

Name two aspects of your current principal evaluation system that need the most work.
Name two improvements to your current system that could be quick wins.

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